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CHIEF TECHNICAL ADVISER'S MANUAL

(Formerly The International Team Leader's Manual)

Distr.
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I. INTRODUCTION

A. General

This Manual has been prepared to assist Chief Technical Advisers (CTA) to carry out their assignment. Obviously, the Manual could not be designed to meet all needs of individual recipients or to be fully applicable to their special tasks. Moreover, conditions encountered in host countries will vary and so will many other relevant considerations such as logistic support received; the availability and sophistication of national project personnel; and the timely arrival of internationally-recruited team members. Much will depend also on the CTA's ability to overcome the many difficulties which are met in this type of work and to have his^{1/} advice accepted in the existing work climate.

In setting up this Manual, a number of considerations have been kept in mind: an attempt was made to gear it to CTAs who are new to the United Nations system. It was also assumed that even those individuals who have worked for the UN before may not recall all abbreviations and terms used within the system, and a glossary and a list of abbreviations were therefore included in this Manual.

In a few instances decisions were taken which were guided by considerations of expediency in order to limit the size of the Manual. If in need of additional information or in doubt, the Resident Representative's office or UNIDO's Secretariat should be queried. Redundancies may be encountered in a few instances where certain matters are described more than once in the text because it was felt that certain repetitions are unavoidable for the sake of clarity.

Throughout, the problem of reconciling conditions and procedures which had been in existence for some time with newly evolving UN and UNIDO policies and resulting changes had to be dealt with in this Manual. For example, the terms Project Manager or International Team Leader which have been

^{1/} The CTA may be male or female. The terms "he", "his" and "himself" are utilized throughout this Manual in the generic sense, and thus include both male and female CTAs, Resident Representatives of the UNDP and others.

extensively used in the past by UNIDO to describe internationally-recruited individuals to be in charge of certain UNIDO projects is no longer in keeping with the new policy of increasingly entrusting Governments and institutions in host countries with the execution of UNDP-supported projects. In stressing host government execution, the important multi-lateral character of technical co-operation provided through the UNDP is to be preserved while the technical experience and knowledge available within organizations of the United Nations system, such as UNIDO, is to be taken into account.

The procedures described in this Manual are applicable in practically all instances even though a project may fall into the minority of those which are financed by sources other than the UNDP.

This is the second revision of this Manual issued by UNIDO (the two earlier issues were called The International Team Leader's Manual). It is intended to continuously update the Manual and to revise it once a year. Timely comments and views of recipients of this Manual are therefore solicited. They should be addressed to:

Director
Division of Industrial Operations
Attention: Briefing/Debriefing Office
UNIDO, Vienna International Center
P.O. Box 300
A-1400 Vienna, Austria

B. Nature of the material included in the Manual

The Manual contains three basic types of material:

- (a) General background material for the information of CTAs;
- (b) Procedures applicable to certain types of action which CTAs are called upon to undertake, and instructions which they are expected to follow; and
- (c) Guidance and advice which are not formally binding upon the CTA but which may be found helpful in the performance of duties since they are based on experience and conform to general policies of UNIDO.

With respect to those rules, instructions and procedures which are binding upon the CTA and which, therefore, must be strictly adhered to, no attempt has been made to quote all official texts, but rather to summarize or rephrase them as precisely as possible or to indicate where the applicable texts can be found. The contents of the Manual should, therefore, not be taken as superseding any currently valid instructions or rules issued in separate documents, such as in particular the Policies and Procedures Manual of the United Nations Development Programme (UNDP) guidelines issued by UNDP or the UN Staff Rules.

C. Human relationship aspects

There are clearly limitations in the applicability of this Manual and certain points could not be covered. The following paragraphs touch on some of the human relationship aspects and other factors affecting performance. One important yardstick by which the performance of expatriate professional personnel is measured is the extent of acceptance and appreciation of their work by the host Government in general and by personnel of the institution they are working with in particular. Another related factor is the extent and speed at which recommendations made by international staff are being introduced. Experience indicates that among various performance indicators, the two mentioned above are often underrated by international staff particularly in instances where individuals who are truly experts in their field of specialization and may have performed with distinction elsewhere, find it difficult to get their advice accepted and translated into action. There may be many reasons ranging from inadequate investment funds to resistance to innovations. Still, an important measure of the CTA's performance is the extent to which he is successful in getting his ideas across despite all obstacles.

Lack of success might be the result of various conditions. In the first place, there is the most important factor of "face". When UNIDO is called in to provide assistance and when an expatriate CTA is subsequently appointed to provide advice, the assumption on the part of all concerned might be that the needed expertise is not available in the recipient country. In many instances, certain local individuals had unsuccessfully tried their hand at resolving existing difficulties

before the CTA's arrival. Human nature being what it is, his success may, therefore, not "sit well" with those who have been less successful in the past. If a CTA encounters a situation of this type, he may be well advised to give at least part credit to certain individuals on the local scene who had been involved in the past in the specific activity covered now by UNIDO's project even though the successful solution or new effective measures may be attributed to UNIDO's team. His modesty and graciousness will certainly be appreciated.

In fact, the success of most missions depends to a great extent on the personality of expatriate personnel, their sensitivity to local situations and their ability to introduce change. These non-technical aspects of technical assistance are essential for the attainment of project objectives.

In the first place, we must remember that it is as difficult to receive technical assistance as it is to offer it, and the givers and the receivers may have so little experience in common that they cannot even explain their perplexities to each other. Nevertheless, much good work is, in fact, accomplished by UNIDC in the technical assistance field. When this is so, it is usually because expatriate advisers have gone a long way to meet the problems that make for misunderstanding.

There are two assumptions an expatriate adviser should avoid making. First, he should not assume that his associates will actually see a problem as he sees it. Second, he must not assume that other people always understand or share his motives. Moreover, in his own country a technical adviser can use his reputation to press ahead with all possible speed. In providing technical assistance abroad, the use of such assets is much less straightforward. Until they are well acquainted with him, local officials may be reluctant to fall into step at the pace at which the expatriate adviser works. They may not be used to teamwork and may not understand what it involves. Further, the expatriate may also be guilty of intellectual arrogance by displaying too much "knowledge" too early in his contacts. If he talks above the heads of his local colleagues, they will hear him, but they will soon cease to listen. Even if his work is substantially or technologically correct and applicable to local conditions, it will disintegrate if the local people have been drawn into it by

the mere force of his personality and not by inner conviction and real understanding. Even the best technical adviser in a developing country seldom achieves his aim unless he gains the confidence, esteem and friendship of the people with whom he lives and works. The difficulties that stand in the way of good relations may be cultural, sociological or psychological, and may raise barriers to the change that the expatriate adviser is trying to promote.

The first step towards understanding is a genuine respect for the people and the country in which the expatriate is to work. Regardless of the level of their social or economic development, all people deserve respect. Respect leads to interest, and interest leads to a desire for information about them. The expatriate adviser should study the country of his assignment before his arrival there so that he may have a general knowledge, at least, of its geography, history and administrative system and the basic facts of its economic and social life. He should also become familiar very soon with attempts that have already been made, within his specialized field, to introduce changes and of the reasons for their success or failure. A knowledge of the local language is, of course, of great help and he may do well to try to learn it. If, through lack of time, he cannot succeed in doing so, he should at least try to remember a few key greetings and polite phrases to show that he is making an effort.

In most assignments, the job of UNIDO's CTA is to help a government official or a local manager or official of an institution to carry out his task and to train him to do it better. This person is usually called the National Team Leader or National Project Co-ordinator; frequently the term "counterpart" is still used. In some cases, there may actually be more than one counterpart. UNIDO's CTA is not an official of the Government and has no authority to require action to be taken; it is through his national colleague that he can operate within the Government. In addition, the National Team Leader often helps by making arrangements, by providing facts, by assisting at meetings with other officials, and by being a full partner in all official activities. As a result of his relationship, the expatriate adviser often finds that he is learning from his counterpart, as well as teaching him. Under such conditions, good team-work is essential. Yet under no circumstances should the CTA use his counterpart's services for his own personal convenience. Where national feeling is sensitive to dependence

on foreigners, the National Team Leader often acts as a shield by assuming the major role himself, and it is well, in most cases, for UNIDO's CTAs, in speaking and writing, to give credit to him.

It cannot be too strongly emphasized that the solution to any problem in any country must be acceptable to its people and to its Government. This acceptance depends on a great number of considerations, such as the one of "face" which we have touched upon. There are many other considerations, though, only some of which can be expressed in clearly defined terms. Others, equally important, often remain hidden and can only be described very vaguely.

The most difficult task that awaits an expatriate adviser is that of understanding the problems he is called upon to solve, not from his personal point of view, but from the point of view of the local environment. He has to become an expert on the subject of change, since this is involved in all technical assistance as it is in all teaching. He must also remember that there will be no change unless the local people understand and desire it.

As the thinking on this subject has developed during the past decade, certain questions have come to be asked more frequently, such as:

- (a) What previous changes have taken place in a certain community or a given field?
- (b) Who initiated them? Who are the leaders or people with prestige who may be counted on for support for further changes?
- (c) How fast should changes take place?
- (d) Is the proposed change too far reaching?
- (e) What secondary effects are likely to follow?

The understanding of change is more subtle than is usually thought. We do not always realize that, in solving problems successfully in our own countries, we take for granted factors based on the cultural patterns of our countries, which are not perhaps evident to foreigners. These may include climate,

traditional patterns of personal relations, and the administrative system, to mention only a few widely varied conditions. One danger which we must therefore avoid when working in other countries is that of advocating solutions suited only to conditions in our own countries. This is particularly important in situations where the project in question is closely related to the immediate needs, and thus to the preferences and absorptive capacities of the local people.

CTAs should always remember that one of the characteristic features of the initial stages of economic development is a lack of technical skills and a lack of diversification of such skills. This may be felt particularly severely by specialists who are accustomed to a well-developed structure of technical specialities and full logistic support.

In this situation, the successful accomplishment of a mission often depends upon the expatriate adviser's ability to cope with technical problems, not only within the field of his immediate specialty, but also in neighbouring fields. He must be a man who is capable of accomplishing a great deal by himself. He should be, on occasions, not only "an expert in overalls", but a "jack of all trades", with a highly-developed flair for improvisation, not hesitating to demonstrate how a task should be done. Such an approach is not only helpful in carrying out the mission, but it promotes general confidence and appreciation and gives UNIDO's CTA added personal satisfaction.

Much of what has been said here and points made in the following parts of this chapter apply of course also to individual experts who belong to the international project staff.

D. Adjustment

Everyone is accustomed to his own environment and understands it without analysing it in detail. He is conditioned by it and, even if some parts of it do not please him, other parts seem to him natural and desirable. He may not realize clearly how different other societies are in their principles of human relationships, their beliefs and their institutions.

When taken to another environment, he may therefore experience something akin to shock.

One of the functions of the Resident Representative is to assist the newly-arrived personnel. However, the newcomer's cultural shock cannot always be avoided. It will be less pronounced in persons who have had living experience in a number of countries already, who are adaptable to new living conditions, who have imagination, or who have real sympathy for other human beings, however strange their ways seem to them. In any case, the shock may be somewhat alleviated by the awareness that it is to be expected.

An expatriate arriving for the first time in a developing country is usually in high spirits. Everything is different from his familiar surroundings; he is enchanted by what is for him a strange landscape, by the people, the buildings, the bazaars, shops and goods. His first accommodation, often in the best hotel, is close to the standards to which he is accustomed and better than he had expected. The food is new and exotic and he usually likes it. The government officials seem to him well-informed, well-disposed and courteous, and the problems which he is supposed to solve appear to be straightforward. He lives through a period of enthusiasm. He finds also that other expatriates with whom he discusses prevailing conditions are unduly pessimistic and not as efficient as they should be. He is certain he can do at least as well as they and probably even better. He meets local people, talks to them, suggests a number of ideas and courses of action and takes the politeness of his listeners as a sign of agreement and willingness to take action. He begins his professional work with zest and energy, sometimes unintentionally hurting the feelings of the national project staff.

The higher his initial enthusiasm and hopes, the greater is the risk that, in the ensuing period of adjustment, the newcomer may fall into depression and undue pessimism. He may discover to his dismay that people do not understand his ideas and advice as well as he thought they did, that some are not so efficient as he expected them to be, that his work is hampered by a variety of factors which he does not understand and which begin to get on his nerves, and that the accomplishment of his mission will take much longer than he

had planned. He is offended by the fact that people pay less attention to him and to his ideas than they did at the beginning, because he has difficulties in persuading government officials, or because he cannot even meet them as easily as he thought he could. At the same time, he is exposed to unnecessary frustrations, disillusionments and bitterness. In this mood he seeks the company of other expatriates and indulges in complaints about the local population, government officials and local customs and habits. He may become frustrated by his failure to get things done. There may even be other signs of maladjustment, such as indifference to his work, quarrels, or a disregard for regulations. This is a dangerous period, and if he does not understand the psychological factors involved, he may harm his own chances of rendering good services to the host country.

With time, goodwill, some wisdom and a sense of humor, the expatriate adviser begins to gain insight into some of the real problems of the country and to understand that local people often have good reason for behaviour which at first seemed incomprehensible to him. Some details of his work and life then become less irritating than before. He is on the way to recovery.

The greatest usefulness of an expatriate adviser to a developing country comes after the last stage of his adjustment, when he is able to look at a given country with understanding and with friendship. When he understands the difficulties that stand in the way of the introduction of changes in particular cases which interest him, the roots of these difficulties and the possible ways of overcoming them, when he is able to discuss vexing problems without irritation or complaint, when he discovers, in the process, that he is able to offer something of value to the country and its people, he finds that he too is enriched and stimulated and that his work is not one-way assistance to a developing country but rather a process of giving and receiving.

E. Conduct

The salaries received by expatriate personnel, even if not very high in some cases when compared with earnings in their home countries or with the salaries of experts recruited on the basis of bilateral assistance programmes, are usually

high in relation to the salaries paid in developing countries. It is not always understood that this condition is explained by the capital investment which has been put into the education of the expatriate adviser himself, by the level of emoluments and the standard of living in his own country, by his financial obligations at home, by the additional expenditure on clothing and equipment caused by his travel and life abroad and by physical and mental strains which may affect his health. Whatever explanation, discrepancy in earnings creates a delicate situation in which lack of financial restraint on the part of the expatriates may lead to difficulties. If they flaunt their financial advantages to their national colleagues and the local population they run the risk of losing the confidence and friendship which are basic conditions for efficient work. The general standard of living of expatriate advisers, though providing them with the comfort necessary for their physical and mental welfare, should therefore not be too different from that of local people of similar educational background or social standing. This refers to all aspects of the standard of living, including housing, furniture and equipment, household assistance if any, transport, clothing and entertainment, and may call for some abstinence from what may be considered ostentatious living or conspicuous consumption in comparison with the standards of the new environment.

Special attention should be given to scrupulous observance of the laws of the host country. For example, expatriate advisers must comply strictly with the existing currency regulations. Any infringement of the laws disqualifies them from the service of the United Nations.

The only income to which the expatriate adviser is entitled in the host country is that given to him by the organization for which he is working. It is his primary obligation to devote all his working energies and capacities to the assignment he receives from the organization. Any continuing or recurring activities of a substantial nature outside the terms of his assignment cannot be reconciled with his basic duties. The acceptance of remuneration for any outside activities unrelated to his official work is normally not admissible. In exceptional circumstances, authorization for such remuneration may be given by the appropriate authorities in consultation with the Resident Representative, but such authorization should always be received in advance and in writing.

Whenever possible, and particularly on medium and long-term assignments, UNIDO field personnel should try to avoid living in hotels designed for well-paid foreigners and devoting too much of their free time to social contacts with them. They came to help the country and will be unable to do so without close contact with local people, their ways of thinking and living, their social relations and the problems which preoccupy them. It is therefore advisable to live among them as much as possible.^{2/} This raises for the CTA a difficult problem of choice between, on the one hand, relative comfort and, on the other, a less comfortable life among the local people which may help him in his work for the country. The decision depends upon the type of assignment and the attitude of the CTA and his family, as well as on the local social structure; it seems advisable, however, to lay down some general rules. The final decision should be taken by the CTA preferably in consultation with the Resident Representative.

The suggestion that expatriate technicians may live amongst the people in their local communities is not meant to imply that they should imitate their local modes of behaviour, clothing or food. Such artifice would be construed as ridiculous in the eyes of the local people and could be detrimental to prestige. It is only natural that expatriate personnel differ in many respects from the people of the country of their assignment. It is useless, therefore, and often harmful to conceal these differences. What really matters is their honest, sincere, yet unobtrusive willingness to be with, to understand and to help the people, while at the same time remaining true to themselves.

A word of warning, however. Expatriate technicians must be particularly careful about their approach to local people. It is not always considered a compliment to use first names, or to be too familiar on short acquaintance. A desire for friendship should be evident at once, but it is not wise to assume that it does not have to be earned.

The private life of expatriate personnel is of great importance for the success of the mission. In principle, it is their own concern and should not be the concern of UNIDO.

^{2/} However, in some countries, the Government prefers a strictly advisory relationship between expatriate technical assistance personnel and local citizens.

At the same time, in order that their private life will not bring UNIDO into disfavour, they must establish a high standard of personal conduct - one that may be more complex in some respects than that demanded of national civil servants. They must remember that their conduct, whether connected or unconnected with official duties, must be such that it will not infringe upon any demonstrable interests of UNIDO, bring it into discredit, or offend the community in which they live. Such restraint must be exercised even in the use of rights recognized by existing legislation, if this use is likely to reflect unfavourably on UNIDO. Not only must UNIDO's project personnel be careful and discreet themselves, but they should impress upon members of their household the necessity of maintaining a similar high standard of conduct.

If the CTA is accompanied by his/her spouse, the same duties fall on the spouse's shoulders. In fact, adjustments of every-day life abroad are felt mainly by the spouse, for the questions of housekeeping, household assistants, the health of the children, schooling, shopping and transportation are largely hers/his. Success in understanding local people and in finding friends among them often depends on a spouse's ability to adjust to the situation.

F. Health care

1. General

Clearly it is of the utmost importance that UNIDO project personnel and their families remain in good health during their assignment abroad. Being away from their homes for extended periods, possibly for the first time, and exposed to new surroundings, unusual conditions and to the potential risk of tropical diseases, particular precautions must be taken. As a first step, prevalent conditions in the country of assignment should be discussed with the examining physician during the pre-departure examination. Furthermore, a careful study of the Post Report and other material available to departing personnel during briefing sessions at UNIDO headquarters is strongly recommended.

2. Water

Unless it is certain that water is safe for drinking, it is necessary to boil for ten minutes all drinking water and water used for ice. Purifying agents for drinking water should only be used if water cannot be boiled since the purifying effect may not be fully reliable. Hot water from the tap may still contain dangerous organisms, and its use for drinking or brushing teeth is not recommended. Available water filters do not render water sterile of all potential pathogenic organisms, and should not be relied upon by themselves. If they are used, the water should be first filtered and then boiled. In any case, advice on this important subject should be sought immediately upon arrival at the post from the Resident Representative's office or local physicians.

At meals in restaurants, carbonated mineral water or carbonated soft drinks are preferable to the non-carbonated types because it is more difficult to dilute carbonated bottles before serving. It is also recommended that waiters be instructed to open bottles at the table.

3. Food and beverages

If well-cooked hot food is eaten, most infections can be avoided. Raw fruits should preferably be washed but eaten only when they have unbroken skins and they are peeled. Raw vegetables and salads should be avoided, as they are often contaminated with protozoan cysts or worm eggs.

Scrubbing of green leafy vegetables and soaking them in strong iodine or chlorine solutions, then rinsing in boiled water, should eliminate most, but perhaps not all, parasites. Unless dairy products are known to be hygienically prepared and properly refrigerated they should be avoided. Even if refrigerated, custards, cream pastries, potato salads shellfish should be avoided, as they are excellent vehicles for propagation of pathogenic organisms that cause food poisoning.

If local servants are employed, they should be instructed to carefully wash their hands before handling food items and soap and clean towels should be made available to them. Also, a specific routine might be established according to which servants are to wash their hands whenever they pass the kitchen door since such a routine is easier remembered than general instructions regarding cleanliness.

When fresh fruits and vegetables cannot be obtained or eaten, multi-vitamins should be taken. Eating raw or undercooked local beef, pork, sausage or fish can lead to trichonosis, tapeworm, fluke infections and other health problems. Smoking, salting, pickling or drying meat or fish alone is not effective, but heating meat or fish to at least 55°C for one hour, or freezing at minus 10°C for 20 days, will kill most parasites.

Locally-bottled soft drinks must be considered possibly contaminated, though well-known carbonated brands should be relatively safe. Bottled water is generally safer than untreated tap water, but this water can also be occasionally contaminated (see above). Alcoholic beverages are safe but their presence in mixed drinks does not kill organisms. Very hot tea and coffee and hot milk are relatively safe drinks.

4. Diarrhoea

Many diarrhoeas are non-infectious and may arise due to the journey combined with fatigue and the emotional stresses of departure and arrival. This type of diarrhoea often clears up on a bland diet, with particular avoidance of fats and alcohol. The important factor in treating any diarrhoea is to replace the lost fluids by drinking safe water, tea, salted broth, or carbonated beverages. If diarrhoea is severe and is accompanied by blood or mucus, or persists for more than three days, medical care should be obtained immediately. Diarrhoea in children is always life threatening and immediate medical attention should be obtained.

Prophylactic antibiotics are not recommended to prevent travellers' diarrhoea. Only following preliminary bacteriological evaluations, thus establishing proper diagnosis, appropriate treatment can be established under medical care, e.g. diarrhoea provoked by amoebiasis or salmonellosis or both.

5. Schistosomiasis

Where this disease occurs, particularly in Africa, the Middle East, and in parts of South America and the Caribbean, all bodies of fresh water must be considered to be infected with these parasites and all contact with this water must be avoided. However, the parasites cannot be contracted in salt water or in adequately chlorinated swimming pools.

6. Sleeping sickness

Sleeping sickness which is transmitted by the Tse-Tse fly occurs in many parts of Africa. If you are in an area where sleeping sickness prevails and you notice enlarged lymph glands, seek medical attention immediately.

7. Sunstroke and heat-exhaustion

These can of course be avoided by abstaining from prolonged exposure to the sun or overly strenuous exercise and the use of adequate protective clothing and head covering. It is useful to drink more fluids than usual and to add salt to the food or to use salt tablets. Adjustment to climate should be gradual and exhausting exercise should be avoided immediately after arrival.

8. Insects

Since insects are important carriers of disease, as well as being a great nuisance, windows should be screened. Where this is not possible, mosquito nets may be used. In some places, to avoid being bitten excessively, it is best to stay indoors as much as possible at night or to wear clothing that covers the arms and legs. Insect repellants applied to the skin and on clothing may be of some value. Those containing diethyltoluamide are recommended.

9. Stray animals - danger of rabies

Children should be cautioned not to befriend stray dogs, cats or other animals. Rabies is a common problem in many countries and stray animals are a reservoir of that disease. It is hard to avoid the appeal of cute, obviously underfed, animals. In case of a bite, may it appear only to be a scratch, immediate medical attention is required.

10. Dental Care

Pre-departure dental examinations of all family members are strongly recommended. Do not neglect this issue, because dental facilities abroad are often not up to standards at home. Regular brushing may prevent the need for dental care which may be difficult to obtain abroad. Take along a supply of tooth-brushes and replace your tooth-brush periodically.

11. Eyeglasses

One extra pair of prescription glasses or contact lenses for family members needing them should be carried and a legible copy of lens prescriptions should be taken along. Most countries will have optometric services where uncomplicated lenses can be prepared. It is a good idea to maintain contact with the ophthalmologist/optometrist at home - especially if a complicated lens prescription is involved - so that replacement glasses can be sent to the field.

Contact lens cleaning and storage solutions should be carried and shipped in adequate amounts for several months until it can be determined whether there are local sources of comparable solutions.

12. Vaccinations and inoculations

During your pre-departure medical examination you will be advised about vaccinations and inoculations required at your post of assignment. It is advisable, however, to discuss with your pediatrician prior to the pre-departure medical examination the needs of your children for vaccinations and inoculations.

Attached to this chapter, as annex I, is a chart on the subject of vaccinations and inoculations. It should be noted that that chart is subject to periodic changes. However, it will help you to get information on required booster vaccinations.

It is also highly advisable to begin malaria protection medication as advised by your physician as soon as possible before departure. Upon arrival at your post of assignment, make inquiries at the Resident Representative's office whether according to latest findings the prescribed medication is adequate for the region.

13. Medications

If a family member is using a prescription medication or is involved in an allergy desensitization programme, sufficient amounts of the drug or serum to last several months should be taken along. It may be difficult to find

comparable medications in host country pharmacies and the drug assays and controls are sometimes irregular. In general, medications and certainly desensitizing serums should be replaced from original sources.

14. Medical kit

Suggestions for the content of a travelling medical kit are listed in annex II, attached to this chapter. It is designed to be the nucleus of a family medicine cabinet after arrival as well as a useful kit during extended travel to or from the post of assignment.

Annex I

VACCINATIONS AND INOCULATIONS

TYPE	NUMBER OF DOSES	VALID	RENEWAL/BOOSTERS	REMARKS
YELLOW FEVER	1 injection	10 years	1 injection every 10 years	Imperative for certain areas
CHOLERA	2 injections, 14 or more days apart	6 months	1 injection every 6 months	Not very effective but recommended
TYPHOID/ PARATYPHOID (TAB)	A course of tablets to be taken approx. 2 weeks before required effective date; <u>or</u> 2 injections, 14 days or more apart	6 months	1 course of tablets every 6 months; <u>or</u> 1 injection every 6 months	Also available as combined injection with cholera vaccine, as practiced in some other centres (TAB cholera). It will probably be changed to a new vaccination in the foreseeable future
SMALLPOX	1 vaccination	3 years	1 vaccination every 3 years	The WHO considers smallpox as eradicated; only a few countries request valid smallpox vaccinations.
POLIO ORAL	3 oral doses	7-10 years	1 dose	Strongly recommended
TETANUS	3 injections	5 years	1 injection after 5 years	Strongly recommended

Gamma Globulin is recommended for travellers proceeding to tropical or sub-tropical areas. Do not forget to start in due time the malaria protection medication.

Annex II

MEDICAL KIT

Thermometer	Laxitive
Tweezers	Antacid for stomach
Scissors	Ace bandage
First aid manual	Pepto Bismol or similar medication
Eye dropper	Motion sickness pills <u>a/</u>
Sterile gauze - squares, roll	Antidiarrhoea medication
Adhesive tape	Antifungus ointment <u>a/</u>
Band-aids	Sore throat, cold, cough preparations <u>a/</u>
Cotton	Ear, nose drops <u>a/</u>
Sterile cleanser	Dry skin lotion
Foot powder, foot fungus ointment	Dental floss
Antibacterial ointment for burns, cuts, minor abrasions <u>a/</u>	Cold, cough medicines for children
Aspirin	Calamine lotion for rashes, insect bites etc.

For certain climates and areas also include:

Insect repellent
Sunscreen preparations
Water purification tablets
Salt tablets

a/ As recommended by physician.

II. THE UNITED NATIONS SYSTEM

A. General

The United Nations system is an expression often used to describe the group of organizations comprising the United Nations itself, the specialized agencies, the International Atomic Energy Agency, and numerous subsidiary, ad hoc, and related bodies. (See also the chart on next page.)

The United Nations came into being in the autumn of 1945, after the adoption of its Charter. According to article 1 of the Charter, the purposes of the United Nations are:

"To maintain international peace and security...
To develop friendly relations among nations based on respect of the principle of equal rights and self determination of peoples
To achieve international co-operation in solving international problems of an economic, social, cultural and humanitarian character
To be a centre for harmonizing the actions of nations in the attainment of these common ends."

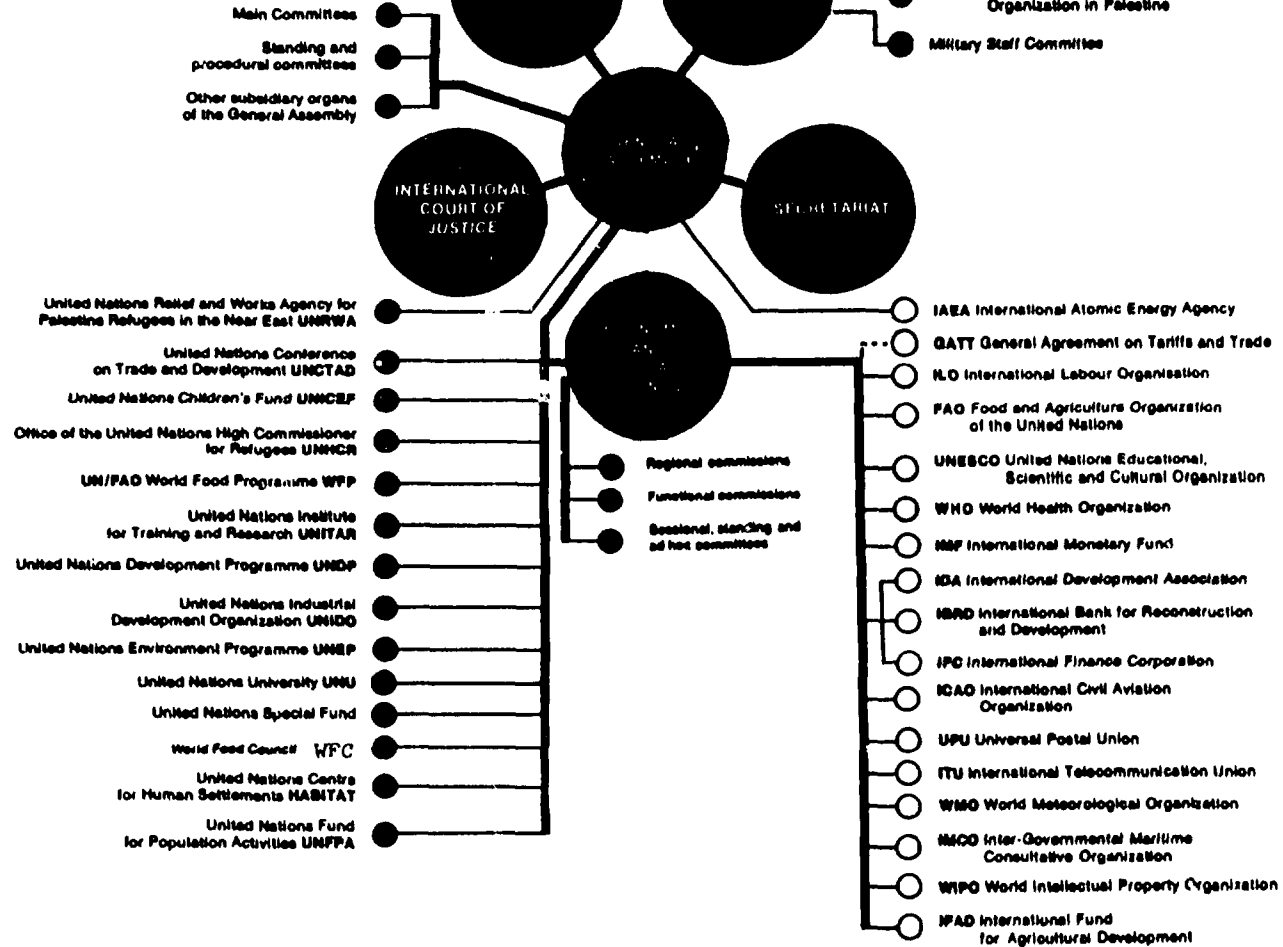
The main organs of the United Nations are: the General Assembly, the Security Council, the Economic and Social Council, the Trusteeship Council and the International Court of Justice. Of these organs, the Economic and Social Council (ECOSOC) has special relevance to the functions of UNIDO, since one of ECOSOC's principal tasks consists in the co-ordination of the economic and social activities of all the organizations and bodies belonging to the United Nations system.

The Secretary-General has appointed a Director-General for Development and International Economic Co-operation, who is to ensure the provision of effective leadership to the various components of the United Nations system in the field of development and international economic co-operation and to exercise overall co-ordination within the system in order to ensure a multi-disciplinary approach to the problems of development on a system-wide basis. He is also to ensure within the United Nations, the coherence, co-ordination and efficient management of all activities in the economic and social fields financed by the regular budget or by extrabudgetary resources. There are many other United Nations bodies, the functions of some of which will be briefly explained in the attached Glossary. Among them are the Administrative Committee on Co-ordination (ACC); the Consultative Committee on Administrative Questions (CCAQ); the Consultative Committee on Substantive Questions (CCSQ); the Joint United Nations Information Committee (JUNIC); the Advisory Committee on Administrative and Budgetary Questions (ACABQ); and the International Civil Service Commission (ICSC).



THE UNITED NATIONS SYSTEM

- Principal organs of the United Nations
- Other United Nations organs
- Specialized agencies and other autonomous organizations within the system



B. Specialized agencies and related bodies

In the years following the creation of the United Nations a number of specialized agencies came into being, or, if they existed already, became affiliated with the United Nations:

International Labour Organization (ILO);
Food and Agricultural Organization (FAO);
World Health Organization (WHO);
United Nations Educational, Scientific and
Cultural Organization (UNESCO);
International Civil Aviation Organization (ICAO);
World Meteorological Organization (WMO);
International Telecommunications Union (ITU);
Universal Postal Union (UPU);
Intergovernmental Maritime Co-operation
Organization (IMCO);
International Bank for Reconstruction and
Development (IBRD) - World Bank ^{1/};
International Monetary Fund (IMF) ^{1/};
International Atomic Energy Agency (IAEA); ^{2/}
World Intellectual Property Organization (WIPO), and
International Fund for Agricultural Development (IFAD)

The specialized agencies and the IAEA have each their own legislative and executive organs and separate secretariats: their budgets are supported by assessed (obligatory) contributions of Member States. They are bound to the United Nations by relationship agreements which provide, *inter alia*, for submission by them of reports to the ECOSOC and for their participation in other inter-agency consultative and co-ordinating bodies.

In the course of the years the United Nations has established a number of subsidiary and related bodies either for the purpose of providing relief (as in the case, for instance, of the United Nations Children's Fund (UNICEF) or the Office of the High Commissioner for Refugees (HCR)) or for the purpose of providing assistance in various forms for the benefit of Member States, and particularly developing countries. In the latter category are, among others:

^{1/} The IBRD and the IMF are constitutionally different from specialized agencies since they have a system of weighted votes, instead of the usual system of a single vote for each Member State.

^{2/} From a formal point of view the IAEA is not a specialized agency, though it has a similar status and constitution; however, unlike specialized agencies it reports to both the General Assembly, and, in some cases, to the Security Council.

The United Nations Development Programme (UNDP), to which most of the voluntary contributions of Member States for technical assistance and pre-investment activities are channelled;
The United Nations Industrial Development Organizations (UNIDO);
The United Nations Environment Programme (UNEP);
The United Nations Centre for Human Settlements (HABITAT);
The United Nations Conference on Trade and Development (UNCTAD);
The International Trade Centre (UNCTAD/GATT); and
The World Food Programme (WFP) which provides assistance in the form of food and is a programme jointly sponsored by the UN and by FAO.

These subsidiary and related bodies are governed by their own conferences or councils and have autonomous secretariats. Their budgets for administrative and general expenses are either financed by the United Nations, or from voluntary contributions. Their assistance activities are almost always funded by voluntary contributions or trust funds provided by Member States.

The United Nations has also established five regional commissions which perform, inter alia, certain functions in the field of development assistance:

Economic Commission for Africa (ECA), located at Addis Ababa
Economic Commission for Europe (ECE), located at Geneva
Economic Commission for Latin America (ECLA), located at Santiago Chile
Economic Commission for Western Asia (ECWA), located at Beirut
Economic and Social Commission for Asia and the Pacific (ESCAP), located at Bangkok.

Some other agencies or subsidiary bodies have also established regional, sub-regional or country commissions, bureaux or offices.

C. Development assistance provided by the United Nations system

The emergence and expansion of the concept of development assistance for the benefit of developing countries in the late forties and subsequent years has contributed very significantly to the increase and diversification of the activities of the organizations of the United Nations system and has brought about the creation of new international agencies and institutions active in that broad field. As a result, in spite of scarcity of funds, the spectrum of specialized fields covered by international development assistance is very wide.

Development assistance provided by the United Nations system comprises two main flows:

- (a) Technical assistance and pre-investment activities consisting among others of providing technical advice, assistance in institution building and assistance in the broad field of training. The term pre-investment is used in relation to assistance activities devised to prepare and facilitate capital investment in respect to relatively large projects; and
- (b) Assistance in obtaining funds for capital investment projects from various sources, international or national, usually in the form of loans; but in some cases also in the form of grants.

As mentioned before, funds for this type of assistance come predominantly from voluntary contributions by member states, though in some instances activities conducted by the United Nations and certain specialized agencies are financed from regular, assessed budgets. Voluntary contributions are being channelled to organizations of the United Nations system in one of the manners described in the following paragraphs.

UNDP acts as the central fund of the system for financing technical co-operation and pre-investment projects. Country, regional, interregional and global programmes, are financed within indicative planning figures determined by UNDP in the light of funds expected to be available. Such programmes at the country or regional levels are worked out by the Government or Governments concerned with international participation and are subject to approval by UNDP; subsequently the programmes are reviewed periodically and extended, if appropriate, for additional periods. On this basis individual projects are being requested by the respective recipient Governments, and when approved by UNDP, the implementation of the international component of the project is in most instances entrusted to one of the agencies or subsidiary and related bodies in the United Nations system, which acts in that instance as the executing agent of UNDP.

Voluntary contributions may be made also to one of the specialized funds administered by some organizations for the

purpose of providing assistance in certain fields deemed to be of special importance.

Finally, contributions can be made in the form of trust funds donated by a Government to finance a particular project which it wishes to support, the implementation of which is then entrusted to the appropriate body within the United Nations system.

Capital investment assistance within the United Nations system is provided almost exclusively by the World Bank (IBRD), in the form of loans (for projects for which, however, normal bank loans would be often unavailable), or, in special cases, extended at specially favourable terms and at reduced rates of interest, the financing being provided in these cases by a separate branch of the World Bank, the International Development Association (IDA). UNDP through the United Nations Capital Development Fund (CDF) provides loan or grant assistance for micro capital investments having a strong social orientation. Completed international pre-investment projects may also qualify for investment funds from other sources outside the United Nations system e.g. from regional development banks established by the Governments of some regions of Africa, Asia, Latin America and the Middle East.

III. UNITED NATIONS DEVELOPMENT PROGRAMME (UNDP)^{1/}

A. General

The United Nations Development Programme (UNDP) is a subsidiary organ of the General Assembly. It is administered under the authority of the Economic and Social Council (ECOSOC) and the General Assembly. It comprises a Governing Council, and a Secretariat headed by an Administrator.

The Economic and Social Council transmits the reports of the Governing Council, together with its own comments, to the General Assembly. The General Assembly sets the overall policy of UNDP. It also reviews the progress and operations of UNDP as a separate subject of its agenda and makes recommendations.

The Economic and Social Council is responsible for the formulation of the general rules and principles which govern the administration and operations of UNDP. It reviews the activities of UNDP on the basis of a report submitted to it annually by the Governing Council ^{2/}.

The Governing Council is composed of representatives of 48 states. It is responsible for the immediate intergovernmental control of the policies and operations of UNDP. The Council provides general policy guidance and direction for UNDP as a whole and has the overall responsibility for ensuring that UNDP's resources are employed with maximum efficiency and effectiveness in the development of the developing countries. In addition, the Council has the general responsibility for all decisions of financial policy. It makes broad allocations or resources and controls their use. The 48 members of the Governing Council are elected by the Economic and Social Council from amongst states which are members of the United Nations and members of the specialized agencies and of the IAEA. Twenty seven seats are filled by developing countries (11 from African states; 9 from Asian states and Yugoslavia; and 7 seats from Latin American countries); and 21 seats are filled by the economically more advanced countries (17 seats from Western European and other countries and 4 from Eastern European states).

UNDP's Administrator is appointed by the Secretary-General after consultation with the Governing Council. This appointment is confirmed by the General Assembly. He/she may be appointed for a term of four years or less and is eligible for re-appointment. The current incumbent is Mr. F. Bradford Morse.

^{1/} As indicated before, UNDP Policies and Procedures Manual contains full details; a copy of that Manual is available in the Resident Representative's office.

^{2/} ECOSOC also makes recommendations to the General Assembly which sets the overall policy of UNDP and reviews its activities.

As part of a restructuring of the UN system activities in the economic and social sectors, the General Assembly has decided that the overall responsibility for, and co-ordination of, operational activities of the UN system for development at the country level should be entrusted to a single official to be designated "Resident Co-ordinator". A transition to this new system and the new title has begun.

B. UNDP's technical co-operation

UNDP's technical co-operation is based on the concept of partnership between participating Governments, UNDP and the various UN agencies such as UNIDO. This makes for its tripartite nature.

UNDP plays a central role in the United Nations system of financing technical co-operation programmes in developing countries. The development programmes and selected projects of developing countries are aided by UNDP through technical and financial support. Basic obligations and contributions of recipient Governments and UNDP in the implementation of UNDP-financed activities are defined in the UNDP Standard Basic Assistance Agreement with recipient Governments. UNDP engages the services, equipment, facilities and other assistance necessary for the implementation of these projects. At the same time UNDP also serves as the executing agency for a limited number of special projects.

The Government (or, as frequently referred to, the "host Government") is the second partner in this tripartite partnership. Participating Governments are Member States of the United Nations, of any of the specialized agencies and of the International Atomic Energy Agency (IAEA). All participating Governments contribute to the technical co-operation programmes of the UNDP. Most of the Governments receive assistance in excess of their contributions, while some receive less than they contribute and some only contribute without receiving any assistance. It is important to note that the ultimate responsibility for determining priorities for UNDP co-operation rests with the recipient Governments. Depending on individual circumstances, Governments bear a part of the costs of the UNDP-assisted projects, contributing both in cash and in kind. Moreover, the recipient countries can also be entrusted with the responsibility of executing UNDP-assisted projects. As a rule, recipient Governments designate one of their central authorities to co-ordinate Government participation in UNDP technical co-operation programmes: this authority is usually referred to as "Government Co-ordinating Authority". 3/

An executing agency such as UNIDO is the third partner in this arrangement. UNDP selects the executing agency in accordance with the nature of the project and the competence of the agency. In multi-disciplinary projects an agency additional to the executing agency might be entrusted with project execution as a "co-operating agency". Under the leadership of UNDP, the executing agency in co-operation with the host Government has the responsibility for carrying out UNDP-assisted project activities. The executing agency and UNDP

3/ For certain projects the term "Government Supplementary Agency" is still being used to designate the government counterpart agency.

also undertake together with the Government the evaluation of activities in particular sectors, sub-sectors or areas with a view to identifying gaps in UNDP's technical co-operation and developing new programmes. The questions of agency competence and of inter-agency collaboration in technical co-operation are governed by inter-agency agreements and agreements between UNDP and the individual agency. UNIDO has signed a number of such agreements with agencies whose activities border on those of UNIDO. (See chapter VI).

During recent years considerable progress has been made in implementing UNDP's policy of decentralization. This process is still going on and will be reflected by amendments to the new editions of UNDP's Policies and Procedures Manual. At the same time, the trend of host government management of UNDP-financed projects is being increasingly applied as the preferred approach to implementation of UNDP supported projects, including more simplified financial procedures, special administrative and support measures to assist Governments (funded as required through IPF resources) and full co-operation from both Resident Representatives and agency personnel in encouraging this approach.

It should also be noted that a concept, generally referred to as "New Dimensions", is being emphasized by UNDP. That new concept orients itself along the following guidelines:

- (a) The basic purpose of technical co-operation should be the promotion of self-reliance in developing countries by building up, inter alia, their productive capability and their indigenous resources and by increasing the availability of the managerial, technical administrative and research capabilities required in the development process;
- (b) The selection of priority areas in which to seek the assistance of the United Nations Development Programme should remain the exclusive responsibility of the Governments of the recipient countries; in that context, the programme should respond favourably to requests for meeting the most urgent and critical needs of each developing country, taking into account the importance of reaching the poorest and most vulnerable sections of their societies and enhancing the quality of their life;
- (c) Technical co-operation should be seen in terms of output or the results to be achieved, rather than in terms of input;

(d) So long as projects are for the basic purpose of technical co-operation, the United Nations Development Programme should provide, where appropriate, equipment and material resources, adopt a more liberal policy towards local cost financing and be flexible in requirements for counterpart personnel;

(e) The United Nations Development Programme should diversify the sources of its supply from countries to enable it to mobilize in a prompt and efficient manner all available human and material resources for technical co-operation, including particularly those from developing countries;

(f) The United Nations Development Programme should give increased support to programmes of technical co-operation among developing countries and should procure as much equipment and as many services as possible on a preferential basis, in accordance with United Nations practice, from local sources or from other developing countries:

(g) Governments and institutions in recipient countries should be increasingly entrusted with the responsibility for executing projects planning, pre-feasibility, feasibility, detailed engineering design and, where appropriate, construction and initial operations and management;

(h) Technical co-operation should be provided at any of the levels and stages of the development process including assistance for project planning, pre-feasibility, feasibility, detailed engineering design and, where appropriate, construction and initial operations and management:

(i) The United Nations Development Programme should more often enter into partnership with capital assistance sources with a view to financing the technical assistance components of projects and programmes, taking into account the close relationship between technical co-operation and capital formation: and

(j) Special attention should be paid to the requirements of the least developed among the developing countries.

C. UNDP country programmes

1. General

Country programmes are plans prepared by Governments of developing countries which indicate the proposed use of UNDP resources towards the achievement or furtherance of selected national development objectives during the period covered by the programme. They may be prepared by Governments in collaboration with the UNDP and other organizations of the United Nations system such as UNIDO. Country programmes often cover the same period of time covered by the country's development plan, if there is one.^{4/} Country programme documents are submitted to the

^{4/} As a rule, country programmes are designed for a period of five years.

UNDP Governing Council for consideration and approval; once approved, the documents form the framework within which UNDP-assisted projects are formulated and implemented. The Governing Council has delegated to the UNDP Administrator authority to approve projects which are included in a country programme or which are clearly related to development objectives included in a country programme. The delegation of authority is effected on behalf of the Administrator by the Regional Bureau in UNDP or by the Resident Representative in the country concerned, depending on the cost of the project.

The "Consensus" approved by the UNDP Governing Council in June 1970 sets forth the following general principles for the preparation of country programmes:

- (a) UNDP country programming means the programming of UNDP assistance at the country level. It involves the identification of the role of UNDP inputs in specified areas within the country's development objectives;
- (b) Country programming will be used as a means to achieve the most rational and efficient utilization of resources at the disposal of UNDP for its activities in order to have the maximum impact on the economic and social development of the developing country concerned;
- (c) Country programming will be based on individual national development plans, or, where these do not exist, on national development priorities or objectives;
- (d) It is recognized that the Government of the country concerned has the exclusive responsibility for formulating its national development plan or priorities and objectives. Individual developing countries should have, at their request, assistance from the United Nations, including the regional economic commissions in the general field of planning and from the specialized agencies in sectoral planning;
- (e) The programming of UNDP assistance will be carried out in each country within the framework of indicative planning figures constituting an order of magnitude of the resources expected to be available from UNDP during the programme period;
- (f) The UNDP country programme, based on national development plans, priorities or objectives and on the indicative planning figures, will be formulated by the Government of the recipient country in co-operation, at an appropriate stage, with representatives of the United Nations system, the latter under the leadership of the Resident Representative of UNDP. It should coincide, where appropriate, with the period of the country's national development plan. The formulation of the country programme should involve:
 - (i) A broad identification of the needs which arise out of the country's objectives in particular sectors, within the framework of its overall development objectives, and which might appropriately be met by UNDP assistance;

- (ii) As precise an indication as possible of the internal inputs, UNDP inputs and wherever possible other United Nations inputs to meet these needs; and
 - (iii) A preliminary list of projects to be subsequently worked out for financing by the UNDP to implement the country programme.
- (g) The country programme of UNDP assistance should support activities which are meaningfully related to the country development objectives. This implies that the assistance provided by UNDP constitutes a programme which received its coherence and balance from its relationship to these national objectives;
 - (h) In the process of country programming, efforts should be made at all levels to co-ordinate all sources of assistance in the United Nations system with a view to achieving integration of the assistance at the country level;
 - (i) It will be for the Government to take into account, while preparing the country programme, other external inputs, both multilateral and bilateral;
 - (j) The Resident Representative will transmit the UNDP country programme to the Administrator who in turn will submit it, with his recommendations, to the Governing Council for its consideration and approval. Approval will cover the entire period of the programme, with provision for periodic reviews aimed at possible adjustments. With the agreement of the country concerned, the Administrator, in submitting the UNDP country programme for consideration and approval, will invite the Governing Council's attention to details of any other related programme of United Nations assistance; and
 - (k) The assistance of UNDP must be sufficiently flexible to meet unforeseen needs of recipient countries or exceptional situations, which country programmes could not take into account.

In December 1975, on the basis of its experience during the first country programming cycle, UNDP issued revised policies and procedures for the preparation of country programmes. The process covers a period of some 18 months, and draft country-programme documents are expected to be completed eight months before the scheduled submission to the UNDP Governing Council for approval. The final document is to be ready six months in advance of the Governing Council session.

The country-programme document is usually prepared by the Government co-ordinating authorities in very close consultation with the UNDP Resident Representative. The involvement of other organization of the United Nations system depends upon the decision of the Government and the UNDP Resident Representative concerning the need for such involvement; if requested, it may take several forms, ranging from detailed sectoral studies

and headquarters' programming missions through participation by field staff in programming discussions. Participating and executing agencies (such as UNIDO) may, at their own initiative, send comments to the UNDP Resident Representative on the draft country programme.

2. UNIDO participation in the country programming exercise

In countries to which UNIDO has assigned Industrial Development Field Advisers (SIDFA's) or Junior Professional Officers (JPO's) UNIDO seeks to participate fully in the programming discussions from the very outset. Once the timing of the exercise has been established by the Government and UNDP, the Programme Development and Evaluation Branch, Division of Policy Co-ordination, at UNIDO headquarters initiates inter-divisional consultations on the basis of which a set of country programme proposals is prepared, suggesting ways in which UNIDO might provide assistance to the industry sector during the country programme period. These proposals are sent to the Resident Representative and to the SIDFA or JPO for discussion with the appropriate government authorities, so that suitable proposals may be incorporated into the country programme document. In sending the proposals to the SIDFA or JPO, UNIDO headquarters expects them to supplement, or modify, if necessary, the proposals on the basis of their more detailed knowledge of the prevailing local situation and government priorities and then to discuss the proposals with the government officials dealing with the industry sector as well as with the UNDP Resident Representative and Chief Technical Advisers, if appropriate. As Chief Technical Advisers gain experience about conditions in their country of assignment, their advice will be increasingly sought by all concerned.

Within the framework of the country programme, UNDP co-operates with the Government concerned in formulating and implementing projects. Such co-operation does not necessarily begin or end within the time covered by that programme. In other words, the time-frame of a UNDP-assisted project is not a priori determined by the duration of a country programme, or vice versa. New projects may be added at any time during the period established for a country programme so long as they are aimed at helping to achieve the selected development objectives and can be accommodated within the available resources. Similarly, projects included in the country programme may be withdrawn. Thus, country programming is a continuing process. It does not stop when a country programme is approved by the Governing Council and start again when a new one is being prepared. In other words, a particular country programme is only one phase in the continuum of UNDP technical co-operation.

The way UNIDO can participate most effectively in the country programming process is to understand fully the development priorities and objectives of the country and to work closely with the Government to identify and formulate development assistance projects which would contribute to the attainment of such objectives within the framework of the UNDP country programme. The advice of the CTA, either in a formal fashion through periodic reports or informally in communications to his backstopping office at the Secretariat will be most helpful to UNIDO.

3. Overhead reimbursement

Technical co-operation activities financed by UNDP resources are a very important part of UNIDO's total programme of field activities and are likely to continue to be so. At present the reimbursement rate is 14% of the annual project expenditures. The same reimbursement rate is applied by UNIDO to all field activities, also to those financed by other sources such as UNIDF and Trust Funds. The UNDP Governing Council has however decided (decision 80/44 of 27 June 1980) that reimbursement of agency support costs for operational activities in respect of the financial year 1982-1991 should be made at a rate of 13% instead of 14% and ECOSOC (resolution 1980/65) and the General Assembly (resolution 35/83) approved the reimbursement formula. The same reimbursement rate will be used for all other sources of financing managed by UNIDO.

4. UNIDO's participation in UNDP country programmes

One of the first effects of the introduction of a country programming was to de-emphasize the notion of agency "shares" in UNDP assistance. The participation of UNIDO in a country programme cannot be stated in an abstract formula but depends upon the priority which a given country itself assigns to the development of the industry sector and the degree to which it wishes to use UNDP/Indicative Planning Figure resources to assist in that development. The Government will, of course, be influenced in its decision by the effectiveness with which UNIDO has provided assistance in the past and by the relevance of various UNIDO proposals which may be under consideration to the country's development objectives.

Taking the whole group of country programmes prepared during the first country programming cycle (1971-1975) allocations to projects for implementation by UNIDO accounted for 10.9% of the total amounts programmed; in the second country programme cycle (1976-1981), UNIDO has about 12.5% of the total resources programmed. It is expected that UNIDO's participation will increase further in the third cycle (1982-1986). However, UNIDO's participation in individual country programmes ranges from no projects at all in some countries to over 35% of the amount programmed in others.

5. Indicative Planning Figures

The Indicative Planning Figure (IPF) is a reasonably firm indication for the purpose of forward programming of the UNDP resources available to a country (or group of countries) for a five-year period. Indicative Planning Figures are established by the UNDP Governing Council on the basis of recommendations by the Administrator and are subject to periodic review, in consultation with the Government concerned, by the Administrator and Governing Council, in the light of progress in the implementation of the country programme.

Indicative Planning Figures are established on the basis of a five-year projection of the resources expected to be available to UNDP for country and inter-country development assistance projects; this projection of resources assumes, among other things, that the resources of UNDP will increase at least at the same rate as the average of the last few years. At present, the IPF figures for 1977-1981 assume an annual growth of overall UNDP resources of 15% with each country determining its own contribution; although the Administrator has pointed out to the Council the difficulties inherent in programming assistance for five-year periods on the basis of annual voluntary pledges, the system so far has not been changed.

Agreement upon the criteria for allocating UNDP resources to individual countries is a significant achievement of the UNDP Governing Council since the introduction of country programming in the "Consensus" of 1970 referred to above. The IPF allocations established for 1972-1976 were to a certain extent influenced by previous practices followed in approving projects for financing as "Special Fund" or "Technical Assistance" components of the UNDP programme. However, in setting IPF allocations for 1977-1981, the UNDP Administrator was able to recommend a more systematic approach. In May 1972, he proposed to the Governing Council that the basic criteria of population and per capita income level be applied more uniformly. Problems in this approach were recognized, however. For example, since one half of the total population of recipient countries resided in only five of the 118 countries then receiving UNDP assistance, allocating IPF resources in direct proportion to population size would introduce distortions; a similar problem arose with respect to the criterion of per capita income. In subsequent submissions to the Governing Council, therefore, the Administrator recommended formulae for distributing 92.5% of the resources available for country IPF's among countries on the basis of country weights obtained by multiplying the country's population weight by its per capita GNP weight and then showing the product as a percentage of the aggregate of similar products for all countries with distributed IPF's. For the remaining 7.5% of the resources available, the following supplementary criteria were used as a basis for allocation:

- (a) The special needs of newly independent countries, landlocked countries and countries suffering from acute ecological and geographical disabilities;
- (b) The magnitude of the development effort of the country itself, the extent to which the Government is making structural changes to promote the development process, and the distribution of income and other elements of the establishment of social justice;
- (c) The cumulative debt burden and overall balance of payments deficit of a country, the chronic deterioration of its terms of trade;
- (d) The effort being made to co-ordinate UNDP resources with the country's national development plans and/or priorities;
- (e) The difficulties of participation by the country in regional and/or sub-regional development activities;
and

- (f) The correction of inequalities due to historical circumstances.

In January 1976, the Governing Council accepted the IPF's proposed by the Administrator according to the above criteria and added two criteria:

- (g) Whatever the amount resulting from the application of basic and supplementary criteria, no country should have its IPF allocation decreased between the first and second country programme cycles; and
- (h) Countries with a per capita income of \$700 and over should not have an increase in their IPF between the two cycles.

The effect of these calculations was to allocate a greater share of UNDP/IPF resources to the poorer countries. Countries with a per capita GNP level below \$150 were allocated 47% of the total resources; countries below \$250 accounted for 58.5%, and countries below \$500 accounted for almost 80%. Twenty-eight countries classified as least developed among the developing countries received 31.5 % of the total IPF resources distributed - a significant increase from the share of about 22% in the first cycle.

In July 1981, UNDP considered the framework of resources planning for UNDP's third cycle, 1982-1986. The broad context for this review was the current series of international negotiations concerned with accelerating economic growth in developing countries, especially in low-income countries, and with satisfying individual and community needs in developing countries. Basic issues were the future size of the programme, as the principal multilateral channel for technical co-operation for development within the United Nations system as well as the over-all structure of UNDP's field activities, the relative roles of UNDP's inter-country development activities, and of its country activities in 1982-1986. Regarding country activities, individual third cycle IPFs were outlined and the criteria for calculating individual country IPFs were determined. Also resource allocation to be given to low-income countries as a group were stressed and guidelines were set for how to share among individual recipients the aggregate resources available for other countries as a group.

The future size of UNDP technical co-operation activities during 1982-1986 is to follow a growth rate of at least 14% annually. This planned growth is to proceed from the base of the established target level for 1977-1981 or a volume of voluntary contributions to UNDP of some \$6.5 billion. Although alternative target growth rates for UNDP development assistance to developing countries below the 14% figure were also considered possible. The table on the next page shows actual contributions during the preceding two cycles and the global target for the third cycle.

UNDP: Voluntary contributions for 1972-1976, 1977-1981 and 1982-1986; actual and target

TARGET CONTRIBUTIONS	1972 - 1976		1977 - 1981		1982 - 1986	
	Amount (US\$ mill.)	Per cent of total	Amount (US\$ mill.)	Per cent of total	Amount (US\$ mill.)	Per cent of total
	Total, all countries, for five years	1 695.0 ^{a/}	100.0	3 402.2	100.0	6 550.6 ^{b/}
Total, all countries, annual average	339.0	100.0	680.4	100.0	1 310.1	100.0

ACTUAL CONTRIBUTIONS	1972 - 1976		1977 - 1980		1982 - 1986	
	Annual average (US\$ mill.)	Per cent of total	Annual average (US\$ mill.)	Per cent of total	Annual average (US\$ mill.)	Per cent of total
	United States	84.8	22.8	115.3 ^{c/}	19.2	
Netherlands	29.7	8.0	67.8	10.7		
Sweden	38.7	10.4	66.3	10.5		
Denmark	32.6	8.7	53.1	8.4		
Federal Republic of Germany	24.1	6.5	53.0	8.4		
United Kingdom	23.5	6.3	43.5 ^{c/}	6.9		
Norway	14.1	3.8	37.9	6.0		
Canada	22.6	6.1	34.3	5.4		
Japan	14.2	3.8	30.8 ^{c/}	4.9		
France	9.6	2.3	16.5	2.6		
Belgium	6.3	1.7	16.1	2.5		
Switzerland	6.2	1.6	12.6	2.0		
Italy	4.9	1.3	7.9	1.2		
Sub-total	310.1	83.3	555.0	87.7		
Other non-recipients	18.3	4.9	28.2	4.4		
Recipients with per capita GNP below \$1,000 ^{d/}	26.8 ^{e/}	7.2	30.1 ^{h/}	4.8		
Recipients with per capita GNP between \$1500-\$3000 ^{f/}	10.1 ^{e/}	2.7	11.7 ^{h/}	1.8		
Recipients with per capita GNP above \$3000 ^{g/}	6.9 ^{e/}	1.9	8.1 ^{h/}	1.3		
Sub-total	62.2	16.7	78.1	12.3		
Total, all countries	372.3	100.0	633.0 ^{h/}	100.0	1 310.1	100.0

a/ See DP/L.157 and decision of the Governing Council contained in E/4954, paragraph 71.

b/ Target, on the assumption of an average annual increase in voluntary contributions of 14 per cent per annum (see DP/425, table 1).

c/ Estimate.

d/ All recipient countries other than those listed in f/ and g/ below.

e/ Includes assessed programme costs for 1972-1976 totalling \$75.8 million. Had these been excluded, total voluntary contributions for 1972-1976 would have amounted to \$1,719.7 million. (See DP/461, table 10.)

f/ Countries with per capita GNP in 1978 of between \$1,500 and \$3,000 are: Argentina, Bahamas, Barbados, Brazil, Costa Rica, Cyprus, Iraq, Malta, Oman, Portugal, Romania, Suriname, Trinidad and Tobago, Uruguay, Venezuela and Yugoslavia. The figure shown includes contributions from countries whose official per capita GNP figures for 1978 are not available but are estimated to fall within this group.

g/ Countries with per capita GNP in 1978 of above \$3,000 are: Bahrain, Bermuda, Brunei, Bulgaria, Czechoslovakia, Gabon, Greece, Hong Kong, Hungary, Libyan Arab Jamahiriya, Netherlands Antilles, New Caledonia, Poland, Saudi Arabia, Singapore, and the United Arab Emirates. The figure shown includes contributions from countries whose official per capita GNP for 1978 are not available but are estimated to fall within this group.

h/ Includes voluntary programme costs for 1977-1980. The total of voluntary programme costs for all countries was \$46.3 million.

NOTES: (i) In this table, as in others, figures may not always add to the totals as shown because of rounding.

(ii) Individual country data are shown for those countries whose total 1977-1980 voluntary contributions exceed \$30 million.

D. Special Industrial Services (SIS)

1. General

The report of the Secretary General on organizational arrangements for industrial development submitted to the General Assembly in October 1965 included a recommendation for provision of additional financing on a voluntary basis for operational activities which is quoted below:

"In particular, it must be recognized that in addition to the relatively long-term projects financed at present under Special Fund allocations and the medium-term activities programmed on a biennial basis under the Expanded Programme of Technical Assistance, there is a large area in the manufacturing industry which involves the need for more flexible means of assistance. Because this area has remained largely outside the scope of present programmes it cannot be easily defined by reference to the customary description of activities. Essentially, it may be said to embrace the range of services required by Governments for the implementation of projects in the manufacturing field after the initial feasibility study has been completed and until financing for the necessary capital investment has been assured. In addition to this "action gap", there is a whole range of practical needs in the manufacturing industry, with respect to both new and existing industries, which cannot be easily handled under the formal project procedures on which most existing programmes are based. Quite frequently these are short-term needs which cannot be programmed in advance and the effectiveness of the assistance depends on the ability to meet Government requests within a minimum period of time. Far from representing a set of standardized requirements, the type of assistance required in each case is likely to vary and thus, taken as a whole, the programme in this area would have to be based on a composite range of advisory services adaptable to the particular needs of each case. Furthermore, each successive step in the promotion and conduct of an industrial project towards its practical implementation is conditioned by the results of the preceding measures; thus, it may not be feasible to subject each ensuing action to the normal programming procedures.

"The existing 'gap' in these areas could be bridged by the establishment of a programme to provide 'special industrial services' in a flexible form and on a massive scale so as to facilitate the carrying over of existing projects to the point of actual investment. This final stage in the implementation of industrial projects is of a particularly critical nature during which considerable skill and technical knowledge are required to handle successfully the various practical steps which are to make feasible the capital financing of the project. Services of a similar nature would also have to be provided under this framework to assist Governments on technical problems that frequently arise in the early stages of production."

2. Definition of the SIS programme

When the SIS programme became operational in 1966, it was felt that it could cover requests which were frequently made to meet short-term needs that are urgent in nature, arise quickly and necessitate an immediate and flexible response. With the introduction of the IPF system and the delegation of approval authority to Resident Representatives it is now possible to accommodate many of the small-scale needs of Governments in the field of industry within IPF resources. For the SIS programme to be able to maintain a separate identity and to be able to manage within the resources available it is necessary to distinguish it clearly from IPF funded projects.

It must always be remembered that the SIS programme is a UNDP source of financing established to meet short-term, urgent and unforeseen requirements of high priority mainly through the quick provision of expert advisory services in the field of industry.

Subject to availability of resources, the level of the SIS programme, for a given cycle, is determined by the UNDP Governing Council. SIS resources are to be mainly applied to countries which are in acute need of such assistance. SIS resources will not normally be available to the more advanced of the developing countries in accordance with the spirit of the Lima Declaration.

SIS projects should in all cases be related to the development needs of the country concerned. The programme should, however, in no way be regarded as a supplementary source of financing for other programmes managed by UNDP.

The following examples are illustrative of the types of services which can be rendered under the programme:

- (a) Ad hoc assignment of high-level experts, whose services may be requested at relatively short notice, to advise about specific questions related to the preparation and implementation of industrial projects not assisted through IPF, Special Measures Fund for LDCs or other UNDP managed funds. SIS funds will not be used with the intention of developing a project for subsequent funding from other sources. Where UNDP financing is envisaged preparatory assistance should be used for this purpose;
- (b) Services through ad hoc arrangements with specialized institutions or consulting organizations which possess

accumulated experience in specific manufacturing techniques and are prepared to make available at short notice teams of specialists to handle simultaneously the specialized aspects of a job:

- (c) Bringing one or several national technicians to the sources of specialized knowledge abroad, either to obtain the required assistance or to learn from first-hand observation the solution to urgent technical problems as practised in industrialized areas; (Note: SIS funds may not be used for providing fellowships other than for the purpose indicated above);
- (d) Support assistance in solving specific problems such as provision of services for technical documentation, computations or data of a particularly complex nature, laboratory analysis of a type not available locally, design work of a specialized nature etc.; and
- (e) Assignments of a "trouble shooting" nature to solve technical or management problems arising in connection with the operation of plants and machinery, flow of materials, quality control etc.

The above examples indicate that the services to be financed are of short-term duration. Normally, such projects shall not exceed three months and exceptionally the duration may be up to six months. The cost of such projects should not exceed \$75,000.

Equipment is not normally financed under this programme. In exceptional cases, an upper limit of \$20,000 within a project is to be observed for equipment meant specifically for testing or demonstration purposes to support the efforts of an expert in the solution of problems at hand.

Assistance in connection with natural disasters and consequent rehabilitation and reconstruction efforts is not funded through SIS projects but through Programme Reserve or other resources.

SIS funds are not normally meant for intercountry projects as the type of assistance indicated above does not lend itself to intercountry activity.

SIS projects which are not expected to be or are not operational within six months after approval shall be cancelled by UNIDO.

In summary, it may be said that the criteria and purposes of SIS remain basically unchanged from those described in the 1965 Report of the Secretary-General to the General Assembly at the occasion of the establishment of UNIDO. However, the focus has sharpened in the light of experience over the years with the uniqueness of the SIS programme and the following guidelines are being emphasized:

- (a) SIS should not be viewed as a supplement to the IPF;
- (b) SIS should be used mainly for the less developed of the developing countries;
- (c) For urgent assistance in cases of natural disaster, other sources must be explored, such as the Programme Reserve; and
- (d) SIS may not be used for preparatory missions. (However, an SIS project could lead to the identification of additional problems requiring technical assistance).

For further information regarding the formulation and preparation of SIS projects, see chapter XIII.

E. United Nations Industrial Development Fund (UNIDF)

1. General

The United Nations Industrial Development Fund was set up by the General Assembly in December 1976 and the management of the Fund has been entrusted to UNIDO. At the same time, the General Assembly established the general procedures governing the operations of the Fund. The Fund became operational on 1 January 1978 and the IDB has temporarily delegated the management of the Fund to the Executive Director of UNIDO.

2. Purpose of the Fund

The purpose of the Fund is to enhance the ability of UNIDO to meet promptly and flexibly the needs of the developing countries by supplementing the assistance provided by the United Nations and by UNDP. The Fund should basically be used for the financing of innovative, non-traditional projects; the Fund should thus not be used for the financing of projects which, due to their low priority, have not been included in the country programme or for projects which are basically of a traditional technical assistance character.

3. Priority access

At its ninth session, held in December 1977, the Industrial Development Board accepted the following nine priority areas of programmes to be financed from the Fund:

- (a) Special measures for the industrial development of the least developed countries;
- (b) Transfer and adaptation of technology and development of appropriate technology, and industrial information;
- (c) Economic and technical co-operation among developing countries;
- (d) Training programmes and strengthening industrial training institutions in developing countries;
- (e) Industrial institutional infrastructure;
- (f) Industries processing local natural resources, including export-oriented industries;
- (g) Industries satisfying basic needs and support to rural industries;
- (h) Promotional activities; and
- (i) Other activities.

Complementarity of these programmes with other programmes, particularly with those financed under the UNDP/IPF resources, will be secured in several ways. The close involvement of the UNDP Resident Representative and the SIDFAs is sought, wherever possible, in projects already developed under each programme. No project idea is developed or is intended to be developed without ascertaining the formal interest and backing of the countries concerned.

4. The financial frame and management of the UNIDF programme

The main financial and management features of the Fund are as follows:

- (a) Contributions are on a voluntary basis and may be accepted from Governments, intergovernmental and non-governmental organizations and other non-governmental sources;
- (b) Donors may choose the currencies in which they contribute;
- (c) Donors may make contributions for special purposes, provided that they are consistent with those of the Fund;
- (d) The Fund meets its programme support costs, including administrative costs, by an obligatory provision calculated in the manner adopted by UNDP - currently 14 per cent of expenditures against project budgets;

- (e) The Management of the Fund is temporarily delegated to the Executive Director of UNIDO; and
- (f) The Executive Director of UNIDO submits annually to the Board a Plan for the next two calendar years and programme proposals covering the first of those years.

There are three financial factors which have a considerable influence of the kind of programme which the UNIDO secretariat can put forward for approval each year. These are:

- (a) The total magnitude of annual contributions to UNIDF and the extent to which Governments make pledges covering a number of years;
- (b) The proportion between special-purpose contributions (where the donor specifies the kind of use to which the contribution shall be put) and other contributions to UNIDF; and
- (c) The proportion between contributions made in non-convertible currencies and those made in convertible currencies.

The funding level for UNIDF has been discussed by Governments in various international forums, within and outside the United Nations - for example, at the Conference on International Economic Co-operation, popularly known as the North-South dialogue. The Industrial Development Board decided in May 1977 that \$50 million yearly would be a desirable funding level and the General Assembly endorsed that decision in its resolution 32/166 of 19 December 1977. A year later, the General Assembly reaffirmed the point and appealed for this level to be achieved in 1979.

Special-purpose contributions enable donor Governments to finance projects in particular industrial sectors, institutions or countries. Such contributions can generally be accommodated without loss of coherence in the programme. If, however, the purpose of the contributions is defined narrowly and specifically in terms of projects, rather than broadly in terms of programme areas, this tends to increase the time spent on programming and negotiating the use of these contributions and to cause delays. Governments interested in making special-purpose contributions can help those responsible for drawing up the programme in two ways: by defining the special purpose in broad terms and agreeing to the specific application with the UNIDO secretariat; and by accompanying any special-purpose contribution with a general purpose contribution.

Some Governments may feel unable to make any significant contribution in freely-convertible currency, despite their sympathy with the aims and purpose of the Fund. That being so, the secretariat of UNIDO has the duty to seek out ways in which non-convertible currencies can be utilized to acquiring goods or services for UNIDF projects in each of the countries whose Governments offer such currencies. The related cost of programme support and administrative services, however, must be incurred in convertible currency. Thus, a contribution received entirely in non-convertible currency must be used in conjunction with convertible currency from another source. Since this can be done only to a limited extent, the Executive Director

of UNIDO appeals to donors to make every effort to contribute at least 14 dollars-worth of convertible currency for support costs, to accompany each 100 dollars-worth of non-convertible currency.

Both special-purpose contributions and non-convertible currency call for more staff time on programming because they reduce flexibility. They also add to administrative costs. UNIDF is therefore likely to make a greater impact if a high proportion of its contributions falls into neither of these categories.

Unfortunately, the above mentioned suggested funding level has not been attained so far. Below please find a table showing the magnitude and composition of pledges received during the first three Pledging Conferences:

Pledges^{a/} and approvals by funding components, 1978-1980
(in millions of US dollars)

Funding component	Balance from UNIDO General Trust Fund (31.12.77)	1978		1979		1980		Total ^{b/}	
		Pledges	Approvals	Pledges	Approvals	Pledges	Approvals	Pledges	Approvals
General-purpose convertible	1.7	2.7	7.6 ^{c/}	2.7	1.7 ^{c/}	2.9	1.8 ^{c/}	10.0	11.1
General-purpose non-convertible	2.6	2.5	4.4	2.3	1.8	2.3	3.7	9.7	9.9
Special-purpose convertible	0.6	4.9	4.9 ^{c/}	7.4	4.4 ^{c/}	9.7	9.9 ^{c/}	22.6	19.2
TOTAL	4.9	10.1	16.9	12.4	7.9	14.9	15.4	42.3	40.2

a/ Pledges made at pledging conference held in previous year.

b/ Including balance brought forward from UNIDO General Trust Fund.

c/ Including overhead charges.

It should here be especially noted that the UNIDO secretariat has the possibility to freely programme only the relatively modest general purpose convertible segment of the Fund. As this particular segment of the Fund is called upon to cover such costs as agency overhead charges and certain other charges in connection with basically non-convertible projects, the modest amount available for the Secretariat's free actual programming decreases further.

5. General procedures governing the operations of UNIDF

The general procedures are set out by a General Assembly resolution and are based on the policy guidance given by the Industrial Development Board. They are supplemented by the Financial Regulations and Rules of the United Nations and by a special annex thereto for UNIDF containing exceptions or additions. No attempt is made here to deal exhaustively with this subject.

Governments may pledge contributions to the Fund at any time, but are urged to do so at the annual United Nations Pledging Conference for Development Activities. Contributions may be pledged on an annual basis or for a number of years; Governments are urged to do the latter.

As already indicated, a two-year plan with programme for the first year is submitted by UNIDO's Executive Director annually to the Board. The plan contains estimates of future resources of UNIDF and their proposed apportionment. The programme gives details concerning the activities which it is proposed should be undertaken with estimates of expenditure according to types of activity. The programme is so formulated, however, as to provide a margin of flexibility in the final choice of projects to be implemented in a given financial year (which corresponds to the calendar year).

The Board approves the programme and authorizes the allocation of funds for programme activities, including a contingency margin for expenditure on projects to meet emergency needs. It also authorizes allocations, if any, to other units of the United Nations, the specialized agencies and the International Atomic Energy Agency. Authority for project approval is likewise vested in the Board, but may be delegated to the Executive Director. It is so delegated at present.

The formulation of projects is the responsibility of the UNIDO secretariat, which is required to prepare a project document in each case, describing the various resources that will be required and including a budget estimate, a work plan and any special arrangements applicable to the execution of the project. Where applicable, the project document must contain a statement of the counterpart contribution to be made by a recipient Government, detailing its amount, timing and form. (Such contributions, required for local costs, may be in cash or kind.)

Programme support, including administrative services, for the implementation of UNIDF projects is provided by the UNIDO secretariat.

Systematic evaluations are to be undertaken of individual projects and of the programme as a whole, to enable the Board to exercise effective control over the constituent activities of the Fund.

The importance attached to follow-up action is illustrated by two provisions: each project document should identify the follow-up action expected to be taken on completion of the project; and the establishment of a basis for such follow-up action may in itself be a suitable objective for a project.

The financial procedures are, for the most part, those which UNIDO follows as an organizational entity of the United Nations, although an accounting period of one year has been adopted instead of a biennium because pledges to UNIDF may be made annually and the programme has to be approved annually. Contributions are normally paid into a General Fund, but special-purpose contributions are segregated in sub-accounts. Another separate account receives the allocations for programme support costs, including administrative costs, of UNIDF. The funds so allocated are merged with other UNIDO resources allocated for similar purposes and disbursed accordingly.

Special-purpose contributions must not impose any condition which can be met only by a departure from the permitted methods and procedures of recruitment and administration of UNIDO personnel, of procurement of supplies and equipment, or of carrying out any other activity. A special-purpose contribution from a non-governmental organization or other non-governmental source is accepted subject to approval by the Industrial Developing Board, which may waive this requirement within such limits and in such categories as it may specify.

6. How to request assistance from UNIDF

Any Government seeking assistance from UNIDF should make a written request to the Executive Director of UNIDO. In its letter the Government should state in detail the kind of assistance it requires and the objectives it hopes to achieve with the aid of UNIDF. It should also state what services and facilities it expects to be able to contribute itself.

The Government should provide, in the form of a time-table, an indication of the work plan envisaged for the assistance it seeks. It should identify the governmental entity or entities that will be responsible for the proposed project, explaining the division of responsibilities if more than one entity is to be involved.

Broadly speaking, the information supplied by Governments should be on the same lines as in requests for assistance from UNDP.

Intergovernmental organizations may also be eligible for assistance from UNIDF.

7. How Governments can help to plan the use of UNIDF resources

When a Government would like to receive assistance from UNIDF for a certain purpose but is not immediately in a position to make a formal request with the precision and degree of detail indicated above, discussions should be opened with the UNDP Resident Representative or UNIDO's Senior Industrial Development Field Adviser (SIDFA), who will involve the headquarters staff of UNIDO as and when necessary. These officials on the spot and those at headquarters concerned with UNIDF programming will bear in mind when discussing such requests the need for appropriate co-ordination with UNDP activities. The relationship between the UNIDF programme and other official development assistance is examined later in this Manual.

Whether they hope to receive assistance or make special-purpose or general contributions to UNIDF or fall into neither of these categories, Governments of member States are encouraged to give the benefit of their advice and experience and to come forward with new ideas for utilizing the resources of the Fund. This is their Fund, managed by UNIDO on their behalf. Helping to make it a success is a matter for co-operation and finance is only one of the inputs that UNIDO seeks.

IV. UNIDO - ESTABLISHMENT, POLICY-MAKING, SUPERVISORY
AND ASSOCIATED ORGANS, AND MAJOR EVENTS

A. Establishment of UNIDO

UNIDO was established in January 1967 as the successor of the Centre for Industrial Development (CID) which had operated since 1961 as part of the Department of Economic and Social Affairs (ECOSOC). (Reference General Assembly resolution 2152 (XXI)).

B. Policy-making and supervisory organs

The policy-making organs of UNIDO consist of the General Conference of UNIDO; the Industrial Development Board (IDB) and its subsidiary organ, the Permanent Committee; and general conferences.

1. Industrial Development Board

The Industrial Development Board meets normally once a year to formulate principles and policies designed to achieve the aims of UNIDO and to review and approve its programme. Recommendations of the Board are submitted for approval to the United Nations General Assembly through ECOSOC which has the responsibility for co-ordinating the activities of the United Nations and of the specialized agencies in the economic and social fields.

The Board consists of 45 members elected by the General Assembly from among Member States of the United Nations and members of the specialized agencies and the International Atomic Energy Agency (IAEA). Individual members of the Board have one vote. At each annual United Nations General Assembly 15 members are elected to the Board for a three-year period under quotas ensuring an equitable geographical distribution. The membership changes but the geographical distribution key remains the same as spelt out in UNIDO's Rules of Procedures of the Industrial Development Board.

Representatives of all United Nations bodies, the specialized agencies and the International Atomic Energy Agency, as well as the intergovernmental and non-governmental organizations having consultative status with UNIDO may participate in the deliberations of the Board and its subsidiary organs as observers without the right to vote.

2. Permanent Committee

The Board is assisted by a subsidiary organ, the Permanent Committee which is composed of representatives of all States which are members of the Board. The Permanent Committee holds two sessions a year, one in the spring immediately preceding the session of the Board, and one in the fall.

C. Major events in UNIDO's history

1. Athens Symposium

In its first year of existence, UNIDO organized the International Symposium on Industrial Development, held at Athens late in 1967. This symposium was the first world-wide forum on industrialization held under the auspices of the United Nations. The recommendations - more than 200 in number - which emerged from this symposium called for a change in industrial development strategies from academic studies to action-oriented activities.

2. Special Industrial Conference

In 1971, a review of UNIDO's activities was held in the form of a Special Industrial Conference at Vienna. Although it was then not called the "First General Conference", it has since been often referred to as such.

The consensus resolution which resulted from this conference covered the long-range strategy and orientation of UNIDO's activities, as well as organizational structure and financing. Special emphasis was placed on UNIDO's role in the Second United Nations Development Decade and in the transfer of technology to the developing countries.

The United Nations General Assembly endorsed the consensus resolution and requested the Secretary General of the United Nations to appoint a Group of High-level Experts to formulate the long-range strategy for UNIDO.

3. Group of High-level Experts and the Ad-Hoc Committee

The Group of High-level Experts on a Long-range Strategy for UNIDO met four times at Vienna between March 1972 and February 1973. The Group's report and recommendations represented an assessment of the functioning of UNIDO and an expression of strategy and direction.

Subsequently, an Ad-Hoc Committee was established to identify ways and means of implementing the recommendations of the Group of High-level Experts and to assist the Industrial Development Board in the formulation of a long-range strategy for UNIDO.

The Industrial Development Board endorsed the reports and recommendations of the Group of High-level Experts and the report of the Ad-Hoc Committee. The Board further decided that these reports be submitted to the Second General Conference of UNIDO so that the Conference could assist in the further consideration of the long-range strategy for UNIDO.

4. Second General Conference of UNIDO

The Second General Conference of UNIDO was held at Lima, Peru, in March, 1975. A new orientation had been given to the Conference as a result of the adoption by the General Assembly in April and May 1974 of a Declaration and Programme of Action on the establishment of a New International Economic Order, the contents of which became fundamental objectives of the Lima Conference.

The Conference adopted three resolutions calling for special attention to be given to least developed, land-locked and island developing countries; to the transfer and the use of appropriate industrial technology to developing countries; and to human aspects of industrial development. An important issue was the adoption by the Conference of the Lima Declaration and Plan of Action on Industrial Development and Co-operation.

The Plan of Action is divided into six general parts. The first part concerns measures of national scope. The second part pertains to co-operation, at the subregional, regional and interregional level, among developing countries. The third part points to possible forms of co-operation between developing and developed countries. The fourth part is concerned with special measures to be taken for the least developed, land-locked and island developing countries. Under the fifth part, regarding institutional arrangements, the Conference recommended to the General Assembly that UNIDO be converted into a specialized agency. In the sixth part, the Conference confirmed the precepts contained in the Charter of Economic Rights and Duties of States, adopted at the twentieth session of the General Assembly.

The main target established at the Lima Conference is that the present low percentage share of the developing countries in total world industrial production "should be increased to the maximum possible extent and as far as possible to at least 25 per cent of total world industrial production by the year 2000, while making every endeavour to ensure that the industrial growth so achieved is distributed among the developing countries as evenly as possible".

5. Third General Conference of UNIDO

The Third General Conference of UNIDO was held on the invitation of the Government of India at New Delhi for a period of three weeks in January/February 1980. 133 delegations as well as representatives of a larger number of international organizations participated. The main themes on the agenda were: Review and appraisal of the world industrial situation, with specific reference to the industrialization of the developing countries; Strategy for further industrialization as an essential element of the development process in the 1980s and beyond; and Institutional arrangements, which covered a review of co-ordination within the United Nations system with respect to industrialization questions and the effectiveness of the institutional arrangements for UNIDO with reference to the long-range strategy for the Organization.

The Conference adopted two resolutions, on "Women and Industrialization" (ID/CONF.4/RES.1) and on "Industrial Development Decade for Africa" (ID/CONF.4/RES.2). It also adopted the New Delhi Declaration and Plan of Action on Industrialization of Developing Countries and International Co-operation for their Industrial Development. In the Declaration, the Conference set forth a number of principles relating to the process of industrialization, with particular reference to the review and appraisal of the world situation and the strategy needed for the further industrialization of the developing countries.

The Plan of Action is divided into nine major sections. The first pertains to industrial restructuring in the context of the establishment of the New International Economic Order, the second to the greater flow of financial resources needed to accelerate the industrialization of the developing countries. The third section concerns the strengthening of industrial technological capabilities and capacities, and the fourth points to the need to assure adequate energy supplies for the industrialization process. The fifth section pertains to the establishment and strengthening of industrial production capacities, and the sixth to the development of human resources. The seventh section concerns trade in manufactures and semi-manufactures. The eighth pertains to special measures of assistance for the least developed, land-locked, island and most seriously affected developing countries, as well as special measures for the Palestinian and Namibian peoples and Zaire. The ninth section deals with institutional arrangements for UNIDO and, inter alia, "urges all member States to hasten the process of signature and ratification of the constitution".

6. Conversion of UNIDO into a specialized agency

As indicated before, it was recommended in the Lima Declaration and Plan of Action that UNIDO be converted into a specialized agency. That recommendation was subsequently endorsed by the General Assembly at its seventh special session in September 1975, which then proceeded to establish an Intergovernmental Committee of the Whole to Draw Up a Constitution for UNIDO as a Specialized Agency. The Intergovernmental Committee held five sessions at Vienna in 1976 and 1977. Following the submission of its final report, the Secretary-General convened in New York, from 20 February to 10 March 1978, the United Nations Conference on the Establishment of UNIDO as a Specialized Agency. The second session of the United Nations Conference on the Establishment of UNIDO as a Specialized Agency, convened in 1979, adopted the constitution of the United Nations Industrial Development Organization on 8 April 1979; the constitution is open for signature at United Nations Headquarters, New York. According to Article 25 of the Constitution, the document will enter into force when at least eighty States that had deposited instruments of ratification, acceptance or approval notify the Depositary that they have agreed, after consultations among themselves that the Constitution shall enter into force. As of 8 July 1981, 114 States had signed the Constitution and 46 States had ratified it. Pending the conversion of UNIDO into a specialized agency, the Secretary-General of the United Nations and the Executive Director of UNIDO have worked out interim arrangements regarding greater autonomy for UNIDO.

D. National Committees for UNIDO

1. General

At the occasion of UNIDO's International Symposium on Industrial Development, held at Athens in 1967, a mechanism was established at the national level, enabling public and private bodies interested in industrial development and wishing to co-operate with UNIDO to co-ordinate their activities and to inform Governments of their opinions on questions dealt with by UNIDO. Accordingly, the establishment of National Committees was encouraged which would serve in an advisory capacity to the Governments and to the member institutions in regard to all questions related to the activities of UNIDO.

The tasks of the National Committees have grown since following the Lima Declaration and Plan of Action. New responsibilities call for an intensive mobilization of government bodies, public or private institutions, commercial organizations and university establishments in support of UNIDO's activities.

2. Aims and functions

The National Committees constitute institutional machinery at the national level. Their functions are:

- (a) To give to their Governments:
 - (i) Opinions on industrialization policies, obtaining the co-operation of government bodies, of public and private institutions, of industrial and commercial organizations and of trade unions;
 - (ii) Advice on the different aspects of UNIDO's activity so as to enable Member States to pursue vigorously the implementation of the objective stated in the Lima Declaration and Plan of Action, and to stimulate the interest of the authorities concerned at the highest level for all the activities of UNIDO;
 - (iii) Information on UNIDO and its activities; and
 - (iv) Suggestions on how to implement more quickly and in a more concrete manner UNIDO's technical co-operation programmes.
- (b) To provide UNIDO with:
 - (i) An important means of communication at the national level, by means of which the country's intellectual resources could be mobilized and associated

in the implementation of industrial co-operation:

- (ii) An improved public image;
- (iii) A central point for the spread of UNIDO's operations in the country; and
- (iv) A means of organizing meetings between UNIDO officials visiting a country and the government authorities.

To this end the National Committees have consultative, informative and, in certain well-defined cases, executive functions.

(a) Consultative functions

The National Committees for UNIDO must be able to provide their Governments, at their request or on the Committee's own initiative, with authoritative views on:

- (i) The national industrialization problems to be solved in order to attain the target set by the Lima Declaration and Plan of Action, dealing with either the political and socio-economic aspects of industrial programming and of planning, the technological aspects of industrialization, or the external aspects of development;
- (ii) Mobilization of the resources necessary for establishing short-, medium- and long-term programmes for the implementation of the objectives of the Lima Declaration and Plan of Action; the activities to be set up with UNIDO in various sectors of industry;
- (iii) The interest of Governments in participating at the highest level in international and institutional meetings organized by UNIDO and in appropriately fostering the action necessary for such participation;
- (iv) The designation of national specialists to take part in international congresses and meetings of experts organized by UNIDO;
- (v) The specific measures to be taken as appropriate follow-up action on decisions adopted at meetings or international conferences on industrial co-operation and development; and
- (vi) UNIDO's central co-ordinating role for all activities of the United Nations system in the field of industrial development, at national level.

(b) Informative functions

The National Committees must be able to make the following contributions:

- (i) Contributions for the benefit of their countries:
- Distributing information material on UNIDO and its activities to public and private bodies, academic and research institutions and specialized associations interested in industrial development and wishing to co-operate with the organization in industrial development;
 - Compiling a directory of organizations able to assist in heightening awareness of the problems of industrialization and intensifying contacts with university and research institutions;
 - Acting as a mini-centre for documentation on UNIDO, for example, by keeping relevant documentary material available for interested parties;
 - As appropriate, making use of the information media, the press, radio, television and films, to disseminate general information on UNIDO activities likely to be of interest to the general public;
 - Organizing seminars and symposia for public information;
 - Drawing the attention of the above-mentioned organizations to: the work of the Industrial Development Board and its Permanent Committee and the work of the General Assembly concerning UNIDO; the way in which decisions are taken in these bodies, the nature of the decisions and their possible impact on the policies and measures to be taken at the national level; the role that the country should play in the international scene and the importance of effective participation in all the recommendations and resolutions adopted at the above-mentioned meetings, since these both commit the country and enable it to enhance its image in the concert of nations; and measures taken on such issues as: the conversion of UNIDO into a specialized agency; the General Conference of UNIDO; sectoral consultation meetings; the promotion of aid to the least developed countries; co-operation between developing countries etc.;

- Examining the possibility of publishing an information bulletin in the national language in order to:
- Adapt information to the needs of national groups, specialized circles and any other users interested in questions of industrialization;
- Draw the attention of interested circles to UNIDO documents and publications;
- Translating UNIDO documents and publications into the national language, if necessary; and
- Generating interest in UNIDO's activities among the various groups mentioned in the recommendations of the International Symposium on Industrial Development.

(ii) Drawing the attention of UNIDO to:

- The country's economic policy, with special emphasis on its economic development plan and the share of industrialization therein;
- National needs and priorities in the field of industry in which aid could be given, indicating the government bodies responsible for those activities;
- Periodicals for various sectors of industry, and any publications with a possible influence on the industrial development of the country; and
- The possible role of the National Committee as a means of communication at the national level for all activities not falling within the responsibility of any ministry.

(c) Executive functions

According to the dispositions made by individual Member States, National Committees could take on executive functions, either alone or together with other bodies. To this end, National Committees and Governments should examine the possibility of taking part in the implementation of, or even executing, such projects. Consequently, National Committees should make possible:

- (i) The solution of difficulties in the implementation of UNIDO action in the country at UNIDO expert level in project funding and in adaptation to local conditions;

(ii) The recruitment of experts

In resolution 3461 (XXX), the General Assembly requested the Secretary-General of the United Nations, together with the Administrator of UNDP, to give preferential treatment to the developing countries in respect of the recruitment of experts, the conclusion of subcontracting agreements, procuring equipment and providing fellowships in order to promote self-reliance in the developing countries.

In countries without national recruitment services the National Committees should play the role of a catalyst to assist UNIDO in reaching that objective. They could assist UNIDO in:

- Finding candidates in the country in the best-represented disciplines and proposing candidates likely to bear comparison with experts from industrialized countries;
- Actively helping Governments to accelerate the process of approving experts proposed by UNIDO for projects. (One of the reasons for delays in the recruitment process is the extreme slowness of certain Governments in coming to a decision, which often results in candidates' no longer being available when a decision is taken); and
- Assisting experts stationed in the country, if necessary, and keeping information on living conditions up to date (housing, schools and medical services, possible emergency situations etc.).

(iii) Co-operation between National Committees

- UNIDO will encourage and support any initiatives from the National Committees to establish relations among themselves on either a regional or an interregional basis;
- UNIDO will encourage any co-operative links between the National Committees of developing countries and between the latter and those of the industrialized countries; and
- Bearing in mind the recommendation of the International Symposium on Industrial Development that academic and research institutions should be linked, UNIDO will support all initiatives aiming at the promotion of co-operation between National Committees for UNIDO and National Committees for UNESCO.

3. Composition

The composition will vary depending on whether the country has planned economy or market economy, whether it is developing or industrialized. Similarly, the composition will vary according to whether or not the role of the National Committee is assigned to an already existing organization. Candidates for the National Committee should not be nominated in their personal capacity but by virtue of their office.

The National Committees should normally include among their members representatives of academic and research institutions and of public and private industrial and commercial establishments who have a part to play in the industrialization of the country.

The National Committees should be able to hold meetings of working parties on particular issues as often as necessary to permit greater flexibility; it should not be necessary for all members of the National Committee to be present for the Committee to meet. The level of representation at National Committee meetings could vary according to the availability of members. Alternates should be nominated to enable the National Committee to meet if one or more members should be unable to attend.

4. Responsibilities

(a) Responsibilities of Member States to the National Committees

In accordance with the resolution adopted at the International Symposium on Industrial Development, each State may envisage either the establishment of a National Committee or the assignment of the functions of a National Committee to an already existing organization in the country.

To this end, each State should provide its National Committee with the structures and resources necessary to perform its functions efficiently. It should define the composition of the Committee, as well as the responsibilities delegated to it by the State, its operating conditions and the funds that might be available to it.

Whenever States assign the functions of National Committees to an already existing organization in the country, that organization should receive any such additional mandate as may be considered appropriate to enable it to perform its functions properly.

- (b) Responsibilities of UNIDO towards Governments and the National Committees:
 - (i) Pursue its efforts to urge Governments to establish National Committees or to assign the functions of National Committees to an already existing organization in the country;
 - (ii) Provide the National Committees with the documentation necessary for advising government delegations taking part in international meetings organized by UNIDO: and
 - (iii) Publish and periodically send to the National Committee a directory of National Committees.

If necessary, UNIDO will:

- (a) Organize periodic consultations with National Committees;
- (b) Examine the possibility of signing contracts as required for the execution of the activities laid down in its programme;
- (c) Assist Member States at their request in establishing their National Committees by giving them advice or by putting SIDFAs or secretariat staff members at their disposal;
- (d) Encourage government participation at the highest possible level in all UNIDO meetings and urge for participation in activities such as those concerning the system of consultations, etc.; and
- (e) Generate the interest of Governments in assigning representatives of National Committees to attend international meetings and conferences organized by UNIDO.

In order to enable the National Committees to operate, UNIDO will, through its External Relations Section:

- (a) As far as possible, give to National Committees the assistance necessary for the performance of their tasks;
- (b) Provide the Committees with guidelines to facilitate their activity;
- (c) Give advice and technical assistance through its SIDFAs, who will be designated as on-the-spot liaison officers to the National Committees, and through field experts or secretariat staff members;
- (d) Organize regional, subregional and international meetings in order to study questions of common

interest, formulate proposals for programmes and organize the joint execution of special activities such as the Review of actions taken and progress achieved by Governments and international organizations towards implementing the Lima Declaration and Plan of Action; and

- (e) Provide the National Committees with information material on the organization and its activities, as well as with brief summaries of its main technical publications. UNIDO will also place the National Committee on the distribution list of its Newsletter.

5. Work programmes

The National Committees should envisage preparing annual or biennial work programmes in consultation with the Governments. UNIDO should, if requested, be prepared to make headquarters officials or consultants available for the preparation of work programmes. To this end, it would be appropriate to co-operate with government authorities in delimiting areas in which contacts and direct co-operation with UNIDO could be useful.

The National Committees should convey to UNIDO details of their work programmes, the type of aid they expect from UNIDO for the implementation of those programmes, and copies of their annual reports. In return, UNIDO would convey its comments on the reports and suggest activities for consideration by the National Committees.

6. Operation

The Meetings of National Committees should be held regularly. Ad hoc meetings could be organized on the occasion of visits by, for example, the Executive Director or high UNIDO officials. The National Committees would be free to invite UNIDO field advisers in the country or, as far as possible, UNIDO experts stationed in the country, to make contributions to their discussions. Meetings should not necessarily always have to be held at top level. The National Committees should ensure a permanent liaison with UNIDO by appointing a secretary responsible for such co-ordination.

7. Participation of the private sector in the activities of National Committees

It has often been said that non-governmental national organizations know very little about UNIDO. Their participation in the activities of National Committees would make it possible to close this gap. This form of co-operation would be an efficient means of bringing the two sides together and of furthering mutual understanding. It is important, furthermore, to establish closer links with non-governmental organizations, as their experience could prove valuable for gathering necessary information.

The role of the National Committees in this area is to select organizations which could usefully participate in various meetings and activities of the National Committees.

Furthermore, in order to make use of the experience gathered in specific sectors in each country, the National Committees should seek information on the attitude in business circles to questions of interest to the National Committees, by conducting a representative survey among professional associations, federations of employers etc. However, there is no hard and fast rule. It is for the National Committees to examine the information supplied to them by the responsible organizations and to convey it to their Governments for perusal and evaluation.

Non-governmental organizations are usually glad to be consulted. On the whole, they consider that UNIDO could play a more effective role in aid to the developing countries. Only some of them feel that attitudes in their countries are so rigid that participation of the private sector would not fail to generate friction.

V. UNIDO - LOCATION AND COMMUNICATIONS

A. Location of the Secretariat

UNIDO's headquarters ^{1/} is located at the Vienna International Centre (VIC) ^{2/} which was constructed by the Austrian Government and to which UNIDO moved in 1979 ^{3/}. Upon arriving in Vienna for initial briefing, Chief Technical Advisers, like all field project personnel, will report first to the area clerk of Project Personnel Recruitment Section located in "D" building on the eleventh floor as noted in the travel authorization and will then be referred to the Recruitment Officer (on the same floor) and to the Expert Administration Unit (on the fifth floor of "E" building) as well as the Briefing/Debriefing Office located in Room D-1514 (x-3761). The necessary appointments to see substantive units will then be made by the Briefing/Debriefing Office.

The diagrams and sketch plans on the following pages should assist newcomers to UNIDO to find their way to the VIC and within the various buildings.

^{1/} The term "headquarters" refers to the location of UNIDO's main offices in Vienna; the term "Secretariat" refers to UNIDO's central staff. However, the two terms are frequently used interchangeably.

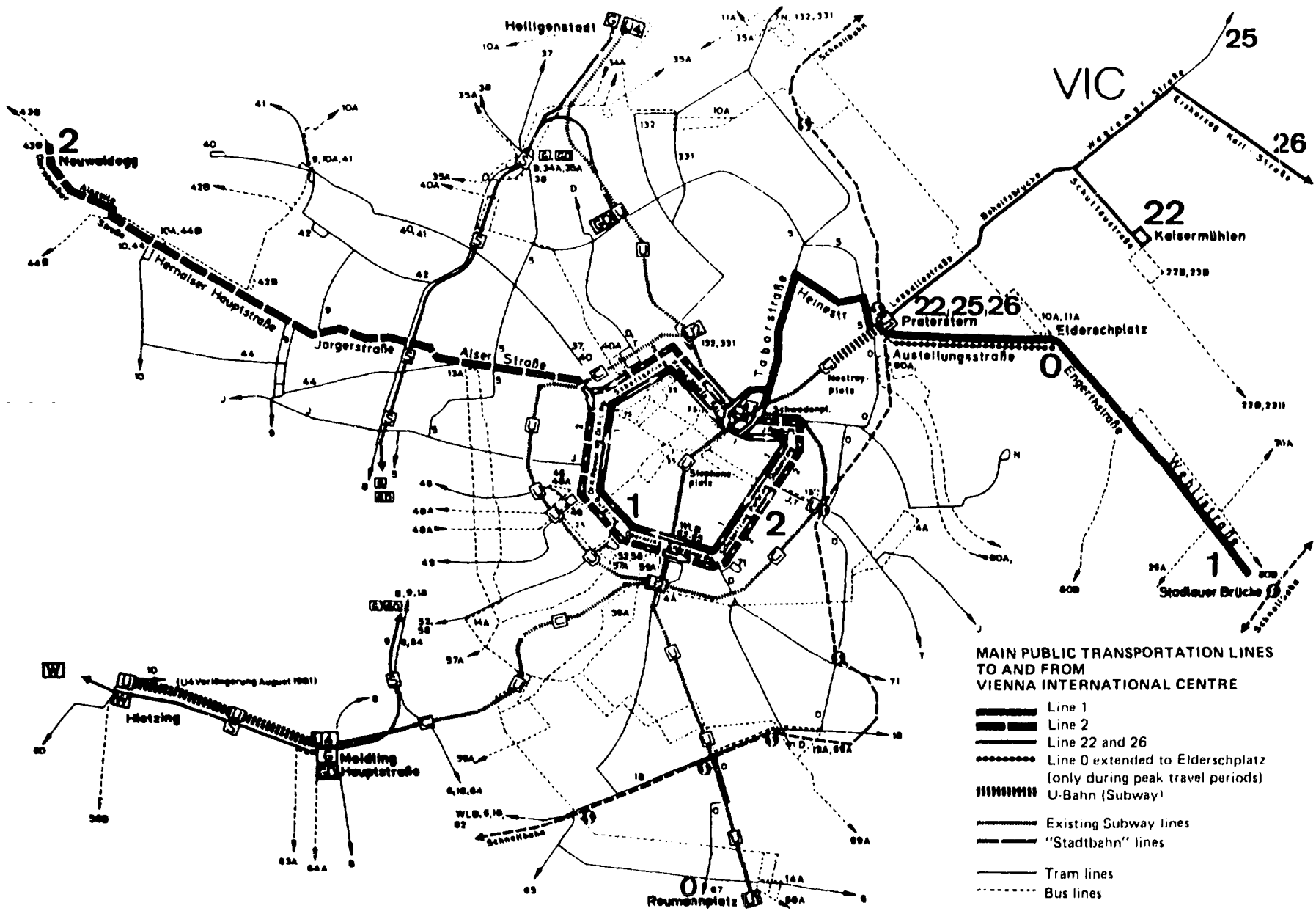
^{2/} The VIC is located at the end of a Danube River Bridge (the Reichsbrücke) on Wagramer Strasse, in Vienna's 22nd district.

^{3/} Other occupants of the VIC are the following:

International Atomic Energy Agency (IAEA);
Division of Narcotic Drugs (DND);
International Narcotics Control Board (INCB);
United Nations Fund for Drug Abuse Control (UNFDAC);
Centre for Social Development and Humanitarian Affairs (CSDHA);
United Nations Conference on International Trade Law (UNCITRAL);
United Nations Security and Safety Service (UNSSS);
United Nations Postal Administration (UNPA);
United Nations High Commissioner for Refugees (UNHCR);
United Nations Relief and Works Agency for Palestine Refugees in the Near East (UNRWA); and
United Nations Scientific Committee on the Effects of Atomic Radiation (UNSCEAR).

Furthermore, the United Nations Administrative Office in Vienna has also been established in the VIC.

The VIC can be reached easily by road and by public transportation. In particular, road connections to the North, North-West, South, and South-East are favourable. There are covered car parks within the VIC complex and public parking is available within walking distance of the VIC as well. It is possible to reach the VIC by tram (lines 22, 25 and 26) from the "Praterstern" which in turn is connected with Vienna's subway system. Of special interest to visitors is the direct VIC-Schwechat airport bus connection which runs daily from 7 a.m. to 7 p.m. on the hour (cost as of 1 January 1981: AS 45).



B. Communications with the Secretariat

1. General

For official communications, UNIDO's mailing address is P.O.Box 300, A-1400 Vienna, Austria. Since all communications addressed to the P.O.Box 300 are opened by the Registry, CTAs may wish to use at appropriate occasions P.O.Box 400, A-1400 Vienna, which indicates that the letter is of a personal nature and therefore will be opened only by the addressee.

If you call from a point within Austria, Vienna's area code is 0222 ^{4/}. UNIDO's telephone number in Vienna is 2631. To reach the desired party, the extension (four digits) is added or 0 which connects with the switchboard. The telex number is 135612.

Official telegrams to the Secretariat will be handled by the Resident Representative's office. That office will also advise on the appropriate addressing of messages. Personal telegrams should list the name of the staff member and be addressed to "UNIDO Vienna", which is the official cable address.

2. Communications on substantive matters

During briefing in Vienna Chief Technical Advisers will meet the substantive officer at the Secretariat who is directly responsible for the substantive aspects of the assignment. In corresponding with the Secretariat on substantive matters, CTAs should address their communications to the Head or Chief of Section to which this substantive officer is assigned with a copy to the Resident Representative and the Field Adviser stationed in or responsible for the country of assignment. If members of the international team have reason to correspond directly with the Secretariat, they should do so through the CTA, again with copies to the Resident Representative and the Field Adviser. The requirement of directing official correspondence on substantive matters to the Head or Chief of UNIDO's Section concerned, rather than directly to the officer backstopping the project, is tied in with internal administrative procedures at the Secretariat such as the requirements to log in all correspondence which calls for action as well as the occasional need to redirect such correspondence during absence of the officer primarily responsible for the backstopping of the project.

^{4/} If you call from a point outside of Austria from which Vienna may be dialed directly, you dial 0043 from Belgium, the Federal Republic of Germany, Hungary, Greece, Cyprus, Italy, Luxemburg and Switzerland; you dial 00943 from Denmark and Sweden; you dial 0943 from the Netherlands; 01043 from Great Britain, Northern Ireland and Ireland; 1943 from France; 0743 from Spain; 0643 from the German Democratic Republic; 99043 from Finland; 0143 from Czechoslovakia; 9943 from Yugoslavia; 09543 from Norway; and 01143 from the USA. In each instance you keep on dialling 222 for Vienna (and not 0222) and then 2631 for UNIDO.

If correspondence involves the procurement of technical equipment, or contracting services, including requisitions, communications should be addressed to:

Purchase and Contract Service,
Division of Industrial Operations

Once again, copies should be sent to the Head or Chief of the backstopping Section, the Resident Representative and the Field Adviser.

3. Communications on non-substantive matters ^{5/}

On all administrative matters and personal entitlements, such as salary and allowances, travel arrangements, transportation of personal effects and administration of annual and sick leave etc., correspondence should be addressed to:

Experts Unit, Personnel Service
Division of Administration

4. Restrictions

UNIDO's field personnel may not direct personal mail (i.e. letters, magazines etc.) to UNIDO for forwarding. Such mail should be directed at their address at duty stations since UNIDO does not forward such mail through the pouch nor does UNIDO re-direct it.

^{5/} See also chapter XVI.

VI. FUNCTIONS OF UNIDO

A. General

The following pages describe the functions of UNIDO and how UNIDO goes about in attaining its objectives. While it is of course essential that Chief Technical Advisers (CTA) get to know in detail how UNIDO's operations and functions apply to their projects, there is another important reason why they should become fully familiar with UNIDO's operations including those which do not touch on their day-by-day work or affect them or the members of their team: Since for some host government officials the CTA and his colleagues may be the only UNIDO representatives they encounter and to whom they may turn for advice, it is essential that they be fully informed on all aspects of UNIDO and its programmes. It may therefore be useful for the CTA and his colleagues to attempt to learn as much as possible about UNIDO, its organization, past activities and current programmes so as to be able to provide adequate replies to most inquiries or in some cases to direct inquiring parties to the appropriate unit of the secretariat at Vienna.

B. Major functions of UNIDO

The United Nations General Assembly resolution 2152 (XXI) provides that UNIDO is to promote and accelerate industrialization of developing countries with emphasis on the manufacturing sector. UNIDO's mandate includes the responsibility for co-ordination within the United Nations system of all activities in the field of industrial development.

In meeting its mandate, UNIDO is carrying out the following major functions:

- (a) Provide assistance to developing countries in the promotion and acceleration of their industrialization, in particular in the development, expansion, modernization and operation of their industries, including agro-based or agro-related industries and basic industries;
- (b) Undertake operational activities to assist developing countries, including measures to achieve the effective application of modern methods of industrial production, programming and planning; the establishment and strengthening of industrial institutions; the development, adaptation and transfer of technology; and the training of technical and other personnel;
- (c) Provide a forum and act as an instrument for the developing and the industrialized countries in their contacts, consultations and negotiations directed towards the industrialization of the developing countries;

- (d) Assist developing countries in obtaining external financing for industrial projects;
- (e) Offer advisory services, in co-operation with other United Nations bodies, on the exploitation and efficient utilization of natural resources, industrial raw materials, by-products and new products;
- (f) Co-operate with the regional commissions in industrial development planning and in regional consultations, with particular attention to the needs of the least developed countries;
- (g) Develop concepts and undertake action-oriented studies and research programmes designed to facilitate the foregoing activities; and
- (h) Review and promote co-ordination of all activities of the United Nations system relating to industrial development.

C. Types of activities

1. Operational activities

The term "operational activities" is used to describe direct assistance to developing countries. These assistance activities are carried out in the field and cover programmes and projects such as the ones specific CTAs are working in.

2. Supporting activities

Supporting activities are designed to support field operations which UNIDO is undertaking in developing countries. The majority of supporting activities are performed at UNIDO headquarters at Vienna and include expert group meetings, surveys, research activities, as well as in particular specific industrial studies.

3. Co-ordinating activities

As indicated above UNIDO has a central co-ordinating role within the United Nations system in the field of industrial development. UNIDO is also co-operating with intergovernmental and non-governmental organizations to meet its mandate. The organization is further attempting to harmonize multi-lateral aid with bilateral aid programmes. In addition, UNIDO has developed new forms of co-operation with Member States.

4. Promotional activities

Promotional activities are designed to encourage contacts among potential partners in developed and developing countries so as to identify new approaches to industrial development.

D. Management and staff

The overall responsibility for the work of UNIDO, including administrative, research and technical co-operation activities lies with the Executive Director. In carrying out his duties within the enlarged mandate given to UNIDO by the Second General Conference of UNIDO, the Executive Director uses the following instruments: Director's Meetings and the Programming Committee; Inter-divisional Working Groups; and Task Forces.

The Director's Meetings have been expanded on an institutionalized basis by a Programming Committee, as a rule chaired by the Executive Director and consisting of the Directors of all Divisions. A focal point has thus been created at the highest level in the Secretariat to strengthen the planning and implementation of operational activities and to review periodically the progress of operational programmes. The Committee reviews, inter-alia, the policies and procedures to be applied to the United Nations Industrial Development Fund project proposals. The Committee considers and approves proposals for the financing under the Trust Funds and the United Nations Industrial Development Fund. The Secretariat of the Programming Committee has been integrated into the Programme Development and Evaluation Section (see chapter VIII).

Inter-divisional Working Groups are created when the expertise of individuals of more than one division is required. Working Groups usually carry out their functions over a long period of time.

Task Forces work within shorter time limits within which they have to accomplish their duties. Usually they are being established for specific projects such as the preparation of a conference. Task Forces have been created to consider topics that require a broad approach towards international trends and developments, such as for instance the energy problem.

E. Agreements with other organizations

1. General

After its establishment UNIDO initiated bilateral negotiations with several United Nations organizations in order to define respective responsibilities in so far as they relate to industrial development, to identify areas for joint action and promote consultations and the exchange of information. The agreements also cover modalities and procedures for co-operation. They usually call for the establishment of inter-secretariat committees, technical working groups and task forces, as the case may be, which meet periodically in order to monitor progress and elaborate on new arrangements or new procedures. Copies of these agreements are available in the Office of the Resident Representative of UNDP.

In the following paragraphs the main points covered by existing agreements are highlighted.

2. United Nations Development Programme (UNDP)

UNDP-assisted projects cover a wide range of services including, inter-alia, industrial projects. UNDP operates with the help of one or more of the agencies in whose fields of competence the projects mainly lie. These agencies are known in each instance as a "Participating and Executing Agency of UNDP". UNIDO was designated a Participating and Executing Agency.

3. United Nations Regional Commissions

The need for close co-operation between UNIDO and the Regional Commissions has been repeatedly emphasized by the United Nations General Assembly and the UNIDO Industrial Development Board. Agreements have been signed between UNIDO and most Regional Commissions under which joint industry divisions have been established in the Commissions.

4. United Nations Conference on Trade and Development (UNCTAD)

Two memoranda of understanding have been signed with UNCTAD. The first, signed in December 1977, identifies certain specific areas for collaboration and the second, signed in May 1979, establishes modalities of co-operation in support of the developing countries' efforts for the establishment of multi-national production enterprises.

UNIDO also signed an agreement in December 1976 with the International Trade Centre (UNCTAD/GATT), which established guidelines for co-operation. The agreement includes clarifications on specific areas where the interests of both organizations are recognized but not easily delineated.

5. Food and Agriculture Organization of the United Nations (FAO)

An agreement setting out "Guidelines for Co-operation between FAO and UNIDO in the Field of Industrial Development" was signed in 1969, identifying complementary activities of FAO and UNIDO in many areas which offer opportunities for joint action. These include the production of agricultural, fishery and forestry equipment and machinery, and the promotion of industries producing agricultural inputs, such as pesticides and fertilizers, in which UNIDO has responsibility for production and FAO for their use and application. So as to retain close co-operation a FAO/UNIDO Inter-Secretariat Committee has been established and joint working groups have been created in the Forest Industries and Food Sectors. In view of the expanding role of UNIDO in operational activities it was found necessary to amend the original agreement with FAO in 1972 and in 1976.^{1/}

6. International Labour Organisation (ILO)

A "Memorandum of Guidelines for Co-operation between ILO and UNIDO" was drawn up as early as April 1968. Since then numerous ILO/UNIDO working party meetings have taken place, including ad hoc meetings between the Executive Heads of the two organizations to review progress of co-operation between the two organizations. Following the Lima Declaration and Plan of Action, a new memorandum of understanding was signed in August 1976 which identified a much larger programme of co-operation between the two Organizations than the previous agreement did.^{2/}

7. United Nations Educational, Scientific and Cultural Organization (UNESCO)

An agreement to promote co-operation was signed with UNESCO in January 1979, replacing the previous memorandum of understanding signed in 1968. The agreement identified the following areas for joint efforts: development of science and technology policies: scientific and technical research and the development of appropriate technologies; development of proper liaison and co-operation between industry and the system of research and education in developing countries: scientific and technological information: and development of co-operative programmes concerning the social, cultural and environmental implications of industrialization.

^{1/} See also chapter VIII: Activities of UNIDO's Agro-Industries Section.

^{2/} Among joint activities, the International Centre for Advanced Technical and Vocational Training, Turin, may be mentioned where UNIDO is represented on the Board of Management.

8. World Health Organization (WHO)

A memorandum of understanding was signed with WHO in August 1976. As a supplement to this memorandum, a "strategy paper" was prepared and signed in January 1980 which establishes the authority, competence and scope of co-operation between UNIDO and WHO in the pharmaceutical industry.

9. United Nations Environment Programme (UNEP)

A "Memorandum of Understanding on the Development of a Long-term UNIDO/UNEP Programme on Industrialization and the Environment, Justification and Guidelines", was signed in 1976 to ensure the most harmonious and effective co-operation between the two organizations in their common objectives of assisting the developing countries in their industrialization. To enhance the process of co-ordination based on the aforementioned memorandum, a joint UNIDO/UNEP Committee was established in October 1979.

10. United Nations Disaster Relief Co-ordinator (UNDRO)

A memorandum of understanding between the Executive Director of UNIDO and the Disaster Relief Co-ordinator was signed early in 1978. It stipulates, inter-alia, that UNIDO will instruct its Senior Industrial Development Field Advisers to participate in the standing United Nations Disaster Teams and to collaborate with the UNDP Resident Representative or a responsible officer designated by him, or the UNDRO special representative.

11. World Bank ^{3/}

A memorandum of understanding between UNIDO and the World Bank and the International Development Association (IDA) was signed in 1973. As a result a co-operative programme in Vienna was established in 1974. (See also chapter VIII, section B.2.)

12. Intergovernmental Maritime Consultative Organization (IMCO)

A memorandum of understanding between the Secretary-General of IMCO and the Executive Director of UNIDO was signed in January/February 1978. It sets out certain guidelines for co-operation and identifies major areas of common interest where technical assistance could be co-ordinated.

^{3/} Formerly called the International Bank for Reconstruction and Development.

13. World Intellectual Property Organization (WIPO)

An aide-memoire was prepared following a meeting of the Heads of both Organizations in July 1976 which identified certain areas for collaboration.

14. World Association of Industrial and Technological Research Organizations (WAITRO)

In November 1978, the World Association of Industrial and Technological Research Organizations (WAITRO) and UNIDO signed a memorandum of understanding for co-operation. In accordance with the provisions of this memorandum of understanding, a joint committee has been set up to formulate projects and to recommend appropriate courses of action under the programme of co-operation between the two organizations.

VII. UNIDO'S FINANCIAL RESOURCES

A. General

UNIDO derives financial resources for its activities at Headquarters and in the field from two major sources: the Regular Budget of the United Nations which is assessed to member States according to a fixed scale of compulsory contributions; and other sources, generally referred to as extra-budgetary, which comprise mostly voluntary contributions for technical assistance projects including the programme support costs. These two sources of funds are comprised as follows:

1. Regular Budget of the United Nations
 - (a) Section 17 - UNIDO;
 - (b) Section 28M - Administrative Services, Vienna;
 - (c) Section 32 - Capital Expenditures; and
 - (d) Section 24 - United Nations Regular Programme of Technical Assistance.

2. Extra-budgetary
 - (a) Programme support costs reimbursements;
 - (b) World Bank contributions to the World Bank/UNIDO Joint Programme;
 - (c) UNDP/IPF, Programme Reserve, Special Industrial Services and Measures for Least Developed Countries;
 - (d) Interim Fund for Science and Technology;
 - (e) SIS Trust Fund;
 - (f) Trust Funds; and
 - (g) United Nations Industrial Development Fund.

B. Regular Budget (RB) agency support costs reimbursement and World Bank

The following financial arrangements were made for UNIDO by the General Assembly: "Expenses for administrative and research activities shall be borne by the Regular Budget of the United Nations, which shall include a separate budgetary provision for such expenses". Accordingly, a separate section is now included in the Regular Budget to provide resources for UNIDO as a department of the United Nations. Also, for buildings management, capital repairs and security in the Vienna International Centre, the General Assembly provided resources in two additional sections of the budget - 23M and 32.

Programme support cost reimbursement is a provision attached to all projects of technical assistance, except those funded from the United Nations Regular Programme - Section 24, to provide partial reimbursement for headquarters activities involving supervision of field projects. The amount of reimbursement is calculated by applying the prevailing UNDP rate to annual expenditures for technical assistance from all sources of funds. The rates are 14% through 1981 and 13% thereafter.

World Bank contributions to the Joint Programme with UNIDO are resources provided on a sharing ratio of 3:1 by the Bank and UNIDO, respectively. The Joint Programme is a substantive programme which undertakes activities of interest to both organizations generally culminating in reports and projects of technical assistance financed by the World Bank. These three sources of funds cover expenditures for the following:

- (a) Salaries and allowances
- (b) Temporary assistance
- (c) Consultants' fees and travel
- (d) Ad-hoc expert group meetings
- (e) Common staff costs
- (f) Travel of staff, including SIDFAs
- (g) Contractual services
- (h) General operating expenses including rental and maintenance of premises
- (i) Utilities and communications
- (j) Supplies and materials
- (k) Furniture and equipment
- (l) Contributions to joint activities (computer, printing, medical, library and housing services at Vienna)

C. Regular Programme of Technical Assistance (RP)

In 1967 the General Assembly established a separate component for industrial development in the section of the budget of the United Nations - which is now Section 24 - to provide for a Regular Programme of Technical Assistance. This relatively small programme provides funds for types of technical assistance that are either complementary to other programmes or do not lend themselves conveniently to alternative means of financing. The Regular Programme exerts a kind of leverage effect by increasing the assistance extent of selected programmes whether they involve country projects or regional or interregional activities. In particular, this type of funding allows for a certain degree of flexibility in the expenditure of funds. It has provided UNIDO with an element of continuity in its work programme, since the allocation of the Funds available is entirely under the control of its own principal organ, the Industrial Development Board (IDB) which is guided in its decisions by the expressed implicit desires of recipient Governments.

The forms of technical assistance financed traditionally from the Regular Programme are the training of technical personnel, the assignment of industrial regional and interregional advisers and interregional experts. Many of these training programmes are complementary to projects financed under other programmes. Programmes are drawn up in compliance with the views expressed at the Permanent Committee and the IDB. They are designed to reflect the emphasis on special measures for the least developed countries, on technical co-operation among developing countries and on establishing and strengthening industrial training facilities in developing countries.

D. United Nations Development Programme (UNDP)

The major part of UNIDO technical co-operation field projects is financed by UNDP resources. UNDP is financing country, regional, interregional and global projects as well as Special Industrial Services and Special Measures. Chapter III of this Manual is devoted to UNDP, including financial matters.

E. Special Industrial Services (SIS)

The programme of Special Industrial Services was established in 1966. It was designed to meet through flexible procedures, urgent and special industrial needs that had not been anticipated and therefore were not included in long-term technical assistance programmes. The SIS programme is described in detail in chapter III.

F. Interim Fund for Science and Technology for Development (IFSTD)

The IFSTD was created by the General Assembly Resolution 34/218 for a period of two years, 1980 and 1981, pending the establishment of long-term financing arrangements in the field of science and technology for development. Its creation was recommended in a Programme of Action adopted by the UN Conference on Science and Technology for Development in August 1979 in Vienna.

According to the prospectus, IFSTD resources will be used to provide technical and capital assistance for activities such as: strengthening the scientific and technological capacities of the developing countries and restructuring the existing pattern of international scientific and technological relations as endorsed by the General Assembly, and as an integral part of the new international economic order. A minimum target of contributions of US\$ 250 million was set; however, actual pledges so far received from Governments amount to only US\$ 45 million.

G. Trust Funds (TF)

Trust Funds - formerly known as Special Purpose Trust Funds or Funds-in-Trust - are generally established to finance a number of projects over and above the resources available for direct assistance. Trust Funds cover three types of activities:

- (a) Deposits by donor Governments for specific projects;
- (b) Deposits by donor Governments for associate experts and junior professional officers; and
- (c) Deposits by recipient Governments for specific services they wish UNIDO to provide.

Trust Funds are used in accordance with agreements reached among all parties concerned. An annual accounting of the Trust Funds is provided by UNIDO to all donor Governments and organizations.

If a country requests assistance under Trust Funds scheme through more than one participating agency, UNDP generally concludes the overall agreement with the recipient Government.

H. United Nations Industrial Development Fund (UNIDF)

The United Nations Industrial Development Fund was established in 1976, and became operational on 1 January 1978. Its management has been entrusted to UNIDO. Details pertaining to the programming of projects for the UNIDF and procedures pertaining to its operations are set out in chapter III, section E.

VIII. ORGANIZATION OF UNIDO'S SECRETARIAT

A. General

On the following pages, the activities carried out by UNIDO's five divisions are being described. Each of these divisions is headed by a Director. It should be noted that several units also report directly to the Executive Director.

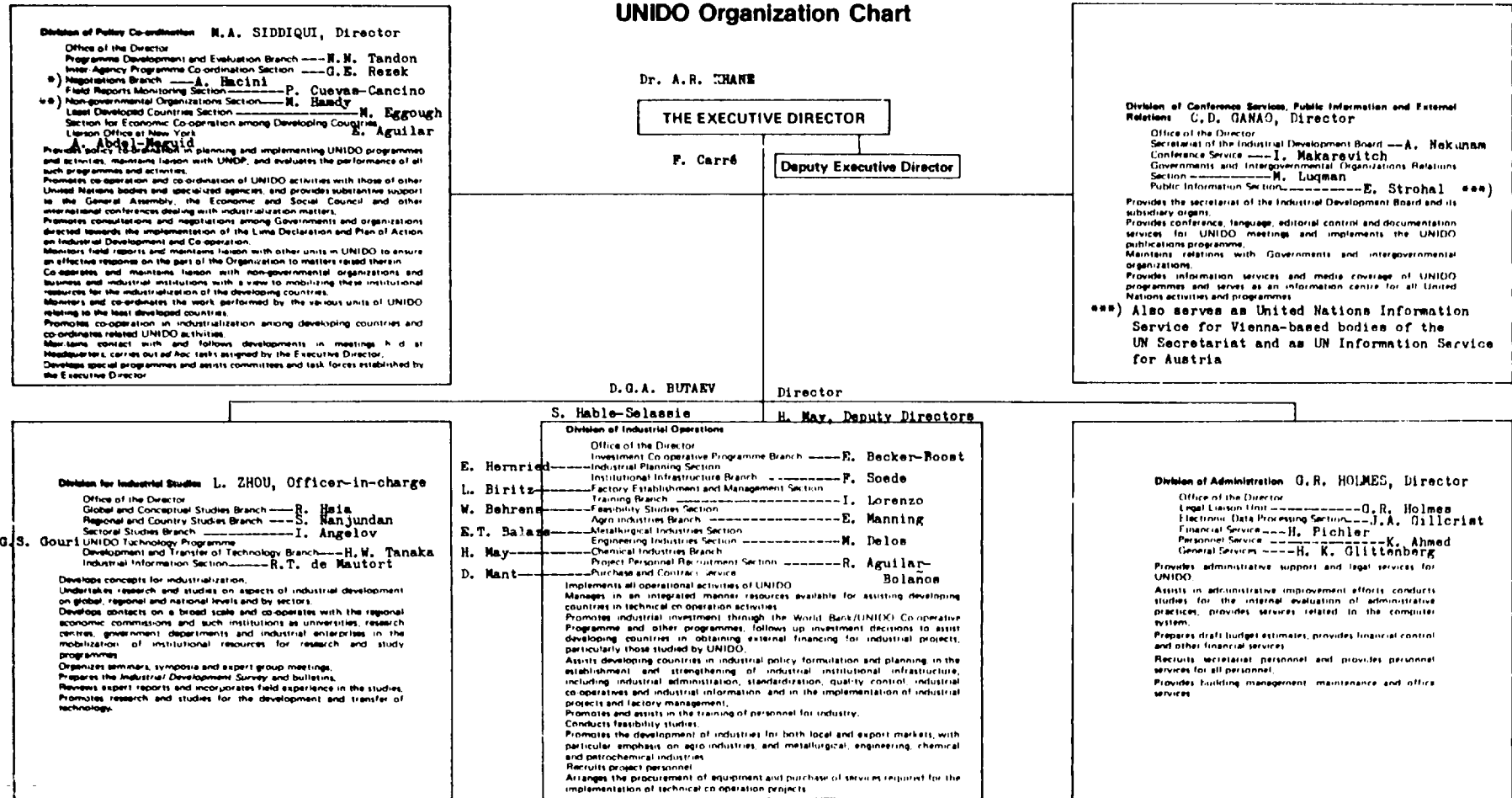
In describing the activities of the various units, more space has been devoted in this Manual to some than to others. This condition is not meant to reflect different degrees in importance but rather the recognition of the fact that certain activities at the secretariat will be of interest to most Chief Technical Advisers while other activities will be of concern only to those CTAs who are backstopped by one of these other sections (which will brief them thoroughly anyway during the initial stay of CTAs at the secretariat).

FUNCTIONS OF UNIDO

- Provides assistance to developing countries in the promotion and acceleration of their industrialization, in particular in the development, expansion, modernization and operation of their industries, including agro-based or agro-related industries and basic industries.
- Undertakes operational activities to assist developing countries including measures to achieve the effective application of modern methods of industrial production, programming and planning, the establishment and strengthening of industrial institutions, the development, adaptation and transfer of technology, and the training of technical and other personnel.
- Provides a forum and acts as an instrument for the developing and the industrialized countries in their contacts, consultations and negotiations directed towards the industrialization of the developing countries.
- Assists developing countries in obtaining external financing for industrial projects.
- Offers advisory services, in co-operation with other United Nations bodies, on the exploitation and efficient utilization of natural resources, industrial raw materials, by products and new products.
- Co-operates with the regional commissions in industrial development planning and in regional consultations, with particular attention to the needs of the least developed countries.
- Develops concepts and undertakes action-oriented studies and research programmes designed to facilitate the foregoing activities.
- Reviews and promotes co-ordination of all activities of the United Nations system relating to industrial development.

-) reporting to the Executive Director
-) reporting to the Director, Division of Conference Services, Public Information and External Relations

UNIDO Organization Chart



B. Division of Industrial Operations (DIO)

1. General

With a few exceptions, all technical assistance projects carried out by UNIDO in the field are backstopped by the Division of Industrial Operations. DIO consists of 11 sections: four technical sections which are responsible for industrial priority sectors identified by the Lima Conference (agro-industries, metallurgical industries, engineering industries and chemical industries); four sections which deal with general aspects of industrial development (industrial planning, institutional infrastructure, factory establishment and management and feasibility studies); two sections which provide services (project personnel recruitment and purchase and contract services); and one section which has a backstopping and service function (training). During the initial briefing at Vienna, CTAs will be advised which of the individual sections will be backstopping their activities. Within that backstopping section, one professional officer will have the major responsibility for the project, and he or she (or their temporary replacements) will remain the CTA's contact during the lifespan of the project. (Channels of communication with that individual are referred to under chapter , section

Although the Investment Co-operative Programme Branch also part of DIO's organization, the Director of that office reports directly to the Executive Director.

2. Investment Co-operative Programme Branch (ICPB)

The Investment Co-operative Programme Branch is an integral part of the UNIDO secretariat at Vienna and is responsible for the implementation of specific operational activities. ICPB also has the major liaison function between the World Bank and UNIDO. Projects and activities to be included in the work programme of the Branch may be proposed by either UNIDO or the World Bank. Such work does not duplicate other programmes of UNIDO but rather supplements those UNIDO activities carried out with funds received from UNIDO and other sources.

ICPB has developed a methodology for the identification and preparation of industrial projects, their channelling to UNIDO and, ultimately, their promotion and implementation. Since the activities of ICPB are of considerable importance to CTAs, a more detailed explanation of ICPB's role is given in chapter XXII of this Manual.

3. Industrial Planning Section (IO/PLAN)

The Section provides substantive support and executes technical assistance field projects in the area of strategies, plans and policies for industrialization. Such assistance focuses on the assessment and identification of industrial opportunity primarily by industrial surveys at both national as well as regional and sub-regional levels; the formulation and implementation of industrial strategy, policy, planning techniques and institutional and locational aspects of industrial planning and development; appraisal of macro-economic impact of national industrial sectoral plans and programming of the development of industrial branches, such as the capital goods industry. Similar assistance is also provided to regional and sub-regional groupings of developing countries in order to facilitate and strengthen co-operation and harmonization in the promotion of industrial development in general and the formulation and execution of suitable regional/sub-regional industrial programmes in particular. In this process, supporting activities such as organizing of seminars and expert group meetings on both substantive and operational aspects of industrial planning, and preparation of guidelines and manuals are also undertaken.

4. Institutional Infrastructure Branch (IO/INFR)

The Branch carries out activities related to establishing new and strengthening existing institutions which form the institutional framework needed to support industrial growth and development.

Specifically, the Institutional Infrastructure Section deals, inter-alia, with the following activities or institutional aspects:

- (a) Industrial research and development;
- (b) Technological services to industry;
- (c) Standardization, quality control and metrology;
- (d) Chambers of commerce and federations of industry;
- (e) Small-scale industry development and services;
- (f) Rural industrialization;
- (g) Industrial co-operatives;
- (h) Industrial fairs and exhibitions;

- (i) Application of appropriate industrial technology;
- (j) Industrial information;
- (k) Industrial estates and industrial free zones;
- (l) Product adaptation to enhance international competitiveness;
- (m) International and domestic subcontracting;
- (n) Industrial administration;
- (o) Industrial intellectual property;
- (p) Industrial legislation; and
- (q) Investment promotion machinery;

5. Factory Establishment and Management Section (IO/FCTY)

The Section is responsible for technical co-operation projects related to the economical and efficient erection of new manufacturing facilities and improving the capacity utilization of existing industries, including the rehabilitation of potentially viable installations through strengthening of management capacities at the factory and enterprise levels and through improvement of industrial management consultancy services.

The work of this Section is oriented to satisfy different needs prevailing in the developing countries in the following fields:

- (a) Providing management assistance during the erection of new industrial plants and extension of existing plants at the project or institutional levels. This includes: planning and management systems for factory project implementation; procurement of equipment and engineering and construction services; negotiations of contracts for specific inputs required; supervision of contractors' performance; physical and financial monitoring of the project; planning and monitoring of training inputs; planning and supervision of start-up operations.
- (b) Improving the productivity of existing industrial enterprises including:
 - (i) Direct assistance to (public sector) industries to improve their productivity and economic performance as well as rehabilitation of potentially viable industries, and to develop respective management capacities;
 - (ii) Introducing and strengthening industrial accountancy practices and capacities (i.e. plant enterprise level) and establishment and strengthening of industrial accountancy consulting and training institutions;
 - (iii) Development of industrial marketing capacities and provision of specialized marketing services for internal markets;
 - (iv) Strengthening industrial distribution systems and management capacities at the enterprise, co-operation, local or national levels, particularly as it relates to rural industrialization.

- (c) Strengthening industrial management consultancy services including:
 - (i) Industrial diagnostic consultancy services to determine causes of low productivity and to develop plans and actions for alleviating them;
 - (ii) Establishing and strengthening industrial management consultancy capacities at the enterprise, local, national and regional levels, including establishment of appropriate consultancy centres;
 - (iii) Utilization of computers in industrial management, including the establishment of respective consultancy capacities and centres;
 - (iv) Promoting establishing and strengthening industry-university co-operation, aimed at providing management and consultancy services to industry.
- (d) Strengthening government bodies responsible for the establishment and operation of industrial enterprises, which entails organization development and the introduction of appropriate management, information, monitoring, and control systems.

To carry out the above activities, the Section provides expertise and operational guidance, including various relevant publications and brochures.

6. Training Branch (IO/TRNG)^{1/}

The Training Branch consists of three units: Field Training Operations; Fellowship Operations; and Group Training Operations.

(a) Field Training Operations

UNIDO conducts, at the request of Governments, a variety of training projects in developing countries. Such activities are designed to contribute directly to the improvement of the industrial training infrastructure, which in turn is to lead to an increase in the supply of skilled personnel by means of tailored training activities at relatively low cost. These activities may cover:

- (i) Design and development of national and sectoral industrial training institutions (e.g. assistance to a ministry of industry in organizing and operating an in-plant training programme as designed and conducted in the light of such needs);

^{1/} See also chapter XVII, "Administration of training abroad".

- (ii) Design and development of training departments for Governments, holding companies and individual enterprises (e.g. assistance to a large semi-governmental holding company in developing its own central training department or training departments in some of its subsidiaries);
- (iii) Specialized training programmes including the provision of lecturers, trainers and training equipment, for specific groups of industrial personnel (e.g. assistance to a country by providing local training courses on quality control for export-oriented industries); and
- (iv) Assistance to national management development institutes (e.g. assistance to such institutes in order to increase their management training capacity and to replace expatriates by qualified national personnel).

(b) Fellowship Operations

UNIDO fellowships are intended to provide persons entrusted with functions important to the industrial development of their country the opportunity to broaden their professional knowledge and experience by acquainting them with appropriate methods and techniques.

UNIDO encourages placement of individual fellows in suitable industrial training facilities in advanced developing countries. To reduce costs, UNIDO arranges, whenever feasible, small special group-training programmes for fellowship candidates in the same field of training at a comparable professional level and with a common training language. These programmes are implemented and supervised in co-operation with selected enterprises and institutions.

UNIDO also organizes study tours for both individuals and groups. Participants in such study tours may include high-ranking government officials responsible for industrial development, top managerial staff from certain industrial sectors or firms or teams of counterpart experts from UNIDO-sponsored projects. Group study tours may also be a component of UNIDO seminars or workshops.

(c) Group Training Operations

UNIDO organizes in-plant group-training programmes for engineers and advanced technical and managerial personnel from developing countries in co-operation with the Governments of host countries. Some of these programmes are conducted annually, others biennially or on an ad hoc basis.

7. Feasibility Studies Section (IO/FEAS)

This Section carries out projects related to assisting developing countries in conducting pre-feasibility and feasibility studies, and in developing indigenous capabilities and national mechanisms to make their own studies with a view to developing capacities and potentials to generate a flow of bankable industrial projects.

The main activities of the Section are:

- (a) The preparation of pre-investment studies of potential investment projects, i.e. opportunity, pre-feasibility and feasibility studies;
- (b) The identification of potential national and multinational industrial projects as well as export-oriented industries and the assessment of the viability of the development of new industrial branches in a developing country on the basis of market surveys and techno-economic studies;
- (c) Assistance in the development of services at national, regional and subregional levels, for conducting feasibility studies and evaluating industrial investment projects; and
- (d) Assistance in the evaluation of feasibility studies and preparation of supplementary studies as required to facilitate industrial financing.

Through the Feasibility Studies Section, UNIDO pursues measures aimed at strengthening the link between pre-investment studies and investment such as the preparation of inventories of pre-feasibility studies, ad-hoc field missions, organization of workshops and seminars and related investment follow-up action. ^{2/}

^{2/} The Section has contributed to the preparation of the Manual for the Preparation of Industrial Feasibility Studies, which was published in 1978 and which CTAs may find very useful.

8. Agro-Industries Branch (IO/AGRO)

The Agro-Industries Branch deals with agro-based and agro-related industries. The industrial sectors and branches covered include wood processing and wood products; textiles and wearing apparel; food processing; leather and leather products; rubber products; and packaging.

(a) Wood-Processing and Wood Products Industry

Technical assistance is provided to the existing furniture and joinery industry, particle board plants, match factories etc. in fields of product development, production planning and control and industrial engineering. Advice and assistance is given in timber engineering i.e. the design and construction of wooden structures, notably modular prefabricated systems for wooden bridges and elements usable in school construction and low-cost housing.

Assistance is also given in the establishment, operation and management of integrated wood-processing complexes. Seminars and technical courses are held on various aspects of the wood processing industry's activities at interregional, regional and national levels.

(b) Textile and Wearing Apparel Industry

Activities include the establishment or strengthening of textile centres to provide technical services and training programmes to the textile industry, applied research and product development and quality control. Advice is given on spinning, weaving, knitting, dyeing and finishing, as well as textile design, mill management and marketing. In addition to cotton and wool, fibres such as jute, kenaf, cashmere and camel hair are also dealt with.

Sectoral surveys of the industry are carried out, as are technical and economic studies for the re-organization and re-structuring of the industry. Joint projects are undertaken with the World Bank, the International Wool Secretariat and the International Institute for Cotton.

(c) Food-Processing Industry

The Lima Declaration and Plan of Action as well as a number of General Assembly resolutions have stressed the special need for the development of agro-based and agro-related industries. In many developing countries these industries have a special impact not only on the improvement

of the food supplies but also are the basis for rural development which again is a pre-condition for a broad increase of the populations' living standard.

Activities are related to the improvement of the technical, technological and economic operation of the existing industries, their expansion or the establishment of new plants. The activities in this context necessarily incorporate the provisioning and marketing sector, individual industrial planning and relevant research operations.

Assistance is provided to the agro-based and agro-related industries in their complex structures and integrated operations as well as to individual processing industries such as the sugar industry, the oils and fats industry, the animal feedstuff industry, fruits and vegetable processing and grain milling operation, the meat production and processing industry and food canning, dehydration and related industries.

(d) Leather and Leather-Products Industry

Advice and assistance is given in the proper utilization of raw hides and skins by processing them into semi-finished and finished leather and into finished leather products for domestic consumption and export. Emphasis is placed on direct technical assistance to existing tanneries, leather product and shoe factories, in most cases through national leather and leather-products centres or corporations. The utilization of scrap leather for the manufacture of leather board has also been successfully carried out and direct technical assistance programmes to rubber-footwear and other rubber-product factories is conducted in some countries.

(e) Packaging

Assistance is focused on the establishment or strengthening of national packaging institutes, research and development laboratories, quality control laboratories, packaging demonstration centres and pilot plants for the experimental manufacture of various types of packages. Packaging products for export and for the food industry have been given a high priority.

9. Metallurgical Industries Section (IO/MET)

In the sector of the metallurgical industries UNIDO assists the developing countries in the planning, installation and operation of manufacturing facilities. Specifically there are

six major fields of activities:

- (a) Light non-ferrous metals (planning, establishment and operation of aluminium industry, titanium-oxide production based on ilmenite smelting and related operations etc.);
- (b) Heavy non-ferrous metals (production and processing of copper, lead, zinc, tin, nickel, tungsten etc.);
- (c) Iron and steel industry (planning, expansion and/or establishment and operation of iron and steel industries, including processing of iron-ores to yield added-value products for exports; realistic planning through elaboration of master plans etc.);
- (d) Foundries (planning, establishment and operation of small- and medium-scale foundries, forge shops and mechanical workshops, also to serve as training centres for demonstration purposes, especially in least-developed countries);
- (e) Metal transformation technologies (application for specific metallurgical processes, such as rolling, forging, extruding, heat treatment, surface protection etc.);
- (f) Metallurgical know-how and technology (establishment and/or strengthening of centres for metallurgical technology, development of local expertise for servicing and application in the metal industries; strengthening of maintenance systems and establishment of national standardization etc.).

The activities of UNIDO in this field are mainly concerned with: the identification of opportunities for the planning, establishment and/or expansion and operation of metallurgical plants; provision of expertise for efficient operation; effective selection and application of equipment and processes; establishment of maintenance systems in metallurgical plants; standardization of metal products; laboratory scale and pilot scale investigations to promote industrial utilization of existing local raw materials to yield added-value products for home use and/or export; applications of specific metallurgical processes and technologies; specialized training and operations of

metallurgical plants and laboratories; national planning of major metallurgical industry sectors; exchange of information and the strengthening of national technical know-how mainly through the establishment of centres for metallurgical technology; and co-operation between developing and developed countries, and also among developing countries, for the development of the metallurgical industries.

10. Engineering Industries Section (IO/ENG)

Since the Engineering Industries include a very broad spectrum of activities and products and varying degrees of production technology, the operational work of this Section is being carried out in specific product groups and technical areas to meet the requirements of individual developing countries, with due regard to their level of technological development, their present and future plans and their potential for industrialization.

The work programme of the Engineering Industries Section is divided into the following distinctive activities:

- (a) Design and manufacture of machinery, equipment and installations for the manufacturing sector;
- (b) Design and manufacture of electrical and electronic machinery, equipment and installations for industries;
- (c) Development, design and manufacture of land-based and water-based transport equipment;
- (d) Development and manufacture of measuring and control equipment;
- (e) Design and production of metal products;
- (f) Application of computers and other advanced technology for engineering industries.

The programme is also concerned with projects related to the multi-sectoral matters such as product design; testing systems for products and materials; and repair and maintenance services.

11. Chemical Industries Branch (IO/CHEM)

The operational activities of this Branch are directed at providing Governments of developing countries with the types of assistance they most urgently need in establishing, expanding and modernizing manufacturing facilities in the chemical industries sector. The overall aim has been for the developing countries

to achieve self-reliance to the extent desirable and possible through the development of their own technology or adaptation and transfer of foreign technology, and through increased utilization of locally-available raw materials. Special effort is made to develop those branches of the chemical industry that contribute to raising agricultural yields, rural industrialization, and improvement of the quality of life in terms of shelter, clothing, health and education. Particular attention is also given to ensure the appropriateness of a technology for a given country; to the control and abatement of industrial pollution and improvement of industrial environment; to the special needs of the least developed countries; and to the possibilities of co-operation and technology transfer among the developing countries.

The activities of the Chemical Industries Branch cover the following sub-sectors:

- (a) Building materials and construction industries dealing with cement, concrete, heavy clay, ceramic, glass, asbestos and allied non-metallic products and pre-fabricated elements;
- (b) Basic chemicals industry including coal chemicals, fermentation chemicals and detergents;
- (c) Pharmaceutical and essential oils industries;
- (d) Pulp and paper industries;
- (e) Fertilizer industry including organic fertilizers;
- (f) Pesticide industry;
- (g) Petrochemical industry including plastics, synthetic fibres and synthetic rubber;
- (h) Industry and environment; and
- (i) Bio-fuels and synthetic fuels.

Within the Chemicals Industries Branch a unit has been established for pharmaceutical industry.

12. Project Personnel Recruitment Section (IO/PPR)

The Project Personnel Recruitment Section is responsible for planning, co-ordinating and conducting the recruitment of all project personnel. PPRS also recruits OPAS experts on behalf of requesting governments. For this purpose, PPRS establishes recruitment plans, conducts recruitment drives, maintains a roster and submits to the requesting Governments, through the UNDP Resident Representative, the names of candidates who are found qualified after evaluation. Finally, PPRS appoints all project personnel except SIDFA's, JPO's and United Nations Volunteers.

13. Purchase and Contract Service (IO/PAC)

In carrying out its own technical assistance projects and those assigned to it by UNDP, UNIDO purchases in some instances equipment and supplies needed to implement certain projects for which it is responsible and in some instances awards contracts for consulting services.

A Technical Equipment Procurement and Contracting Office (TEPCO) was set up in 1968 at UNIDO headquarters; in 1974 the office became known as Purchasing and Contracting Services Section (PAC) and more recently as Purchase and Contract Service. It is responsible for: (a) purchasing technical equipment and supplies, arranging deliveries, maintaining inventories of the material in the field and disposing of it once the project is completed; and (b) awarding contracts to consulting organizations to provide technical and advisory services both for field projects and UNIDO headquarters. The varied services cover all areas of UNIDO activities and range in scope from the preparation of preliminary and techno-economic studies to the construction and initial operation of pilot and experimental plants. (See also chapters XIII and XIX).

C. Division of Policy of Co-ordination (PC)

1. General

The Division of Policy Co-ordination is primarily responsible for co-ordinating policy initiatives within UNIDO and with other organizations concerned with the industrialization of developing countries. The Division is also responsible for introducing specific policy measures at the request of the Executive Director.

2. Programme Development and Evaluation Branch (PC/DEV)

The Programme Development and Evaluation Branch is the focal point within UNIDO for all initiatives in the development of technical co-operation activities. In particular, the Branch is responsible for co-ordinating UNIDO participation in the UNDP country, intercountry, interregional and global programming exercises as well as for the development of operational programmes of UNIDO irrespective of the sources of funds used to finance such programmes. The Branch is also acting as the Secretariat of UNIDO's Programming Committee.

The Branch is further responsible for the design and monitoring of UNIDO's self-evaluation system and for providing assistance throughout the Secretariat in planning and implementing project evaluation and preparing project evaluation reports. It also plans, manages, supports, and participates in special field projects and performs programme evaluations.

3. Inter-Agency Programme Co-ordination Section (PC/COOR)

This Section is responsible for the co-ordination of the activities of UNIDO with those of other United Nations organizations and specialized agencies including the Regional Economic Commissions. At the inter-governmental level, the Section co-ordinates UNIDO's contribution to recommendations and decisions of the UN General Assembly, ECOSOC and their subsidiary bodies. Furthermore, at the inter-secretariat level, the Section assists the Executive Director and his designated representatives in their participation in system-wide co-ordination within the framework of the Administrative Committee on Co-ordination (ACC).

4. Negotiations Branch (PC/NEG)

In accordance with the mandates given to UNIDO by its General Conferences and by the United Nations General Assembly, the Negotiations Branch is responsible for the operation of the System of Consultations at the global, sectoral, regional and interregional levels, under the general guidance of the Industrial Development Board. The Board has tentatively agreed that the objectives of the System of Consultations are as follows:

- (a) The System of Consultations shall be an instrument through which UNIDO is to serve as a forum for developed and developing countries in their contacts and consultations directed towards the industrialization of developing countries;
- (b) The System of Consultations shall relate to co-operation between developed and developing countries and among developing countries themselves;
- (c) The System of Consultations would also permit negotiations among interested parties at their request, at the same time as or after consultations.

The System of Consultations, as an important and established activity of UNIDO, is a valuable framework for identifying problems associated with the industrialization of developing countries, for considering ways and means to accelerate their industrialization, and for contributing to closer industrial co-operation among member countries, in accordance with the Lima Declaration and Plan of Action.

The System of Consultations shall seek action-oriented measures towards increasing the share of developing countries in world industrial production and creating new industrial facilities in developing countries contributing to the establishment of a New International Economic Order. To that end, the problems associated with the industrialization of developing countries shall be considered on a continuing basis from a policy, economic, financial, social and technical point of view.

In order to ensure the functioning of the System of Consultations, the Negotiations Branch is responsible for elaborating and presenting issues on selected sectors and topics to Consultations. To this end, it arranges for preparatory and follow-up activities by maintaining contact, inter alia, with Governments, industry and labour, as well as with other Divisions of UNIDO and other UN bodies.

5. Field Reports Monitoring Section (PC/FLD)

The Field Reports Monitoring Section is responsible for the SIDFA/JPO programme (see also chapter IX). According to its functions, the section is composed of three units: Field Network, Supporting Activities and Reports Monitoring.

The Field Network Unit is responsible for the overall management of the SIDFA/JPO programme, whose main aim is to strengthen the liaison between UNIDO headquarters and the developing countries by utilizing the availability of SIDFAs in relation to UNIDO's overall operations in the field. This is the contact unit for SIDFAs, which provides guidance and co-ordinates their activities, as well as administers to their requirements: it also organizes regional and global SIDFA meetings. It further co-ordinates the visits of the UNDP Resident Representatives to UNIDO headquarters.

The Supporting Activities Unit is responsible for the management of the JPO programme, which includes JPO training courses.

The Reports Monitoring Unit is concerned with centralizing and monitoring SIDFA/JPO field reports with a view to providing an effective interaction between the field and headquarters.

Finally, the Section establishes and maintains country files with relevant information pertaining to UNIDO's activities in each country of coverage.

6. Non-Governmental Organizations Section (PC/NGO)

The programme component carried out by this Section aims at mobilizing and channelling the technological, managerial and financial resources available to the non-governmental organizations, business and industrial institutions into the industrial development process of the developing countries for their rapid industrialization. These organizations comprise: international, regional and national non-governmental organizations such as chambers of commerce and industry, and federations of industry; public and private industrial enterprises and financial institutions; public and private universities and industrial research and development institutes; professional and manufacturers' associations; industrial co-operatives and rural development agencies; trade fairs and fair organizations; management associations and productivity centres; engineering and consulting firms; and international regional, national and sectoral trade unions.

The Section's activities may be summarized as follows:

- (a) Orienting these organizations towards the needs of developing countries in industrial development and UNIDO activities in assisting these countries and encouraging them to co-operate with UNIDO to this effect;
- (b) Establishing programmes of co-operation with these organizations for channelling technological, managerial and financial resources into the industrialization process of developing countries and on that basis conclude, as appropriate, long-term agreements and twinning arrangements for co-operation; and
- (c) Promoting and strengthening the direct co-operation between these organizations in developed and developing countries.

7. Least Developed Countries Section (PC/LDC)

The Least Developed Countries Section was created in January 1976, pursuant to resolution ID/Conf. /Res.1 of the Second General Conference of UNIDO which called for the establishment of an appropriate institutional machinery within the administrative structure of the UNIDO to focus on the industrial development needs of the least developed, the land-locked and the island developing countries. As part of the Policy Co-ordination Division, the Least Developed Countries Section assists in

formulating appropriate policies and developing technical co-operation programmes and projects to meet the particular requirements of the least developed countries and, in close co-ordination with the Programme Development and Evaluation Branch, in developing inter-country programmes and projects to benefit the land-locked and the island developing countries. The Section further assists in mobilizing financial resources for the expanded programme of assistance to the least developed countries and monitors activities throughout the organization that are designed to benefit the least developed, land-locked and island developing countries.

The New Delhi Declaration and Plan of Action placed further emphasis on the need to strengthen the capacity of UNIDO to deal with the special problems of the least developed, land-locked and island developing countries in the field of industrial development.

In close co-operation with other units of UNIDO, the Least Developed Countries Section performs more specifically the following functions:

- (a) Reviews all requests, initiates programmes and projects of technical assistance in favour of the least developed countries. Finalizes the necessary project documents and project data sheets for approval;
- (b) Initiates and follows up the necessary action related to UNDP country programming exercises in LDCs;
- (c) Initiates and develops, in close co-operation with the Programme Development and Evaluation Branch, special inter-country programmes and projects for the land-locked and island developing countries;
- (d) Develops programmes and projects for special assistance to the Sudano-Sahelian zone;
- (e) Watches the progress of programmes under various funds with a view to ensuring the full utilization of resources specifically earmarked for LDCs, and suggests appropriate policies, guidelines and conclusions concerning the development of future programmes and activities;

- (f) Maintains, in close co-operation with the UNDP Resident Representative and UNIDO field advisers, contacts, consultations and exchange of views with the authorities concerned in the least developed countries with a view towards identifying requirements and priorities for technical assistance;
- (g) Collects, compiles and disseminates basic information relating to the industrial development of the least developed countries;
- (h) Initiates consultations with the potential bi-lateral and multilateral technical and financial assistance institutions with a view to increasing the flow of the resources required for the implementation of the industrial projects requested by LDCs;
- (i) Identifies suitable programmes and projects in co-operation with the other UN organizations in order to ensure integrated technical assistance programmes to benefit the LDCs; and
- (j) Prepares analytical reports on UNIDO's technical assistance and other activities in favour of the least developed countries, as required by the various governing bodies, including the UN General Assembly.

8. Section for Economic Co-operation among Developing Countries (PC/ECDC)

This Section is responsible for co-ordinating specific UNIDO activities and shaping them into a coherent programme concerned with economic and technical co-operation among developing countries in respect to industrialization. The Section is also charged with the responsibility of finding new ways of promoting this form of co-operation.

The activities of the Section are intended:

- (a) To increase the awareness of the developing countries of their abilities to initiate co-operation, as well as their awareness of the existence of industrial services and goods which could be appropriately utilized by other developing countries at lower prices than the services and goods from the developed countries;
- (b) To stimulate Governments of developing countries to reorient, wherever possible, their development policies and to break attitudinal barriers; and
- (c) To promote implementation of concrete co-operative projects between two or more countries regardless of their degree of development.

D. Division of Conference Services, Public Information and External Relations (CPE)

1. General

This provides the necessary support services for sessions of the Industrial Development Board and its subsidiary bodies, as well as for the technical meetings held by UNIDO. The Division maintains external relations with Governments and intergovernmental organizations in matters which are not directly related to operational activities.

The Division endeavours to mobilize public understanding and support for the Organization's activities in the field of industrial development. To this end it informs both UNIDO's Member States and the general public about the scope, activities, achievements and objectives of UNIDO's programmes in order to elicit political support, in financial and technological terms, for the implementation of technical projects and supporting initiatives of UNIDO to assist in the industrialization of developing countries.

2. Secretariat of the Industrial Development Board (CPE/IDB)

The Secretariat of the Industrial Development Board is responsible for servicing the Board and its subsidiary organs, the general conferences of UNIDO and other committees and conferences. In this capacity, the Secretariat helps to organize and schedule the sessions of the Board; it collects, co-ordinates, completes and edits background documentation for the sessions and assists in drafting the final reports. In co-operation with the substantive divisions of UNIDO, the Secretariat of the Board is also responsible for the compilation, preparation and final publication of the Annual Report of the Executive Director. Following each session of the Board, the Secretariat draws up detailed plans for follow-up action which, subsequent to the approval by the Executive Director, are distributed to the pertinent sections and divisions of the Organization.

The Secretariat of the Board also advises intergovernmental and non-governmental organizations on the procedures relating to applications for consultative status with UNIDO and compiles documents on such applications for presentation to the Board.

3. Conference Services Section (CPE/CS)

The Conference Services Section is responsible for the following main functions:

- (a) Planning and servicing of meetings;
- (b) Editorial control;
- (c) Translation;
- (d) Interpretation;
- (e) Publications.

The main tasks of the Section are to organize, administer, and service meetings, conferences and other official gatherings at Vienna of UNIDO as well as of other United Nations organizations, as appropriate. The responsibilities of this Section include translation and interpretation, documentation and editorial control.

4. Governments and Intergovernmental Organizations
Relations Section (CPE/REL)

This Section is responsible for the following activities:

- (a) Presentation of UNIDO policies and programmes to Governments and to intergovernmental organizations, with a view to strengthening co-operation and to facilitate co-ordination with bilateral programmes or initiatives in the field of industrial development of developing countries;
- (b) Maintenance and further development of relations with intergovernmental institutions, governmental agencies, national committees and any other governmental bodies of developed and developing countries, with regard to UNIDO activities;
- (c) Participation in meetings of governmental or intergovernmental organizations, as well as in other international fora as appropriate, concerning problems and aspects of industrial development, in accordance with UNIDO's institutional purpose and objectives;
- (d) Discussions and exchange of information and views with Governments and intergovernmental organizations, concerning industrial development matters;
- (e) Liaison and discussions with intergovernmental institutions on matters of general nature with a view to stimulating the active interest and support of member Governments individually and collectively for the policies and activities of UNIDO;
- (f) Initiation and development of a mutual communication system between UNIDO and governmental or intergovernmental bodies responsible for industrial development and co-operation programmes;
- (g) Fund-raising activities in connection with voluntary contributions, contributions in kind and associated resources of Governments, governmental agencies and intergovernmental organizations;

- (h) Co-ordination with other UNIDO divisions in matters relating to co-operation with Governments and inter-governmental organizations and formulation of recommendations, based on information collected during contacts, visits and exchanges of views with Governments and intergovernmental organizations, for possible use of relevant and substantive sections of UNIDO;
- (i) Co-operation with the external relations services of the United Nations system on all matters concerning Governments and intergovernmental organizations relations in view of exchanges of mutual experiences;
- (j) Relations with host Government;
- (k) All protocol matters.

5. Public Information Section (CPE/INF)

The main responsibility of this Section is to provide Member States, mass media, universities, organizations, business and industrial institutions and the public at large with information on UNIDO's activities and to generate a deeper understanding of development, particularly of the role of industrialization to it and a favourable attitude towards UNIDO's aims and programmes. For this purpose the Section collects, processes and disseminates all information relevant to UNIDO; seeks close co-operation with all media such as news agencies, newspapers, radio and television services, maintains contacts with editors of leading journals, with policy-making bodies and other institutions to enhance a dialogue with opinion leaders; promotes feature articles concerning industrialization for specialized periodicals and magazines; arranges press conferences and individual interviews with the Executive Director and senior staff; and deals with daily enquiries on a variety of aspects of the Organization's work.

The Section also meets requests for lectures and keeps the Executive Director and other senior staff within headquarters informed of events and opinions by collecting, sifting and disseminating material from publications, documents and reports.

Collaboration in the field of information is maintained with other agencies of the United Nations through the Joint United Nations Information Committee (JUNIC), whose annual meetings bring together the directors of information of the entire United Nations family.

The Section also serves as United Nations Information Service for Austria and the Federal Republic of Germany; it provides German language information on all United Nations activities and programmes, covers United Nations meetings and conferences held in Austria and the FRG and acts as a channel of communication between local information outlets and the United Nations Office of Public Information. It also renders

information support to United Nations units transferred to Vienna from New York and Geneva, including: Centre for Social Development and Humanitarian Affairs (CSDHA), International Narcotics Control Board (INCB), Division of Narcotic Drugs (DND), United Nations Fund for Drug Abuse Control (UNFDAC), United Nations Commission on International Trade Law (UNCITRAL). In order to carry out its mandate, the Section is divided into three units:

Press and Publications Unit: UNIDO/UN press services; regular contacts with news agencies and newspapers; coverage of UNIDO and UN meetings; promotion of feature articles; arranging of press conferences and briefings as well as individual interviews; accreditation of foreign and local press; writing of statements, articles and information brochures; newspaper clipping service.

Audio-Visual Unit: Production and distribution of radio, film and TV programmes; audio-visual coverage of UNIDO and UN meetings, including photo coverage, regular maintaining of film and photo library; arranging exhibits; operation of audio-visual programmes in the visitors area.

External Relations Unit: Liaison with government officials, non-governmental organizations and educational institutions; UN Information Centre activities for Austria and the Federal Republic of Germany including German language productions; distribution of information material, reference documentation and answers to public enquiries, briefings for visiting groups, lectures and information programmes; visitors service operations.

E. Division for Industrial Studies (IS)

1. General

The Division for Industrial Studies carries out studies on aspects of industrial development at the global, regional and country levels, as well as by sectors. In addition to its own research activities, the Division collaborates in research with other UN agencies and international or national research institutions. The Division also regularly publishes the results of its research activities.

2. Global and Conceptual Studies Branch (IS/GLO)

This Branch is intended to provide a conceptual basis for operational activities of the Organization and a global outlook in the context of which the other studies conducted by the Organization can meaningfully be aggregated into a consistent view of the world economy. By providing a global perspective for national policy makers, it is intended to promote effective and equitable international co-operation.

At present the Branch is seen as having three functions:

- (a) To conceive strategies and policies conducive to the industrialization of the developing countries, including the restructuring of world industrial production;
- (b) To carry out analytical work devoted to the examination of long-term economic and social trends in industrialization and to provide information and scenarios on the industrial restructuring process in relation to development goals of the international community;
- (c) To maintain systematic surveillance of the industrial restructuring process, to monitor the progress made in implementing the International Development Strategy for the Third United Nations Development Decade, to contribute to revision of relevant policies necessary for its achievement, and to assist in preparing the basis for formulation of the Strategy for the Fourth Development Decade.

To carry out these functions, the work of the Branch is composed of three distinct but interrelated activities:

- (a) One research project identifies long-term industrial trends and surveys immediate structural changes in developed and developing countries in order to define industrial redeployment opportunities for the developing countries;

- (b) A second project is the construction and use of economic models which analyze future industrial development, in order to provide quantitative scenarios of the achievement of the Lima target and its implications for individual countries and international economic co-operation;
- (c) A third project carries out special global studies of issues related to industrialization, such as energy, human resources, and other topics deriving from ad hoc requests for such studies emanating from inter-agency bodies.

3. Regional and Country Studies Branch (IS/REG)

The Regional and Country Studies Branch carries out surveys to assess the current situation in a specific country, region or world wide in relation to the achievement of the industrial production target for the developing countries. The Branch also carries out analytical studies on: role of public industrial sector, industrialization in relation to rural development, regional and interregional industrial co-operation, and industrial studies of least developed countries, as well as country profiles providing an overall perspective of the existing situation and future prospects in the industrial sector. The Branch is also responsible for supporting ongoing and planned studies of UNIDO through the collection, storage and provision of industrial statistics.

The Branch also maintains liaison with the regional advisers and outposted staff for co-ordination of the programmes of work agreed upon and carried out jointly by the Regional Economic Commissions and UNIDO through established joint industry divisions. In co-operation with the Regional Economic Commissions and other regional bodies, the Regional and Country Studies Branch provides support for regional and international conferences on industrializations such as those convened in preparation for the Third General Conference of UNIDO held in January - February 1960 at New Delhi and for studies and programmes for the African Industrialization Decade (1980-1990).

4. Sectoral Studies Branch (IS/SEC)

This Branch prepares world-wide studies at the industrial branch level on selected sectors, with the objectives of:

- (a) Providing a basis for disaggregating the general Lima target (25% share of the world manufacturing output by the year 2000 produced by developing countries) into sectoral and mid-term targets; suggesting ways and means through which the developing countries could achieve these targets, thus reducing the uncertainty concerning the long-term prospects, analysing the projects and strategies of the main actors; identifying possible co-operation between developed and developing countries as well as between the developing countries themselves, and providing a basis for consultation meetings among Governments on specific sectors;

- (b) Assisting decision-makers in developing countries in the formulation of development policies for the establishment or development of various industry and inter-sectoral strategies - the relevant studies and information on technological complexity and alternatives, supply and demand, simulation models, world sectoral scenarios, market trends, bargaining and structural powers, barriers to enter into the sectors, energy requirements, and environmental considerations are concrete inputs available for use by policy-makers in developing countries;
- (c) Indicating possible activities in the field of technical assistance and providing new instruments of action to promote industrial development.

The sectors covered include capital goods, food processing, agricultural machinery, fertilizers, iron and steel, leather and leather products, petrochemicals, pharmaceuticals, and vegetable oils and fats. The inter-sectoral relationships are studied also with the objective of determining possible integrated sectoral strategies by similar groups of developing countries.

5. Development and Transfer of Technology Branch (IS/TEC)

Through the Development and Transfer of Technology Branch, UNIDO carries out intellectual, analytical and promotional work in the field of technology transfer and development for the benefit of developing countries. In particular, the efforts of the Branch are directed towards:

- (a) Building up the capacities of the developing countries to select, acquire, adapt and absorb industrial technology and to develop endogenous industrial technologies;
- (b) Assisting developing countries to formulate policies and programmes for technology transfer and endogenous technology development;
- (c) Strengthening the negotiating skills of developing countries and providing technological advisory services in response to specific requests;
- (d) Alerting developing countries to technological advances (such as in the fields of biotechnology and micro-electronics), their implications for developing countries and possible impact so that appropriate policy actions may be taken;
- (e) Promoting rural industrial technologies;
- (f) Promoting development of infrastructure for the selection, absorption and commercialization of industrial technologies.

The Branch encourages the exchange of technical information between industrial research institutes in developing and developed countries. It also promotes the exchange of data on terms and conditions of technology contracts with foreign suppliers between technology transfer registries participating in the Technological Information Exchange System (TIES), for example by organizing meetings for heads of technology transfer registries and by publishing the TIES Newsletter. Other activities to achieve the objectives of the Branch include: on-the-spot examination of national technology policies and plans; the holding of training workshops in the negotiation of technology contracts; the holding of meetings to promote co-operation between small industries from developing countries and the host country; promoting co-operation between small industries in specific sectors in developing countries and similar enterprises in developed countries; designing project documents on the establishment of metal production development units (MPDU) for casting and metal-working for developing countries wishing to establish MPDU units; initiating the establishment of mini-hydro-power-generating units and plants to produce ethanol through enzymatic hydrolysis of cellulosic materials. Much of the Branch's work is produced in the form of publications and studies, for example the Development and Transfer of Technology series, which contribute to the UNIDO Industrial and Technological Information Bank (INTIB).

6. Industrial Information Section (IS/INF)

The Industrial Information Section is the focal point in the Secretariat for the discharge of UNIDO's industrial information clearing-house function. The principal activity of the Section is to develop the Industrial and Technological Information Bank (INTIB) project, a service of relevance to the advisory and decision-making process in the selection among technological alternatives of technologies appropriate to individual circumstances. The Section also operates the Industrial Inquiry Service which answers inquiries of relevance to aspects of industrial planning, management and engineering operations. The Section furthermore produces the monthly UNIDO Newsletter, the sectoral Guides to Information Sources, the Directory of Industrial Information Services and Systems in Developing Countries, and the Industrial Development Abstracts relating to all UNIDO-generated publications, documents and reports. The Section develops linkages with industrial information users in developing countries as well as with information data bank systems, information services and relevant networks. Its own network of relays to information users primarily includes Chief Technical Advisers of UNIDO-supported projects in developing countries. (See also chapter XXIII)

F. Division of Administration (ADM)

1. General

The Division of Administration is responsible for all of UNIDO's administrative procedures and housekeeping functions. The Division also provides services related to the use of computer facilities and conducts studies to evaluate on a continuing basis all administrative practices of the Secretariat. In summary, the Division provides financial, personnel and general services to UNIDO (with the exception of recruitment of project personnel) and the provision of supplies and equipment to technical assistance projects which are carried out by the Industrial Operations Division.

Furthermore, the Division provides legal services to UNIDO, including advice on certain legal matters to staff members and the United Nations conferences and the delegations attending these conferences in Vienna as well as to United Nations units located at Vienna.

The Division is also responsible for providing buildings management, catering services and language training for all occupants of the Vienna International Centre (VIC) which is the permanent headquarters of UNIDO, the International Atomic Energy Agency, the United Nations Relief and Works Agency for Palestine Refugees and several UN units which have been relocated from Geneva and New York.

2. Legal Liaison Unit (ADM/LEG)

The Legal Liaison Unit renders advice to the Secretariat of the Industrial Development Board and its subsidiary organs, the Divisions of UNIDO and other UN organizations and UN conferences in Vienna on legal, constitutional and procedural questions, on the implementation and interpretation of the provisions of the Headquarter's agreement with the host country, and on all questions of privileges and immunities. The Unit prepares agreements concerning the seat of UNIDO and other UN organizations at the VIC and represents the UN/UNIDO in the negotiations of those agreements with the Austrian Government.

The Unit assists in the drafting and interpretation of UN rules and regulations; and of agreements and contracts with Governments, commercial enterprises and others. The Unit provides liaison with Austrian authorities, IAEA, the Office of Legal Affairs in New York, and other UN organization on legal matters of common concern and interest. It also provides the Secretariats of the Joint Appeals Board, the Joint Disciplinary Committee and the Panel to Investigate Allegations of Discriminatory Treatment in UNIDO. Finally, it provides

informal advice to staff members of UNIDO and other UN organizations in Vienna on questions of local law and general legal matters.

3. Electronic Data Processing Section (ADM/EDP)

This Section is responsible for the development and maintenance of computer applications of an administrative or management nature, such as payroll/personnel systems, accounting systems, experts recruitment system, inventory control system, documents service control system; and for information applications of a bibliographic and directory nature such as Industrial Development Abstracts, INTIB reference and mailing list. (Research applications are handled independently by the Division of Industrial Studies.)

4. Financial Service (ADM/FS)

This Service carries out the functions of financial forecasting, budget preparation in connection with the Medium-Term Plan and the Biennial Programme Budget, issuance of allotments and manning table authorizations, control of budget implementation and financial analysis and reporting. In addition, it provides replies on behalf of the organization to audit comments and reports of the external and internal auditors on all financial matters.

5. Personnel Service (ADM/PS)^{3/}

The activities carried out by this Service include recruitment: negotiations with candidates; induction of newly-recruited staff; co-operation with national recruitment services; administration of the appointment and promotion machinery; implementation of the United Nations Staff Regulations and Rules, Joint Staff Pension Fund entitlements and local security plans; counselling of staff members; language training; and classification reviews. The Service places emphasis on recruitment planning; on greater use of selective, directional techniques in prospecting for candidates; on continued progress towards work simplification and rationalization; on staff training programmes; and on the use of job classification techniques. The Section also co-ordinates policies for locally-engaged staff with the IAEA.

The recruitment of field project personnel is not handled by this service but by the Project Personnel Recruitment Section of IDO (see also chapter XIII).

^{3/} Details of the functions of ADM/PS Experts Administration Unit are spelt out in chapter XVI.

6. General Services (ADM/GS)

This Service provides essential day-to-day assistance to all United Nations units at the Vienna International Centre such as communications (including telex, telephone switchboard, mail, pouch and messenger service); archives and records; procurement, issuance and control of equipment, office supplies and stationary; arrangements for travel, including visas and accommodation; transportation of household goods and personal effects; and local transportation (car pool).

In addition General Services is responsible for providing buildings and grounds management service for the entire VIC complex and its technical installations; the management and operation of catering services; the garage operation and commercial operations such as the newsstand for the benefit of all organizations and firms with offices at the VIC.

IX. SENIOR INDUSTRIAL DEVELOPMENT FIELD ADVISERS (SIDFAs)^{1/}
AND JUNIOR PROFESSIONAL OFFICERS (JPOs)

A. Senior industrial development field advisers

1. General

UNIDO's senior industrial development field advisers (SIDFAs) are staff members of UNDP and are subject to rules and regulations and administrative instructions applicable to UNDP field staff. Their international status in the office of the Resident Representative is similar to that of other international staff of equal grade and therefore, as a rule the SIDFA has the same rank as a Deputy Resident Representative. Technical co-operation activities in the industrial field are de-facto the concern of both the UNDP Resident Representative and the SIDFA, especially in the field of programming, review and follow-up. SIDFAs, however, carry the main responsibility for industrial development policy aspects under the general administrative authority and policy guidance of the Resident Representative. SIDFAs may serve one or more developing countries and they may maintain independent contacts with the central organs of the Government at the request of the Executive Director of UNIDO for matters outside the sphere of UNDP.

2. Purpose of appointment

The formal agreement between UNIDO and UNDP specifies the following listed purpose of appointment:

- (a) To achieve with respect to the UNIDO field staff and activities a desirable degree of co-ordination with and integration within the offices of UNDP Resident Representatives particularly in respect to efforts aimed at expanding operational activities in the industrial field;
- (b) To provide, as required, the services of qualified industrial development field advisers of UNIDO on matters of technical co-operation both to the technical authorities of the recipient Governments and to the Resident Representatives;
- (c) To assure UNIDO an adequate channel of communications with Member States on matters outside the scope of UNDP-sponsored activities, as well as with the Regional Economic Commissions and with other regional and sub-regional organizations.

^{1/} Although there is a distinction made between senior industrial development field advisers and industrial development field advisers, denoting rank, all field advisers are referred to in this Manual as "SIDFAs".

3. Duties.

The SIDFAs' role in co-ordinating the work of experts serving in the country of their duty station is that of an overall team-leaders of UNIDO personnel in the field, realizing, of course that the main responsibility for project activities rests with the project management. However, the project management should keep in close touch with the SIDFA on the progress of the work.

In his function as team leader the SIDFA is expected to:

- (a) Maintain direct contacts with the technical authorities of the recipient Government in matters of programming, execution and evaluation of UNIDO projects; contacts with the central organs of the Government on UNDP matters are principally reserved to the Resident Representative. In carrying out his functions, he will maintain close working relations with the appropriate officials of the Regional Economic Commissions;
- (b) Maintain/contact and provide guidance for UNIDO experts; he is responsible to brief Chief Technical Advisers as well as experts and consultants on arrival in the field; help ensure that UNIDO field personnel in the country of his duty station are used as effectively as possible; and investigate existing problems or obstacles to carrying out their responsibilities;
- (c) Participate, as appropriate, in the planning stage of large-scale projects for which UNIDO is to be the executing agency and co-operate with the CTA on such projects for the purpose of liaison, reporting and evaluation; in matters of programming the SIDFA keeps in close touch with the Resident Representative and may be requested to suspend action if the Resident Representative deems it necessary;
- (d) Provide UNIDO with proposals and suggestions which may lead to improvements in the delivery of UNIDO's assistance in the field of industry ;
- (e) Upon request, represent UNIDO at regional or special meetings concerned with industry, and report on these meetings to UNIDO headquarters.

B. Junior Professional Officers (JPOs)

Junior Professional Officers (JPOs) act as assistants of SIDFAs. The cost of employing them is as a rule defrayed by special donations from donor countries and their employment is administered by UNDP.

Their main duties are to relieve the SIDFA of administrative tasks. Still, the duties of the JPO depend to some extent on the country of assignment and the size and structure of the office of the Resident Representative in that country. In any case, UNIDO may request the JPOs to undertake specific ad hoc assignments in connection with activities and work programmes of UNIDO in the host country; however, these assignments would as a rule be carried out under the supervision of a SIDFA.

X. UNIDO'S FIELD PERSONNEL

A. General

There are eight categories of technical personnel which carry out UNIDO's work abroad. The following brief description covers their major qualifications, functions and responsibilities.

B. Chief Technical Advisers

The officer responsible for UNIDO's participation in project operations in the field is as a rule referred to as CTA. In the past he may have been given the title of Project Manager or Chief Technical Adviser (see also chapter XI). Since the Chief Technical Adviser has a key function in the project, he must be of a suitable calibre both in terms of high professional qualifications and acceptable leadership qualities. To an appreciable extent the success or failure of the project depends on the type of person selected for that function.

C. Experts

An expert^{1/} is a person appointed by UNIDO to undertake technical assistance assignments at the request of Governments of developing countries. The funds for the financing of these experts come from several sources. An expert is required to advise, assist and participate in performing certain duties or to undertake certain operations in developing countries in an effort to improve their industrial potential. He must have the specific skill and extensive experience, and, if deemed essential, the academic qualifications to undertake the assignment. In addition, and often most important, he must have the personal qualities to deal easily and effectively with government officials in the host country, a point that is normally assessed by a professional interviewer or by persons directly acquainted with the candidate. An expert may work under the supervision of a CTA or, in small projects, on his own.

D. Administrative officers

Although the volume of administrative support varies from project to project and from country to country, the paramount consideration in every case is that the project management should not be overburdened with administrative details so that it can concentrate on the direction and supervision of the substantive activities.

In most cases, the administrative functions in the field related directly to UNDP projects focus on local currency disbursements, leave records, UNDP property records etc. Generally these functions should be performed by a locally-recruited administrative officer. In projects which operate out of the capital of a country, administrative services can be provided as a rule by the office of the UNDP Resident Representative. For many projects, however, especially those located at a distance from the capital and involving many persons and a substantial amount of equipment, it may be necessary to provide for an internationally-recruited administrative officer.

^{1/} Although still widely used, the terms "expert" and "counterpart" are increasingly replaced by the more appropriate reference to international and national project staff. Experts are often called consultants or advisers.

E. Associate experts

As a rule, associate experts are university graduates with limited professional experience. They are assigned to work under the supervision and guidance of experienced experts. Associate experts are provided in response to a specific request from the receiving countries. As international civil servants, they are subject to the rules and regulations of the United Nations for the duration of their assignment. They are appointed in the same way as regular experts except that the donor Government, which provides the expert, is responsible for all costs such as salaries, allowance, insurance, and cost of transportation to and from the duty station, and reimburses UNIDO accordingly. ^{2/}

Each associate expert is normally assigned for an initial period of not more than 12 months. UNIDO may extend this period in agreement with the donor Government and the Government of the receiving country. Certain Governments have undertaken to make available associate experts and have signed agreements with the United Nations to this effect.

F. United Nations Volunteers

Requests for UN Volunteers for industrial development projects are channelled through UNIDO to the office of the United Nations Volunteers Co-ordinator at Geneva which selects candidates and makes them available to UNIDO. The costs for volunteers are financed mostly from a special fund made up of voluntary contributions from Governments, international organizations and individuals. Local costs are in most cases paid by the recipient country's Government.

G. Regional advisers and outposted staff

Regional advisers and outposted staff are UNIDO personnel attached to regional economic commissions or their subregional offices. They assist in improving the effectiveness of co-operation between UNIDO and the United Nations regional commissions and in enhancing the quality of assistance provided to the developing countries of the respective geographical areas, with particular emphasis on regional activities including research and regional or subregional economic integration.

According to the requirements of the region, UNIDO recruits a limited number of regional advisers in various fields of activity, e.g. metallurgy, industrial training, agricultural machinery and implements, chemical industries and industrial programming and planning. Regional advisers' posts are financed from the UNIDO Regular Programme and outposted staff from the Regular Budget. Funds are allotted each year to provide for several regional economic commissions (see chapter II). among the United Nations regional commissions (see chapter II above). The procedure for recruiting regional advisers is similar to that for regular experts and that of outposted staff similar to that for UNIDO headquarters staff. However, only few individuals participate in this scheme.

^{2/} Salaries and allowances of associate experts are paid from special-purpose contributions of donor Governments.

H. Interregional advisers and special technical advisers

The field presence of UNIDO is complemented by the activities of interregional advisers and special technical advisers, who act as a headquarter-based mobile group with the main objective of assisting developing countries through direct technical advice, consulting and trouble shooting on the spot. They visit the field for short periods to provide immediate guidance or solutions to existing problems. At headquarters they advise and assist the Division of Industrial Operations in the formulation of technical assistance projects; the Division of Policy Co-ordination in the development of programme concepts; and the Division for Industrial Studies in the initiation of research activities suited to the field conditions and needs of developing countries.

With due consideration to the needs of the developing countries and priority sectors as highlighted by the Lima Declaration, the advisers' expertise are primarily in the field of metallurgy, chemicals, petrochemicals and fertilizers, engineering and the building material industry.

I. Operational assistance (OPAS) experts

Since 1946, the United Nations have provided developing countries with executive and administrative personnel. They were at first referred to as OPEX experts; now they are called OPAS experts. The objective of the OPAS programme is to assist developing countries in obtaining the services of international experts who temporarily fill executive and operational posts in the machinery of the Governments of the countries to which they are assigned.

The OPAS expert serves as a civil servant of the Government concerned, which pays him a salary and related emoluments at the rate applicable to national civil servants or other comparable employees holding the rank of the post to which the OPAS expert is assigned. In the performance of his duties, the OPAS expert is solely responsible to and under the direction of the recipient Government, which accords him however the same privileges and immunities in respect of his services as other UNIDO project personnel in the same country are entitled to.

In addition, the OPAS expert obtains various benefits from UNIDO in the form of an appropriate stipend to supplement his salary and allowances from the Government. The OPAS expert is not granted a letter of appointment or a United Nations laissez-passer and does not become a participant in the United Nations Pension Fund unless he was a full participant in the fund before his appointment as an OPAS expert.

J. Industrial Development Field Advisers (SIDFAs) and Junior Professional Officers (JPOs)

Industrial Development Field Advisers and Junior Professional Officers are listed here only to complete the roster of UNIDO project personnel. For a detailed description of their functions see chapter IX.

XI. PROJECT MANAGEMENT

A. General

The fundamental task entrusted to the Chief Technical Adviser or national team leaders is to direct the activities of the project towards the achievement of its objectives, as defined in the Project Document.

B. Responsibilities

The performance of that task requires close collaboration between the team members; it may involve the following main responsibilities:

- (a) Preparation of a work programme consistent with the provisions of the Project Document;
- (b) Co-ordination of the work of personnel assigned to the project, giving them all necessary support, assistance and advice throughout the duration of the project;
- (c) Ensuring effective co-operation between international and national project staff;
- (d) Organizing and giving continuous attention to in-service training of the national personnel assigned to the project;
- (e) Supervision and co-ordination of the commencement and the implementation of project activities in accordance with the work programme;
- (f) Ensuring co-ordination of project activities with related activities undertaken in the country by UNIDO or other agencies;
- (g) Ensuring the compliance with instructions concerning the timely preparation of required reports;
- (h) Participating, as required, in the processes of review and evaluation of the progress of the project;
- (i) Performing, in accordance with existing instructions, administrative and supervisory functions entrusted or delegated to the Chief Technical Adviser regarding UNIDO personnel or financial administration or the administration of equipment and supplies (see chapters XVI, XVIII and XIX);

- (j) Maintaining close collaboration with the national agency having jurisdiction over the project; maintaining close contact with the UNDP Resident Representative and his office, following his guidance when required by the provisions of this Manual; in the case of Trust-Fund-financed projects, maintaining contact with the local representative of the country or agency financing the project; and
- (k) In general, managing UNIDO's participation in project activities to the best of his abilities, keeping the UNIDO Secretariat informed of the progress achieved as well as of problems and difficulties encountered in the course of project implementation.

In addition to the responsibilities described above, the Chief Technical Adviser may be entrusted with advisory expert functions in his field of specialization, in which case his responsibilities in that particular capacity are similar to those of other experts of the team. When the Chief Technical Adviser has been appointed at an early stage of the formulation of the project, he may be requested to participate in negotiations or assist in the preparatory work with respect to the drafting of the Project Document, or to assist and advise on the prospection for and the recruitment of experts for the project.

The framework in which the national and international project staffs are called upon to perform their duties is essentially a tripartite enterprise between the Government of the recipient country (or Governments, in the case of sub-regional projects), UNIDO (for which the Chief Technical Adviser is the direct agent and representative) and UNDP (or another Government providing financing). The role of each of these three partners may in practice vary from project to project, but all three are always involved. Moreover, as projects are part of the country's overall national development effort, they are the Government's projects. In these circumstances it is impossible to avoid certain ambiguities and differences of view, which cannot be resolved in advance by precise instructions. The CTA must exercise not only all its resources of expert knowledge, experience and managerial skill, but also the undefinable but essential quality of leadership in order to induce the common endeavour from which must stem the ultimate success of the project.

XII. RELATIONSHIPS

A. Relationship with the government agency and with national personnel assigned to the project

One of the main duties of the Chief Technical Adviser is to establish and maintain harmonious, confident relations with the government agency or authority which has jurisdiction over the project. This is important because the project is a part of that agency's programme. It is also essential that the international team members establish and maintain good and confident day to day collaboration with each other as well as with the national members of the project team. The importance of good relationships cannot be overemphasized since the success of most projects depends to a great extent on this condition.

The framework for effective participation of national and international staff in a project should ensure that that the project is organized and implemented in such manner as to help achieve the project's objectives. For self-reliant development the format of the framework may vary, but it should identify and describe, with respect to each project activity and sub-activity, how the national and international staff will be used to complement and reinforce each other, what will be the output of each sub-activity, and, in terms of the development of institutional capacity, what knowledge and skills the national staff will possess after completion of each of the sub-activities.

The framework should be prepared jointly by the leaders of national and international staff, taking into account the particular knowledge and skills that individual members of the national staff have at the start of project activities, and considering also the project's aim to develop national staff through on-the-job and fellowship training. Since the framework is intended as a means of promoting effective participation of the national and international staff, every effort should be made to ensure that it does not become a straitjacket.

There may occur occasionally situations in which disagreements concerning some technical aspect of the project arise between a member of the international team of experts and a national official assigned to the project. In such cases the CTA should arrange for both parties to expose fully their points of view, and try to resolve the disagreement by discussing its substance with them. The CTA should

at the same time inform UNIDO's backstopping office of what has happened and request guidance as appropriate. In cases where the proposed course of action would not be in accord with the provisions of the project document, there may be a need to introduce a revision, and then procedures for a revision of the project document should apply.

Unfortunately, sometimes the CTA may arrive at the conclusion that the quality of the performance and of the contribution of some of the national team is below what might be reasonably expected in all the circumstances. If such a situation arises, and the CTA's direct contacts with the senior national official fail to produce results, the CTA may have to intervene discreetly with appropriate higher national authorities who have jurisdiction over the national project. It is advisable at this stage to consult with the Resident Representative with a view to agreeing with him on the action to be taken. If that consultation indicates that a high-level intervention with the central authorities of the Government is necessary, the Resident Representative would usually be expected to undertake it. In such a case it is also necessary to report on the situation to UNIDO headquarters since it may be decided that a senior staff member be sent to co-ordinate the intervention.

B. Relationship with the Resident Representative and
with UNDP office

The role of the Resident Representative of UNDP with respect to UNIDO projects stems primarily from the fact that the administrator of UNDP is accountable to the Governing Council of UNDP for all aspects of its programme, and that he exercises his accountability by relying on the Resident Representative to monitor the planning and the implementation of the UNDP country programme on his behalf. It is essential that the Chief Technical Adviser maintain close and co-operative relations with the Resident Representative and his staff.

The periodic review of country programming and preparation of new programmes are exercises in which the Resident Representative is responsible for the co-ordination of the contribution of the UN system. The Chief Technical Adviser should maintain close contact with the Resident Representative in the preparation for those exercises, particularly if the project of which he is in charge could be affected.

As co-ordinator, the Resident Representative has usually a good knowledge of technical assistance activities provided in the country both by organizations in the UN system, and from other sources (e.g. bilateral programmes). He can therefore advise the CTAs of on-going projects in fields related to their project and facilitate contacts, exchange of information, etc. The Resident Representative usually organises meetings - either general meetings of all experts when matters of common interest are discussed, or meetings of experts working in related fields of specialization, or finally meetings of country representatives of international agencies and of other senior staff.

The Resident Representative is responsible for introducing newly arrived Chief Technical Advisers to the appropriate authorities. He may organize briefings for them and other UNIDO personnel, additional to those given at UNIDO's secretariat. The UNDP office maintains a record of most terminal and technical reports on projects implemented in the country, which may be a valuable source of information. The UNDP office frequently maintains also a small library of basic reference books on the country and its economy and of publications or documents concerning economic development and technical assistance.

Whilst the CTA is expected to maintain close contacts with the national authority which has jurisdiction over the project, formal contacts and interventions with the central authorities of the Government (e.g. Ministry of Foreign Affairs, Ministry of Economy and/or Planning, Ministry of Finance etc.) are the domain of the Resident Representative. Moreover, the Resident Representative may be in a good position to intervene, if necessary with the authority which has jurisdiction over the project, whenever it is advisable to undertake such an intervention at a high level (e.g. at the level of the Ministry concerned). Interventions by the Resident Representative may become necessary in various situations: for instance, to ensure that the Government's contribution (financial, or in-kind e.g. office space, personnel, vehicles etc.) is made available at the start of project operations, or when the contents of the project or the terms of reference of individual experts are being changed or interpreted in a manner not in accordance with the provisions of the Project Document, or in the case of any major problem or difficulty which impedes the normal development of project operations.

The main types of administrative support usually afforded to the project by the UNDP office are:

- (a) Serving as an agent of UNIDO for effecting various payments, such as payment to project personnel of that portion of their salaries and allowances payable in local currency, payment of salaries of locally-recruited personnel;
- (b) Transmitting the CTA's recommendations concerning travel; authorizing travel within the authority delegated to the Resident Representative; making travel arrangements, purchasing tickets etc. for travel authorized by headquarters;
- (c) Assisting in finding housing for international project personnel;
- (d) Assisting in sending and receiving cables and telex communications and in dispatching correspondence by diplomatic pouch;
- (e) Processing the appointment and administering the entitlements of locally-recruited staff;
- (f) Being in most cases the official designated by the Secretary General of the United Nations responsible for security matters;
- (g) Co-ordinating and administering the use by project personnel of privileges which may have been granted them by the host Government.

The staff of the UNDP office includes usually an experienced administrative officer, whose assistance and advice in all matters of administration is available normally to the CTA and experts.

The involvement of the Resident Representative in UNIDO-assisted projects has somewhat different sources in the case of UNDP-financed projects and in the case of projects financed from Trust Funds or from contributions to the UN Industrial Development Fund.

In the case of UNDP-supported projects, the Resident Representative is involved, by reason of the UNDP Administrator's accountability for all phases of the project, i.e. programming, formulation, monitoring and implementation, evaluation and follow-up; the administrative support he is expected to give to such projects is also a natural consequence of this involvement.

In the case of projects financed from non-UNDP sources the Resident Representative's involvement derives from his role as adviser to the Government's central co-ordinating authority for technical assistance on assistance available through the UN system, to which UNIDO's trust-funded projects have a close technical relationship.

In practice, the difference, if it exists at all in a given country, is more in the degree rather than in the nature of the Resident Representative's involvement. For reasons of overall co-ordination and efficiency, as well as for reasons of economy, UNIDO pursues the policy of relying on the Resident Representative's services and support to the maximum extent possible for all UNIDO-assisted projects, whatever the source of financing.

The Chief Technical Adviser is expected to establish and maintain with the Resident Representative and members of his staff good and harmonious working relations; seek his guidance and/or advice on all major difficulties and problems encountered in project operations; and to comply with his instructions, when such instructions derive from the Resident Representative's authority as representative of the Administrator of UNDP. The CTA should invite the Resident Representative to visit the project as frequently as his duties require. Individual members of the project staff should be free to visit the UNDP office either on matters concerning their work, or matters concerning their status, salary, entitlements and other problems.

It goes without saying that the Resident Representative is not expected to undertake any action which might affect the project without first consulting the CTA. The Resident Representative should include the CTA in any group consultations and meetings whenever other senior staff and CTAs participate.

C. Relationship of the Chief Technical Adviser with the diplomatic representative of the donor country financing the project

There are some similarities but also fundamental differences between the CTA's relationship with the Resident Representative and that with the local diplomatic representative of the donor country which finances a project through a Trust Fund.

In the first case, the Resident Representative acts at the country level on behalf of the Administrator of UNDP. In the second case, there is a link of accountability between, on the one hand, UNIDO and its Executive Director, and on the other hand, the donor Government and the recipient Government at the country level, although this link is not defined in any formal manner.

While this is not a requirement, as a matter of good sense and of courtesy, the CTA of a project financed by a Trust Fund may maintain some contact with the diplomatic representative of the donor country and provide any information the representative may request. He may also, in consultation with the senior national staff member invite him to visit the project from time to time. However, in case the diplomatic representative offers assistance to the project e.g. in the form of his intervention with local authorities, or in the form of additional resources to the project etc. the CTA should report this to the Resident Representative and UNIDO headquarters.

XIII. PROJECT FORMULATION AND PREPARATION

A. General

Ideally, the Chief Technical Adviser should be "on board" and at his post during the project formulation stage so as to co-operate with all concerned, that is the host Government, UNDP and UNIDO headquarters during that crucial stage. However, this is seldom the case. A CTA in residence ^{1/} is more frequently in a position to help during the formulation of follow-up projects or the second stage of a terminating initial project.

UNDP has issued various guidelines in addition to the Policies and Procedures Manual all of which cover in detail the various stages of project formulation and preparation. Moreover, a number of documents issued by UNIDO are believed to be particularly important to CTAs. During briefing at the Secreatriat, CTAs are therefore handed some of the documents, which are listed below.

1. Guidelines on Project Formulation (UNDP G3400-2)
2. Advance Authorization (PPM 3442)
3. The Project Cycle (PPM 3400)
4. Guidelines on Project Implementation (UNDP/G3400-4)
5. Project Revision (PPM 3450)
6. Programme Review Meetings (PPM 3830)
7. Project Budget (PPM 4100)
8. Hiatus Financing (PPM 4531)
9. Execution of Projects by Governments (UNDP/PROG/69)
10. Further Decentralization to the Field Level (UNDP/PROG/59)
11. Increased Reliance on National Human Resources in Project Implementation (UNDP/PROG/72)

^{1/} Occasionally, a "CTA designate-in-residence" may be available during the formulation stage.

12. ACC Programme Classifications (UNDP/EIS/39)
13. Guidelines for the Preparation of Job Descriptions (UNIDO/80-33513)
14. A Glossary of Project Design, Work Planning and Evaluation Terms (UNIDO/80-41611)
15. Channels of Communications (UNDP/PROG/75)
16. Integration of Women in Development (UNDP/G3100-1)
17. Inventory of Feasibility Studies (UNIDO/78-435)

On the following pages certain facets of that material are high-lighted.

B. Responsibilities

1. General

The roles and responsibilities of the Government, UNIDO and UNDP in the implementation of a project follow from the tripartite partnership discussed earlier in this document.

2. Responsibilities of the Government

The Government is responsible for the delivery of Government inputs. It is expected to appoint a leader for the national staff of the project wherever there are two or more national staff members. The leader of the national staff of the project is responsible, jointly with the CTA of the team of international personnel, for efficient and effective utilization of project inputs, for planning and carrying out project activities and producing project outputs, and thus for achieving the immediate objective of the project. Within the framework of this shared responsibility, the leader of the national staff (or the person designated for the purpose by the Government) alone should exercise formal control and supervision of project inputs in kind provided by the Government.

The Government not only has the authority but also a responsibility for monitoring the implementation of a project, including the related efforts which would enable the effective utilization of project results. Without prejudice to its own arrangements for monitoring the implementation of a project, the Government is expected to participate, and assume a leading role, in the periodic, tripartite review of projects, where this is undertaken in conformity with UNDP policies and procedures.

As a logical corollary to the monitoring, the Government should carry out those corrective or other actions within its competence which are identified by the monitoring process as necessary in relation to a project. As distinct from monitoring, it should also make appropriate arrangements for guiding and supervising the Government Implementing Agency for the project and the leader and members of the national staff of the project. Jointly with UNIDO, the Government is responsible, too, for the substantive aspects of the project's activities and outputs, as well as of the results reflected in the achievement of the project's immediate objective.

The Government has, furthermore, the responsibility to ensure that the programme of co-ordinated, independent efforts which encompasses the UNDP-assisted project and which is to be undertaken for the effective utilization of that project's results when they become available, is carried out as foreseen or as modified in the light of circumstances. In this connection, it may request UNDP to provide appropriate assistance for implementing such efforts.

3. Responsibilities of UNIDO

The responsibilities of UNIDO in the implementation of a project reflect its role as a partner to the Government in the project, as well as its accountability to the Administrator of UNDP for the performance of all the project-related tasks within its competence.

UNIDO is responsible for the delivery of all those inputs which are financed by UNDP, or by the Government under cost-sharing arrangements, as well as of those inputs financed by the Government through a cash contribution or by itself.

In order to facilitate efficient and effective management of the project, UNIDO appoints the CTA as a leader for the team of international personnel.

On behalf of UNIDO, the CTA as the leader of the team of international personnel assigned to the project is responsible, jointly with the leader of the national staff of the project, for efficient and effective utilization of project inputs, for planning and carrying out project activities and producing project outputs, and thus for achieving the project's immediate objective.

Within the framework of shared responsibility, the CTA alone may exercise formal control and supervision of project inputs which are financed by UNDP or by the Government under cost-sharing arrangements and which are produced and delivered by UNIDO, and to which UNDP retains title.

C. Continuous programming

1. General

Continuous programming of UNDP resources is to be based mainly upon existing processes for the monitoring and review of UNDP-supported projects and programmes, including periodic reviews of such projects and of the country programme as a whole ^{2/}. It is the intention to utilize existing processes more effectively and adapt them where necessary, rather than add to them or introduce additional exercises.

The emphasis in the third programming cycle (1962-1966) will be on greatly improved and efficient programme management through advance planning, in close consultation between the Resident Representative, the Government and agencies, of reviews and programming activities, including studies at the project and sectoral, subsectoral and multisectoral levels ^{3/}. Resident Representatives and their staff will be primarily responsible for providing the necessary support to central Government authorities for the efficient management of the process, while agencies such as UNIDO and sectoral ministries within Governments should be fully relied upon to play their essential substantive roles.

The findings and recommendations emerging from the review and programming activities referred to in the previous paragraph should help to decide the use of available UNDP resources. The determination of priorities for such use should be made by the appropriate national authority(ies), in consultation with the Resident Representative, assisted by representatives of those agencies which, based upon the preceding sectoral reviews and programming activities, are likely to be involved in the country programme.

Updating of a country programme thus becomes a continuing activity, the status or progress of which will be periodically assessed and reported on. In that context the periodic country programme review will take the form of an analysis and synthesis of the conclusions of review and programming activities carried out during a certain period, and their presentation in a structured forward-looking report, rather than that of an elaborate separate exercise.

^{2/} While project monitoring and review are concerned with project performance, programme monitoring and review are aimed at preserving the integrity of the country programme and ensuring its effective implementation and continued responsiveness to national priorities as perceived by the Government.

^{3/} Subsequent references to sectoral reviews and/or studies, also include subsectoral and multisectoral reviews/studies.

With proper application of the concept of continuous programming the need for special studies and reviews and extensive additional consultations for the formulation of a new country programme should be considerably reduced.

Although much of what will be explained in this chapter may not be of immediate operational use to CTAs, considerable details about the new continuous programming concept have been included because its understanding is necessary as a reference framework in general and in particular as background for discussions CTAs may have on the subject of future programmes with host government authorities.

2. Continuous monitoring and review

(a) The UNDP country programme

Continuous programming of UNDP resources requires the comprehensive assessment at the appropriate time of the various activities being undertaken with UNDP assistance in a particular sector, how they affect that sector, and what additional activities may be needed to maintain the momentum and/or contribute to the further development of the sector. Such assessments or reviews may reach beyond the immediate range of influence of a project or group of related projects and in some cases assume the proportions of a full-fledged sectoral study. However, considering that in most countries UNDP resources represent a relatively minor portion of the assistance available to the Government, extensive use of comprehensive sectoral studies as a means of determining the future use of these resources is not envisaged. Nevertheless, it will be necessary for the Government concerned, UNDP and UNIDO to constantly look ahead to ensure that the most effective use is made of the assistance available from UNDP.

The review of ongoing UNDP-supported activities (tripartite project reviews) and the daily dialogue between Government officials and their counterparts in the United Nations system constitute a firm basis from which to proceed to determine future activities. Greater use will be made of existing methods of review towards achieving a more coherent and effective country programme. The Resident Representative has a key role to play in co-ordinating the contribution of the United Nations system to this process.

For determination of the technical co-operation requirements on which the programming of UNDP resources should be based, maximum use is to be made of existing studies and earlier or planned reviews carried out by the Government and UNIDO. The need for additional reviews and studies and their extent and nature is to be determined by the responsible government authorities. They should be carried out by the Government or under government auspices. The participation of UNIDO in specific studies and reviews should be agreed upon in consultation between the Government and UNIDO, the latter under the leadership of the Resident Representative.

The preparation of country programme management plans (CPMP), which set out the various planned activities with regard to programme development, the sectoral studies to be undertaken by or with the assistance of UNIDO and project formulation and implementation, will be continued. The Administrator will further improve CPMP's and their use in support of the systematic, well-timed and phased review of the entire country programme with the full participation of senior Government officials of the sectoral ministries concerned and of the central co-ordinating and planning authorities, UNDP and UNIDO.

The approach outlined in the previous paragraphs is expected to contribute to the greater responsiveness of the country programme to needs of the country as they arise. It will create a common awareness among the participants of shortfalls and new needs as well as of opportunities to meet them. It will help to bring the programme of the various organizations of the United Nations system closer together, making them mutually supportive. In short, the systematic and close involvement of all concerned both within the Government and within the United Nations system is to greatly enhance the overall effectiveness of United Nations technical co-operation and capital assistance in a particular country.

- (b) Use of the UNDP country programming process as a frame of reference for the operational activities of the organizations of the United Nations system; joint programming of resources

Experience indicates that continuous programming has potential as a frame of reference for programming non-UNDP resources and would facilitate enhanced agency participation and support of operational activities at the country level.

Therefore, the process of continuous programming should provide a suitable framework for the co-ordinated planning of review and programming activities at the sectoral level related to the assistance provided by the United Nations system. It is to afford the Government and the organizations involved a more comprehensive insight into sectoral and multisectoral requirements and ways of meeting them, and thus facilitate more effective planning of the use of various resources available to the Government. In the case of Trust Fund Programmes it is not always possible to use the UNDP country programming process as a frame of reference for operational activities. Nevertheless, the potential for a closer link with the process of country programming exists. If, in addition, trust funds can be used for the financing of projects jointly identified during the country programming process, the relevance of such assistance to development priorities would be further enhanced.

3. Periodic country programme reviews

The continuous and structured monitoring and review of a country programme, discussed in the previous section, should be the basis for the periodic country programme review. Careful planning of individual reviews and studies and programming discussions over a period of time will allow for review of activities in sufficient depth and thus generate responsible decisions on further assistance.

The purpose of periodic country programme reviews should be substantive rather than financial. They should be undertaken when the state of the country programme calls for a (re)assessment of its effectiveness and response to present and future needs. The timing of periodic country programme reviews should, therefore, be made dependent on the results of study and review activities and consultations at the sectoral level and in particular on:

- (a) When it is most useful for the Government to have at its disposal an up-to-date programme of UNDP technical co-operation;
- (b) When the country programme has reached a stage where decisions have to be taken about new commitments which are not adequately reflected in the current country programme document or its latest update. The amount of resources left to be programmed - probably considerably larger in the first years of the country programme - will be an important factor in establishing the cycle for periodic programme reviews; and

(c) When the content of the country programme has undergone significant changes due to unforeseen circumstances and new demands on the country programme's resources.

Country programme reviews, therefore, should not necessarily have to be conducted annually. An important aspect of the Resident Representative's responsibility in assisting the Government in the management of the country programming process is the determination, in consultation with the Government, of the cycle to be adopted for periodic country programme reviews.

With the emphasis in continuous programming being placed on a process of continuous monitoring and review at the sectoral level, it is expected that the periodic country programme review and the resulting preparation of a document providing a comprehensive overview of the state of the country programme and its future orientation should normally not involve more than the compilation and synthesis of the results of the preceding reviews and implementation action taken. The participation of UNIDO in this exercise should be decided at the appropriate time in consultation between the Government, the Resident Representative and UNIDO.

4. The formulation of new country programmes

In the context of continuous programming, the formulation of a new country programme of UNDP technical co-operation essentially constitutes a new phase in a continuing process. Country programme formulation is the responsibility of the Government concerned and should be carried out in co-operation with the United Nations system, the latter under the leadership of the Resident Representative.

The formulation of a country programme should be based upon the identification of technical co-operation requirements which may be met by UNDP and the determination of how UNDP and UNIDO might effectively respond to these requirements. Such planning and programming activities as are being undertaken by the Government before or during the formulation of a new country programme, the reviews and studies carried out at the sectoral level in the process of continuous programming, and the periodic country programme reviews should be important sources for the information required. Where necessary, this information could be supplemented by carrying out such additional reviews or studies as would be agreed to in consultation between the Government, UNDP and UNIDO.

D. Project Document

1. General

A Project Document is the formal contract and control document for a project agreed to by and between the Government concerned, UNDP and UNIDO. It is a formal legal document outlining the objectives of the project, its relation to the country's development aims, and the proposed way of achieving these aims by listing inputs by all concerned. In its draft form it is the basis for determining whether a project for which UNDP assistance is requested would have a reasonable chance of contributing to the fulfilment of the relevant sectoral or multi-sectoral development objective of the Government, and for carrying out negotiations concerning the nature and scope of UNDP assistance to the project.

2. Purpose

A Project Document should:

- (a) Provide a clear statement of what is expected to be accomplished and how;
- (b) Define objectives in a manner that permits subsequent evaluation of the project's effectiveness;
- (c) Indicate inputs, activities, outputs and their schedules in a manner that permits monitoring of implementation; and
- (d) Serve as an effective and efficient method of communicating the project's design to all parties connected with the project.

A Project Document is the result of project formulation on the basis for project implementation. It is a starting point; it should not be mistaken for the destination.

A Project Document is required for each UNDP-assisted project, regardless of the magnitude of assistance. The contents and length of a Project Document should be adjusted to the requirements of each case.

3. Contents

The contents of a Project Document will be as follows:

COVER PAGE

PART ONE LEGAL CONTEXT WITH TERMS OF REFERENCE

PART TWO THE PROJECT

- (i) Overall Development Objective
- (ii) Immediate Objective
- (iii) Special Considerations
- (iv) Background and Justification
- (v) Outputs
- (vi) Activities
- (vii) Inputs
- (viii) Preparation of Work Plan
- (ix) Framework for Effective Participation of National and International Staff in the Project
- (x) Development Support Communication
- (xi) Institutional Framework ^{4/}
- (xii) Prior Obligations and Prerequisites
- (xiii) Future UNDP/UNIDO Assistance.

PART THREE SCHEDULES OF MONITORING, EVALUATION AND REPORTS

- (i) Tripartite Monitoring Reviews
technical reviews
- (ii) Evaluation
- (iii) Documentary Outputs, Progress and Terminal Reports.

^{4/} In some cases, it may be more appropriate to give the description of the institutional framework immediately after the description of the legal context of the project.

PART FOUR BUDGETS

- (i) UNDP Budget;
- (ii) Government Budget, including schedule of cash inputs and payments under Government cost-sharing arrangements.

ANNEX I

Detailed Work Plan.

OTHER ANNEXES (as required in the following order):

Framework for the Effective Participation of National and International Staff in the Project;

Plan for Development Support Communication;

Legal Context (if required); and

Other annexes, if any.

E. Work Plan

1. General

The Work Plan is part of the Project Document, even though it is not incorporated into the main body of its text but attached as Annex I. It is to be prepared when those directly responsible for the management of the project - namely the international and national team leaders - are available to prepare it. ^{5/} The preparation of the detailed Work Plan is the first step in project implementation. However, there is no harm in undertaking the preparation of the Work Plan prior to the formal beginning of implementation, provided those directly responsible for the project's implementation are available to carry out the task.

The task of preparing the detailed Work Plan is normally assigned to the management of the project because it is a sound management principle that the person or persons given the responsibility to implement a task should have the opportunity to decide or to participate in deciding the detailed course of action within the overall established design framework.

^{5/} If the project would have only national staff, the leader of the staff concerned would prepare the Work Plan.

2. Helpful suggestions

- (a) Use any format that seems appropriate. Prepare bar-charts or network diagrams to illustrate the Work Plan graphically, if necessary;
- (b) Ensure that the Work Plan is within the framework of objectives, outputs, activities, inputs, duration etc., indicated in the project's design, as initially established or subsequently revised;;
- (c) Note that the timetable or barchart of activities and outputs included in the main body of the Project Document is not binding, though the overall time-frame or duration of the project is ;
- (d) If it is necessary to alter the timetable or barchart included in the Project Document, prepare a new timetable or barchart to give a broad view of the work planned for the entire duration of the project and include it in the Work Plan ;
- (e) Prepare a detailed Work Plan for the first twelve months of the project at the beginning of project implementation ;
- (f) Bring the initial Work Plan up-to-date at six-monthly intervals, projecting the work to be carried out over the following twelve months. As far as possible, undertake the updating of the Work Plan immediately prior to scheduled tripartite monitoring reviews, so that those participating in the tripartite review would have the opportunity to consider the updated version and to make appropriate comments and suggestions, if any ;
- (g) Identify in the Work Plan each project activity - and under that activity, each of the related sub-activities - separately. At the same time, clearly indicate whether the implementation of an activity (or sub-activity) depends on the outputs to be produced by one or more other activities (or sub-activities) and, if that would be the case, also indicate the specific point in time such interaction would occur ;
- (h) In regard to each activity and/or sub-activity, specify benchmarks of the progress of the activity or sub-activity in terms of specific phases of activity or sub-activity completed. The indicators may be qualitative, quantitative, or both ;

- (i) With respect to the staff development activity, if there is one, indicate when any fellowships for training abroad would begin and end (departures and return dates of fellow), together with information on the place or places of study or training ;
- (j) Also indicate, with respect to each activity or sub-activity, when specified outputs - or component elements of the outputs - would be produced;
- (k) Further, indicate when specific inputs would be needed or expected to be delivered in relation to each activity or sub-activity. Inputs which would be common to two or more activities should be identified as such through the use of appropriate symbols or footnotes. Ensure that input deliveries are properly co-ordinated with each other and with the schedule of activities ;
- (l) Make a clear distinction between project activities and those actions which are connected with the procurement (or preparation) and delivery of project inputs. Identify only those activities which would be carried out by the project staff itself; for the purpose of producing specified outputs, as project activities. Ensure that those activities which are part of and fall within the ongoing responsibilities of the institution or unit or programme with whose development the project is concerned, are not indicated as project activities;
- (m) Make a clear distinction also between the activities of the project and those actions which are related to the delivery of project inputs;
- (n) Include in the Work Plan a time-phased schedule for the (preparation and) submission of project progress reports to be prepared by the leader of the international staff or national staff, as the case may be ;
- (o) Also include a schedule of tripartite monitoring reviews, where applicable, as well as any other ad hoc technical reviews scheduled ;
- (p) Indicate too, appropriately, when an evaluation of the project would take place, if provision for an evaluation has been made in the Project Document;
- (q) Reflect in the Work Plan, as appropriate, or co-ordinate with the Work Plan, such development support communication actions as would be undertaken by the project itself or by other parties outside the project;

- (r) Also reflect in the Work Plan, as appropriate, or co-ordinate with the Work Plan, the roles/contributions of agencies, organizations etc., which may also have a role in the implementation of the project. In this connection, starting with the information provided in the Project Document itself and in regard to all agencies or organizations so involved, establish a timetable for their relevant roles or contributions, in relation to the Work Plan of the project. In developing and articulating the information along the lines indicated, make certain to consult each of the agencies or organizations separately, and if necessary also in a group, and ensure that there is clear mutual understanding on the nature, scope and timing of the roles/contributions of each agency or organization. Incorporate the understandings reached in a memorandum or a series of memoranda. Whenever possible, specify in the memorandum or memoranda concerned the names and titles of the official(s) in the different agencies who would be responsible for ensuring that the respective roles are discharged and contributions made available as agreed. The memorandum or memoranda should be annexed to the Project Document.

F. Purpose and importance of job descriptions

1. General

The successful and orderly execution of technical assistance programmes depends to a great extent on the timely fielding of well selected experts. The continued growth of programmes and the ever increasing diversification of projects has made the search for qualified experts a complex and difficult task.

Since the early beginnings of United Nations technical assistance to developing countries, job descriptions containing pertinent information concerning the objectives of the project and the expertise needed for its implementation have been used as the main instrument in the recruitment of experts. The job description defines the exact work to be done, and why, where, when, and for how long it should be performed, as well as the qualifications necessary to successfully implement the required work set out in the job description. It is also used to attract qualified candidates and is an essential tool whenever a roster search is being made. A clear, accurate and informative job description can greatly facilitate the prompt and effective accomplishment of these tasks. Equally important is a precise and detailed job description in those cases where it serves as a basis for advertisements which are published regularly in official publications as well as technical journals around the world, to find suitable candidates for those posts which are particularly difficult to fill.

Past experience has amply demonstrated that unclarity, inaccuracy and inadequacy of the information provided can result in considerable delay in the selection and/or government approval of candidates. The job description therefore exercises a powerful, even decisive influence on the success or failure of projects.

In drafting a job description several points should be observed in order for it to benefit all persons concerned:

Of major importance is an exact definition of the qualifications required. They not only reflect the kind of assistance requested by the Government but also serve as a basis for any roster search being made, which requires very specific and detailed information. The qualifications required should also always be in line with the post title and should not cover too wide a range outside of the required field of specialization.

The duties listed must be clearly defined and should correspond as closely as possible to what will be expected from the expert within the framework of his qualifications.

All job descriptions should be drafted in one of the UN working languages.

Generally speaking, one can say that if a job description does not reflect the true needs of the Government to be assisted, an expert not suitable to the requirements of the job to be done may be recruited, and the purpose of the project would be defeated. It is, therefore, of utmost importance that a well-drafted job description always constitutes a unity in which all points correspond to one another.

2. Standard Job Description Form

In addition to the attached job descriptions which have been selected as examples of standard job descriptions containing all essential elements, it should be noted that:

All job descriptions should be typed on the UNIDO Job Description Form provided by UNIDO's Project Personnel Recruitment Section;

All job descriptions should contain the complete post key code, including the budget line and the project programme component;

All job descriptions should be submitted without a date since it may have to be altered for administrative reasons or printing deadlines;

The following guidelines are arranged in the order in which the headings are listed on the basic job description form.

(a) Heading

Since the job description reflects the official Government request for expert services the full official title of the country should be indicated in the heading. According to the source of funds the official country title may be preceded by either "Request from the Government of....." or "Project in.....". For SIS projects the following phrase should be added to the heading: "... for Special Industrial Services" (see sample in annex V). The listing below will be of help in choosing the proper heading:

write: "Project in" for DP, SM, DU, PF projects . ^{6/}
write: "Request from the Government of"
for RP, VS, VC, TF, UF, AR projects.
write: "Request from the Government of for
Special Industrial Services" for TS and
SI projects.

^{6/} For abbreviations see chapter XXVI of this Manual.

(b) Post title

The choice and formulation of the post title is a particularly delicate task, since the prospective expert/candidate, or the particular recruitment source orient their efforts/application towards the post title.

The post title should be chosen after the formulation of the duties and the qualifications. It should indicate the specific function to be performed rather than the general area of work. For instance, a request for assistance in the textile sector should be specified as "Expert in Textile Fibre Research" or maybe "Expert in Quality Control and Testing/Man-Made Textiles" and not "Chemical Engineer" or "Industrial Engineer".

The post title of the Chief Technical Adviser (CTA) should not only reflect his position as one of the above but also the field of activity of the project (e.g. Chief Technical Adviser/Quality Control and Testing in Textile Fibre Production, or Team Leader/Expert in Small-Scale Industries).

The expressions "adviser" or "consultant" should be used whenever an assignment is of an advisory or consultative nature.

Specify clearly the level of expertise needed, whereby the terms "adviser" or "expert" used without a qualifying adjective indicate an average level of expertise which could reasonably be expected of an expert for the execution of the stated project.

(c) Duration

The duration of an assignment must be realistically determined according to the task to be accomplished. State for how long the incumbent's services are required, always spelling it out (e.g. two and a half months, not 2.5 months). Indicate whether there is any likelihood of an extension.

Sometimes there are options that could greatly facilitate the recruitment of experts,^{1/} in particular when the possibility of two or more short-term assignments replacing one long-term assignment exists. Certain types

^{1/} From here on out we talk only about "experts"; obviously the Chief Technical Adviser or Adviser may be substituted to meet the requirements of a given assignment.

of mission do not necessarily require the continued presence of an expert in the country of assignment. Time-consuming laboratory work and report writing could be done at home. In such cases, an obvious alternative to a longer assignment would be a mission of shorter duration with one or more follow-up visits.

Job descriptions for projects that clearly could not be executed within the initial period of one year should always stress the possibility of extension of the assignment.

As a rule, posts having a total duration of several years have to be shown in the job description as being for "one year, with possibility of extension".

(d) Date required

It is essential to allow sufficient time for the search, evaluation and appointment of experts.

The minimum period for the accomplishment of these tasks is three months (e.g. in case of a government nominee) but the average time that elapses between the request for recruitment and the actual fielding of the expert ranges between four and six months. Therefore, in urgent cases, the formula "as soon as possible" should be used, in all other cases the latest acceptable starting date should be determined in view of programming needs and project requirements and in consultation with appropriate authorities.

It is necessary to keep in mind that the proposition of unrealistic starting dates may cause great difficulties in recruitment, programme management and project implementation and is often self-defeating. Great care should therefore be taken to avoid requests for urgent appointment of experts unless it is really justified.

(e) Duty station

State the main duty station, indicating whether travel away from the duty station, within the country or abroad, is envisaged. Should the duty station be a town which is not internationally known, indicate the province or the geographical location within the country.

If assignment for implementing a project, or several parallel projects, in two or more countries is planned, all of them should be clearly stated (town, country) and fully explained in the background information.

(f) Purpose of project

Make a concise statement in no more than one paragraph regarding the project's objectives. It should explain briefly the professional challenge of the problem in the developing country, which requires solution or assistance. Factual details, historical background etc., should be given under background information.

(g) Duties

The scope of the duties to be performed must be realistically tailored to the capacity of one man and the duration of the assignment.

Indicate the ministry, institution, or organization (do not use unexplained abbreviations) to which the expert will be assigned or expected to co-operate with, and list each duty in a separate paragraph.

Preceding the enumerated duties the following sentence should be put: "The expert will specifically be expected to:". Do not refer to the expert as "he" or "she". In listing the functions the expert will be expected to perform, the following aspects should be considered where relevant:

(i) Nature of assignment:

Is the expert primarily to advise and/or assist and participate in performing certain duties, or is he/she to undertake or direct certain operations? A succinct statement of the duties required should be provided at this point.

(ii) Nature of advice requested:

Is the expert expected to advise on policy questions, managerial, administrative, operational or production problems, or design and scientific research questions etc.?

(iii) Nature of operations:

Is the expert expected to take part in governmental administration, factory management, or in technical manufacturing operations? A listing of the specific duties required should be given.

(iv) Level of advice or operations:

At which level of the recipient Government's administrative body or business administration is the expert expected to operate?

(v) Do the advisory or operational duties relate to general or specific aspects or problems? State salient points to which the expert has to pay special attention and enumerate all main specific problems in order of priority.

(vi) Is the training of local personnel required and, if so, at what level is training of national/counterpart personnel required?

(vii) Are any lectures or demonstrations an essential part of the project? If so, state the level of the audience and/or participants likely to be involved.

(viii) Name any technological processes or types of equipment with which acquaintance is considered to be essential for the execution of the project (avoid giving trade-marks and brands of manufacture).

Always keep in mind that the duties, the post title and the qualifications should correspond and harmonize as much as possible, and beware of adding duties not in line with the expert's qualifications or post title.

(h) The standard paragraph

The following paragraph should always appear at the end of the listing of duties to be performed (with the exception of job descriptions for associate experts). This sentence should be separated from the last item of duties and is given here in full in English, French and Spanish:

"The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken."

"L'expert devra également établir un rapport final exposant les conclusions de sa mission et ses recommandations au gouvernement quant aux mesures que celui-ci pourrait éventuellement adopter".

"El experto deberá también preparar un informe final en el que exponga las conclusiones de su misión y formule recomendaciones al Gobierno sobre las medidas ulteriores que se podrían tomar".

(i) Qualifications

As mentioned before, the qualifications are a crucial point of the job description. They serve as an essential tool for the recruitment sources involved and as the principal

source of information for interested applicants. Therefore, it is especially important to observe the following guidelines:

State only the specific skills essential for the execution of the project. Particular care should be taken to avoid demanding a combination of skills or a variety of experience unlikely to be encountered in the case of any individual expert.

Regarding academic requirements, the formula "university degree or equivalent experience" should be used rather than the restrictive requirements of a university degree alone. Ambiguous definitions such as "appropriate academic background" should be avoided. If two disciplines are considered equally suitable both should be listed.

State the professional field(s) in which the expert should have practical experience. When specifying the degree or length of experience which is deemed desirable, the recruitment source should be given as much latitude as possible. Never use such formulations as "10 years (or 15 years) experience required", since such demands are unnecessarily restrictive and might exclude valuable candidates. General terms such as "extensive", "considerable" or "some" experience should be used instead.

When specific technological processes or equipment are listed as essential for the project implementation, full acquaintance of the expert with the process or equipment should be made an essential qualification.

Age or personality requirements should not be included. The minimum age is related to the academic training and experience required, and the primary consideration is the individual professional and technical qualifications for the post. Personal qualities are assessed and evaluated only by professional interviewers, or on the grounds of references given by persons directly acquainted with the candidate.

Any statements requiring the experience of the candidate in a developing country should only be added as a possible asset, not as a definite requirement.

Statements indicating specifically or by implication that selection should be made on the grounds of a particular nationality, race, or sympathy with certain cultures or traditions must be avoided.

Membership in world-wide professional associations should not be made an essential qualification but may be given as an example of qualifications needed.

(j) Language

The language requirements have to be considered from three angles: the professional work of the expert in his assignment; the fact that he is representing UNIDO in the field; the necessity of communication with UNIDO headquarters (on both substantive and administrative questions) including the writing of the final report.

State in which one of the working languages of the United Nations the expert will be required to work and also other languages that would be an asset, stating clearly if, as may be the case, a bilingual expert is needed.

Knowledge of languages other than the applicable working languages of the United Nations should not be made an essential requirement and should only rarely be indicated as an asset, whenever there is a strong justification. In such cases, the following type of formula is acceptable: "English;.... Arabic, Portuguese etc. an asset".

It should be mentioned here that unrealistic language requirements often render the search for a qualified expert unproductive. Language requirements should therefore be formulated according to the real needs of the project at hand.

(k) Background information

It has to be remembered that job descriptions are basic tools in search for experts. They are, therefore, not intended as detailed terms of reference for the expert or other users. Taking these facts into consideration, the following would be suitable material for the background information:

(i) A brief description of factors that led to the request for assistance;

(ii) Relevant information which might facilitate clear understanding of the nature and scope of the work that the expert will be required to perform and which could have an influence on the selection of the candidate;

(iii) A brief explanation regarding the organization or the composition of the unit the expert is expected to co-operate with;

(iv) A short elaboration on the previous activities undertaken to solve the particular problem and results achieved. Name any previous assistance, particularly UNIDO or UN assistance (but not giving names of previous experts or project numbers of previous projects). State any assistance currently being given in the same or inter-related fields describing particulars briefly;

(v) A description of the technical facilities available which are related to the expert's work, listing major locally-available equipment, documentation, research institutes, trained personnel etc.;

(vi) Refer to the requesting country as "the country" rather than restating the official country title, and refer to the recipient Government as "the Government", not as "the Government of...(country)".

3. Common errors

The following contains some of the most common errors encountered in job descriptions:

(a) Unrealistic demands as to qualifications of candidates and the scope of work to be performed. Such demands are particularly harmful, since they result in protracted searches for experts, often with the loss of much time and effort. They also breed recipient Government's disappointment with subsequent project execution.

(b) Inadequate information about the nature of work or ambiguity in the job description;

(c) Unrealistic (too early) starting date of assignment;

(d) Unrealistic (too short) duration of assignment;

(e) Restrictive requirements of insufficiently detailed information regarding the candidate's previous experience;

(f) Verbosity;

(g) Unclear drafting.

In considering some of the recurring errors in job descriptions it may be recalled that the job description reflects a Government's request, which, in turn, is an attempt to define the Government's need for outside assistance in the implementation of a national project. There are, in fact, three preliminary stages: first, a national project, its concept and design; second, the Government's ideas concerning the scope and nature of foreign expertise needed to carry it out successfully, and third, the formulation and expression of those ideas in the form of an official request.

From this it follows that the prerequisites of a good job description are:

- (i) A project which is sound and viable;
- (ii) A plan for UNIDO assistance which is sensible and realistic;
- (iii) an explanation of both that is clear, complete and persuasive.

If any of these elements are unsatisfactory, it is, regrettably, impossible to prepare a good job description. It was for this reason that UNDP issued in March 1968 a similar set of guidelines for the preparation of job descriptions to all Resident Representatives and other field officers of the United Nations Development Programme. It is hoped that the present set of guidelines intended for the staff of UNIDO will also play their part in aiding in the selection processes of experts for the implementation of well-designed projects.

4. Job descriptions for associate experts

The associate expert, as the title might indicate, is one with shorter experience and lesser qualifications than are expected of the average expert. It is therefore only reasonable that the responsibilities placed upon the associate expert as well as the demands made should be in proper relationship to the abilities of a junior expert.

Based on the above, it becomes clear that in drafting the duties to be performed and the qualifications needed, special care has to be taken to not make exceedingly heavy demands on, or overburden the associate expert with duties, which should actually be performed by the immediate supervisor.

An associate expert should, in principle, be fielded together with a fully-experienced expert, who acts as the immediate supervisor and who is also expected to write the final report. Therefore, in the job description of the associate expert there will be no need for the standard paragraph, unless exceptional circumstances so justify.

The post title should always be formulated "Associate expert in.....".

The duration of the assignment for associate experts will always be "One year, with the possibility of extension".

G. Recruitment of project personnel

1. General

The term "project personnel" covers the individual experts, consultants and regional advisers which UNIDO engages to work outside its headquarters and whose conditions of employment are governed by the 200 series of the United Nations Staff Rules and Regulations. In addition, PPRS processes the appointments of the UNIDO interregional advisers and special technical advisers, who belong to project personnel but who are stationed at UNIDO headquarters.

The SIDFAs, JPOs, and United Nations Volunteers are appointed and administered by UNDP but they receive instructions from UNIDO.

The Operational Assistance (OPAS) experts are appointed by UNIDO, but administered and paid by recipient Governments. In addition to the government salary, they receive supplementary remuneration from UNIDO. Therefore they do not belong to project personnel as defined above. They are, however, dealt with in this chapter because the procedures for their recruitment are similar to those of regular experts.

For the sake of completeness it should be mentioned that UNIDO's Purchase and Contract Services Section (PAC) also sub-contracts consulting organizations. Individuals employed under these conditions are not considered UNIDO project personnel.

2. Categories of project personnel

(a) Experts

An expert is a person appointed by UNIDO to undertake technical assistance assignments at the request of the Governments of developing countries. For UNDP-financed technical assistance project, funds are provided under budget lines 11-01 to 11-49. The funds for the financing of these experts come from several sources, which are listed with their code numbers in chapter K of the UNIDO Codes for Computer Applications ^{8/}

^{8/} The following codes are at present in use: Regular Programme (RP); UNDP/IPF: Cost Sharing (CS), IPF (DP); Government Cash UNDP (DC); Programme Reserve (DA); Special Industrial Services (SI); Special Measures (SM); United Nations Industrial Development Fund/UNIDF: Transfer of Technology (TT); Convertible Currency Allotment (UC); General Non-Convertible Pledges (UD); General (UF); and Special Purpose (US); General Trust Fund/GTF: General (VC); Special (VS); SIS Trust Fund (TS); Trust Funds: Government Cash UNIDO (CC); Capital Development Fund (CD); Population Fund (PF); General Trust Funds (TS); and other sources: Accounts Receivable (AR); Associated Agency (DU); Environment (EP); and IBRD/COOP (IB).

An expert is required to advise, assist and participate in performing certain duties or to undertake certain operations in developing countries in an effort to improve their industrial potential. He must have the specific skill and extensive experience, and if deemed essential, the academic qualifications to undertake the assignment. In addition, and often most important, he must have the personal qualities to deal easily and effectively with government officials and other nationals, a point that is normally assessed by a professional interviewer and by persons directly acquainted with the candidate.

In keeping with the mandate of the General Assembly, the participation of women in UNIDO's field projects is specially encouraged as is the recruitment of experts from developing countries.

(b) Consultants

Consultants are persons hired to carry out specific items of work and for whom funds are provided in project budgets under the heading "Consultants"; for UNDP-funded technical assistance project budgets, funds are provided under budget lines 11-50 onwards.

Consultants usually serve under a special service agreement receiving a gross fee which has previously been agreed upon and which covers the whole assignment; they can also be hired as regular appointees under the 200 series of staff rules. The qualifications required of the experts are also applicable to consultants; they are normally hired for a maximum period of six months.

(c) Chief Technical Adviser (CTA)

The officer-in-charge of large-project operations in the field is normally referred to as the Chief Technical Adviser. The actual title may differ: Chief Technical Adviser, Project Manager, Team Leader etc. Since this individual is the key person in the project, he must be of a suitable calibre both in terms of high professional qualifications and acceptable leadership qualities. To an appreciable extent, the success or failure of the project depends on the type of person selected to head it. UNIDO officials responsible for evaluating, interviewing

and selecting CTAs should, among other things be guided by the following points when considering candidates for project manager posts:

- (i) The relevance of academic background, professional experience and language proficiency to the requirements of the job;
- (ii) General technical knowledge;
- (iii) Leadership qualities:
 - organization and administrative skills
 - ability to deal easily, effectively and tactfully with individuals of various backgrounds and cultures
 - ability to express ideas clearly and concisely
 - international mindedness, ability to adapt to and appreciate social customs and ways of life in developing countries;
- (iv) Knowledge of the economic and social problems of developing countries;
- (v) International experience gained through service with private firms, government bilateral technical assistance, United Nations family or other international organizations;
- (vi) Availability in terms of the project's duration.

Since the CTA plays a decisive role in formulating the project's objectives and the inputs of UNIDO he should be appointed as early as possible and in any case before the recruitment of the project experts. He has to assist government officials responsible for the project in preparing the final version of the project draft for approval. The CTA's duties and responsibilities may vary in the same way as his title, particularly with regard to the substantive planning and direction of the project. However, as the senior representative of UNIDO on the project, he is always responsible for:

- (i) The supervision of the international staff of the project;
- (ii) All material, equipment and vehicles, and the local disbursement of any funds UNIDO furnishes to the project;
- (iii) The control and use of land, buildings, equipment, materials supplies and other property belonging to UNIDO;
- (iv) Such procurement and other activities as UNIDO delegates to him;

- (v) The preparation or assistance in the formulation of the terms of reference for all the posts under the project.

If an administrative officer is assigned to the project, some of the above-mentioned functions are delegated to him. In accordance with the new reporting requirements for projects financed by UNDP, CTAs are required to draft a number of reports, which are finalised at the secretariat, including technical reports and terminal reports, and sometimes also investment potential reports. In addition, the CTA has to prepare progress reports as requested in connection with tripartite reviews.

(d) Administrative officers

The CTA should not be overburdened with administrative detail so that he can concentrate his efforts on the direction and supervision of the substantive activities. For this reason, administrative officers are hired.

In most cases, the administrative functions in the field related directly to UNDP projects largely comprise handling local currency disbursements and establishing and maintaining leave records, UNDP property records etc. In most cases these functions will be performed by the administrative officer provided to the CTA. This post should, if possible, be filled through local recruitment.

In certain projects located in the capital of a country, the administrative services can be provided, at least partly, by the office of the UNDP Resident Representative. For many projects, however, especially those located at a distance from the capital and involving many persons and a substantial amount of equipment, it may be necessary to provide for an internationally-recruited administrative officer at the professional level for at least the first two years of the project. During this period, a local replacement will presumably be trained, but if that is not possible, it may be necessary to keep an international administrative officer for the entire life of the project.

Although the duties and responsibilities of administrative officers will vary from project to project, they will basically be similar. Under the basic supervision of the project manager, administrative officers will be expected to do the following:

- (i) Assume responsibility for the preparation of organizational procedures and advise counterpart personnel on administrative matters;
 - (ii) Prepare periodic statements of account for the project including counterpart cash;
 - (iii) Control and analyse all expenditures effected against allocations in the project document;
 - (iv) Prepare and maintain property records and requisitions for equipment and supplies;
 - (v) Prepare periodic inventory and statistical reports and maintain personnel records;
 - (vi) Assist the CTA in preparing and co-ordinating the financial aspects of periodic reports on the status of the projects;
 - (vii) Set up a system of administrative correspondence in English, French or Spanish, as applicable, and supervise the maintenance of files and records;
 - (viii) Assist the international experts in administrative matters, particularly by arranging transport, meetings and in providing equipment;
 - (ix) Supervise local administrative counterpart personnel.
- (e) Associate experts

Most of the associate experts are university graduates with some or no professional experience at all. They are assigned to work under the supervision and guidance of UNIDO experts. Associate experts are provided in response to a specific request from the receiving countries. Associate experts are not sent to a country and may not remain there without the approval of the Government of that country. They cannot be placed in established posts at UNIDO headquarters.

As international civil servants, they are subject to rules and regulations of the United Nations for the duration of their assignment. They are appointed in the same way as regular experts except that the donor Government, which provides the experts, is responsible for all costs such as salaries, allowance, insurance and cost of transport to and from the duty station.

Each associate expert is normally assigned for an initial period of not more than 24 months. UNIDO may extend this period in agreement with the donor Government and the Government of the receiving country. Since the inception of the programme, 13 countries have signed formal agreements with the United Nations, and are participating in the programme, notably: Austria, Belgium, Denmark, Finland, France, Federal Republic of Germany, Iran, Italy, Japan, Netherlands, Norway, Sweden and Switzerland.

These donor countries nominate and finance the appointment of candidates who are their own nationals.

(f) United Nations Volunteers

On 7 December 1970, the United Nations General Assembly adopted resolution 2659 (XXV) establishing the programme of United Nations Volunteers within the framework of the United Nations system, with effect from 1 January 1971. The Secretary-General of the United Nations designated the UNDP as the agency to administer the United Nations Volunteers.

Requests for Volunteers for industrial development projects are channelled through UNIDO to the office of the United Nations Volunteers Co-ordinator at Geneva. This office selects candidates in co-operation with UNIDO. The Volunteers are recruited and administered during their assignment by the same office. The costs for Volunteers are financed from a special fund made up of voluntary contributions from Governments, international organizations and individuals. Local costs are in most cases paid by the recipient country's Government; the international costs are charged to the UNDP component of the budget.

(g) Regional Advisers

Regional Advisers are UNIDO project personnel attached to Regional Economic Commissions or their subregional offices. The Regional Advisers assist in improving the effectiveness of co-operation between UNIDO and the United Nations regional commissions and in improving the quality of assistance provided to the developing countries of the respective

geographical areas, with particular emphasis on regional activities and regional or subregional economic integration. In close co-operation with the SIDFAs in various developing countries they provide an effective means of ensuring that the technical assistance programmes will correspond as closely as possible to the real needs of the regions.

According to the requirements of the region, UNIDO recruits Regional Advisers in various fields of activity e.g. metallurgy, industrial training, agricultural machinery and implements, chemical industries and industrial programming and planning. Regional Advisers' posts are financed from the UNIDO Regular Programme of Technical Assistance. Funds are allotted each year to provide for about 16 posts, which are distributed among the four United Nations Regional Economic Commissions (ECA, ECLA, ECWA, and ESCAP). The procedure for recruiting Regional Advisers is similar to that for regular experts.

(h) Interregional Advisers

Interregional Advisers are specialized in selected fields and operate from UNIDO headquarters at Vienna. They are assigned to the office of the Director of the Division of Industrial Operations, and they also render at short notice high-level expert advice to Governments of developing countries requesting their services. Their posts are financed from the UNIDO Regular Programme of Technical Assistance.

Their activities include preparing and assisting in technical meetings and group-training programmes, advising backstopping officers at headquarters on specific problems, reviewing existing field projects, preparing new projects, re-assessing the scope of projects where and when required, preparing substantive specifications for contract studies and participating in the field in the take-off and close-out of such contract studies, carrying out urgent SIS projects for which no appropriate expert has been identified, trouble-shooting on specific technological problems and providing any other special advisory services in their specific functional qualifications which the Government of a developing country may request.

(i) Senior Industrial Development Field Advisers (SIDFAs)

Although UNIDO searches for candidates, assesses their technical suitability and finally recommends them to UNDP for SIDFA posts, UNDP headquarters appoints these Advisers and administers them in the field. UNIDO also recommends to UNDP, if appropriate, the extension of the period of service of the Field Advisers and, if approved, UNDP takes the necessary action. The SIDFAs are appointed in pursuance of an agreement between UNIDO and UNDP, the purpose of which is:

- (i) To provide, as required, the services of qualified advisers on matters of technical co-operation to both the technical authorities of the recipient Governments and to the Resident Representatives;
- (ii) To assure UNIDO of an adequate channel of communication with Member States on matters outside the scope of UNDP-sponsored activities, as well as with Regional Economic Commissions and with other regional and subregional organizations.

The duties of the SIDFAs are defined in the UNIDO/UNDP agreement. The SIDFAs bear the main responsibility for industrial development policy under the general administrative authority and guidance of the UNDP Resident Representative. In particular they:

- (i) Maintain direct contacts with the technical authorities of the recipient Government in matters of programming, execution and evaluation of UNIDO projects. Dealings with the central organs of the Government on UNDP matters are principally reserved for the Resident Representative. In carrying out their functions, the SIDFAs maintain close working relations with the appropriate officials of the Regional Economic Commissions;
- (ii) Maintain contact with and guide UNIDO experts;
- (iii) Participate, as appropriate, in the planning of UNDP projects for which UNIDO is to be the executing agency and co-operate with the CTA of such projects in reporting and evaluation; in matters of programming, the SIDFA keeps in close touch with the UNDP Resident Representative and may be requested to suspend action if the Resident Representative deems it necessary;

- (iv) Provide UNIDO with proposals and suggestions which may lead to improvements in the delivery of UNIDO assistance;
- (v) Represent, upon request, UNIDO at regional and special meetings concerned with industry and report on these to UNIDO headquarters.

The SIDFAs receive instructions from and report directly to UNIDO, with copies of correspondence to the UNDP Resident Representative. Since the UNDP offices provide administrative support, the SIDFAs concentrate on programming, execution and evaluation of UNIDO projects in close touch with the UNDP Resident Representative and the technical services of the Government.

SIDFAs are stationed in the office of a UNDP Resident Representative. They may serve several countries. In such cases their relationship with each of the Resident Representatives concerned is the same as that described above in connection with their duties.

(j) Junior Professional Officers (JPOs)

JPOs are appointed by UNDP and assigned to UNIDO SIDFAs if there is one available, otherwise to the office of the UNDP Resident Representative. They work under the direct supervision of the SIDFAs and assist them in their activities. They are financed under a system similar to that for associate experts. The agreements to provide JPOs are made between the donor countries and the United Nations. Up to now Austria, Belgium, Denmark, Finland, The Federal Republic of Germany, Italy, Netherlands, Norway, Sweden and Switzerland have provided such officers.

(k) OPAS Experts

On the basis of United Nations General Assembly resolutions 1256 (XIII) and 1946 (XVIII), a programme to provide developing countries with executive and administrative personnel, at first referred to as OPEX experts, now referred to as OPAS experts, was established. The objective of the programme is to provide developing countries with the service of international experts who fill temporarily executive and operational posts in the machinery of Governments of the countries to which they are assigned.

The OPAS expert serves as a civil servant of the Government concerned, which pays him a salary and related emoluments, at the rate payable to national civil servants or other comparable employees holding the rank of the post to which the expert is assigned. In the performance of his duties, the OPAS expert is solely responsible to and under the direction of the recipient Government, which accords him the same privileges and immunities in respect of his services as other UNIDO project personnel in the same country.

UNIDO provides a contract to the OPAS expert which specifies the various benefits he will receive from UNIDO. This contract provides that UNIDO will pay an appropriate stipend to supplement his salary and allowances from the Government and will grant additional benefits under terms, conditions and definitions which are generally the same as those applicable to UNIDO project personnel. He is not granted a letter of appointment or a United Nations laissez-passer and does not become a participant in the United Nations Pension Fund unless he was a full participant in the Fund before his appointment as an OPAS expert.

H. Contracting

The CTA has a particular responsibility with regard to UNIDO contracts for services by private firms. He is kept currently informed by the substantive sections backstopping the project concerning contract specifications, contractors' proposals and contract terms; and is notified as soon as a contract has been awarded; this latter information is provided by PAC to the technical officers concerned. A copy of the agreed contract will be sent to him for information.

When the work is done under contract, its supervision is under control of the Contractor's team leader who will work in close contact with the CTA. The CTA is responsible for ensuring that the Contractor's work in the project area is performed in accordance with the terms of the contract. As the representative of UNIDO in the project area, he will also:

- (a) Act as liaison officer between the Contractor's personnel and the Government;
- (b) Cable the Head, PAC/IO, UNIDO, confirming the arrival in, and departure from, the project area of the Contractor's personnel; and
- (c) Refer to the Head, PAC/IO, UNIDO, such administrative matters relating to the execution of the contract as may be brought to his attention and which he feels cannot be resolved in the project area.

The CTA should bring promptly to the attention of UNIDO any irregularity in contract performance. Wherever appropriate, a daily or weekly log should be maintained of the output of work delivered by contractors and this information should be attached to reports to be submitted to UNIDO with such advice as he may feel able to give.

Within the Secretariat, PAC is responsible for the execution of projects through contracting agreements. Contracts placed by PAC may cover the provision of any type of industrial advisory services and, from time to time, the construction of pilot experimental plants on a turn-key basis. The consulting companies may be private firms, institutions, state enterprises or other corporate bodies.

Contracts may cover execution of laboratory tests, the provision of one or more specialists, a pre-investment or feasibility study, assistance in organization and management or the design and erection of plants. In the latter cases the Contractor provides expertise and equipment under inclusive arrangements.

When subcontracting is employed, UNIDO's substantive sections concerned prepare terms of reference in collaboration with the Chief Technical Adviser and the recipient Government. The terms

of reference detail, inter alia, the services to be performed and the schedule for their performance. On the basis of these PAC invites cost proposals from a short list of consulting organizations selected primarily for their qualifications and experience for the particular assignment. The selection criteria also take into consideration geographical distribution, including both developed and developing countries, the utilization of available financial resources and expressions of interest relating to a particular project.

PAC and the substantive section concerned agree upon the list of those invited to submit proposals before it is sent by the substantive section to the UNDP Resident Representative for clearance with the recipient Government. The Government may delete specific names, suggest alternative or additional names; it does not, however, select or indicate priorities.

PAC invites organizations on the approved list to submit cost proposals, giving them a time limit of four to six weeks or more. On receipt by PAC, the proposals are evaluated by the UNIDO substantive section for technical acceptability and by PAC administratively and commercially. In accordance with United Nations financial regulations and rules, and with the approval of the UNIDO Committee on Contracts, the award is made on the basis of the lowest technically acceptable proposal, and the Contractor and the recipient Government are informed accordingly.

The time required for awarding a contract depends, in part, on the rapidity with which the recipient Government clears the list. Under favourable conditions, the Contractor's personnel can begin work in 8-10 weeks from the date PAC requested proposals.

The Contractor is fully responsible to UNIDO for the execution of the contract and maintains close liaison with the Chief Technical Adviser and the UNDP Resident Representative. PAC is responsible for administering the contract in collaboration with the substantive sections responsible for the technical aspects. Periodic reports may be required from the Contractor to assess progress and performance. The draft of the Contractor's final report is reviewed in detail by UNIDO, and comments are supplied for the Contractor's guidance in preparing his final report before it is submitted to the recipient Government. On conclusion of each contract, the substantive section and PAC prepare a report evaluating the Contractor's performance.

Contracting is employed as a matter of UNIDO and UNDP policy, to speed project implementation, to tap all available sources of expertise and to increase the capacity of the United Nations system. Many projects and particularly those requiring teams of specialists or substantial home office support can be more suitably and speedily implemented through sub-contracting. Current policy is, therefore, to decide in the initial stage of project planning whether execution can more appropriately be carried out by recruiting individual experts or by sub-contracting. Consulting services are available in the developed and developing countries, and in both the centrally-planned and the market economies. More than 3,000 organizations are listed in PAC records.

I. SIS projects

1. General

The purpose of SIS projects has been explained in chapter III, section D. The following instructions go somewhat beyond the confine of "Project Formulation and Preparation" since it is believed useful to summarize right here also such facets of SIS projects as project review and reporting procedures.

2. Procedures for submission of requests

Governments will submit their requests for SIS assistance to the Resident Representative who serves as the channel of communication between UNIDO and the Government.

Each request should be presented in a simple form, containing the following information:

(a) Reference data

This item should indicate the country, the project title, the origin and date of the request;

(b) Background information and justification

Basic data of a technical or economic nature describing the situation which led to the submission of a request should be given under this item; and

(c) Description of the project

This part of the request should describe summarily the objectives of the project and what it is expected to achieve and the way in which activities to be undertaken are proposed to be carried out.

The Resident Representative will forward the Government's request to the UNIDO headquarters together with comments as to the appropriateness and urgency of the request and, if available, the views of the Industrial Development Field Adviser. If, in the view of the Resident Representative, the request could be better implemented by or is within the competence of another specialized agency, he will simultaneously submit the request to UNIDO and the other agency. It will be up to the other agency and UNIDO to agree on the modalities of implementation, financing and reporting.

The Resident Representative is required to consult UNDP headquarters on all requests which are not consistent with these instructions by writing to the Regional Bureau concerned, with a copy to the Bureau for Programme Policy and Evaluation. Any comments that UNDP headquarters may have in respect to such SIS requests, will be communicated to UNIDO and the Resident Representative.

3. Appraisal and approval of requests

In submitting the request, the Resident Representative and UNIDO's SIDFA are expected to make a thorough review of the request. In the context of this review, the Resident Representative, acting for UNDP, will include in his comments to UNIDO, the preconditions or prerequisites which are considered necessary for the successful implementation of the Government's request.

UNIDO will immediately undertake a careful appraisal of the request, inter alia taking into account the provisions of this instruction and the comments received from the UNDP Resident Representative and the views of UNIDO's SIDFA. Additional information or clarification which may be needed by UNIDO for the approval of the project will be requested through the Resident Representative and the SIDFA. If the appraisal is favourable, UNIDO will prepare the Project Data Sheet with appropriate details and costing.

The Project Data Sheet, approved by UNIDO, will be transmitted to the UNDP Resident Representative with information as to when implementation of the assistance could start. The Resident Representative will inform the Government on behalf of UNIDO and UNDP of the approval of the project by transmitting to it a copy of the Project Data Sheet.

Once approved, UNIDO will forward to UNDP, Division of Management Information Services (DMIS) individual project data sheets, for inclusion in the computer data base. The numbering of projects will be done by UNIDO, according to UNDP procedures under the designation "country/year" and under source of funds code "51". UNIDO will submit to DMIS and the Resident Representative, project budget revisions reflecting actual expenditures at every year's end, for all approved projects.

In view of the fact that quick implementation of SIS projects is expected, UNIDO will ensure that the level of approved budgets for implementation in a given year will remain close to the level of resources available for that year.

4. Review of projects

The Resident Representative will review each approved SIS project at intervals of every three months after its approval. The outcome of such reviews, which will be made in close consultation with the Government and, if available, UNIDO's SIDFA, will be reported to UNIDO.

SIS projects which are not expected to be or are not operational within six months after approval will be cancelled by UNIDO. The Resident Representative and, as appropriate, the SIDFA will be advised accordingly so that the Government can be informed. A copy of the communication should be forwarded to DMIS so that the status of the project can be changed.

UNDP and UNIDO headquarters will jointly review the qualitative and quantitative aspects of the programme once a year.

5. Reporting Procedures

The following are reporting requirements for SIS projects:

- (a) Since SIS assistance should respond as quickly as possible to urgent and special needs, it is the primary responsibility of either the expert or the consulting firm to submit, upon conclusion of the project, through the Resident Representative, the terminal report to the Government. Simultaneously, all SIS reports shall be submitted by the expert or consulting firm to UNIDO. UNIDO will prepare its own comments and may submit these comments, through the Resident Representative, to the Government. A copy is also to be sent together with the terminal report to the Regional Bureau/Unit for Europe;
- (b) The Resident Representative will consult with the Government on the derestriction of terminal reports on SIS projects and the wishes of the Government will be taken strictly into account and communicated to both UNDP and UNIDO Headquarters.

6. Project completion or cancellation

The accounting of completed or cancelled projects will be promptly processed by UNIDO and suitably reported to UNDP. (See section 3483 of the Programme and Procedures Manual in the Resident Representative's office).

J. Financing from sources other than UNDP/IPF

1. General

In preparing proposals for financing from all sources except UNDP/IPF a sustained project layout is to be used. While each project must be carefully prepared and appraised, it is obvious that details required will vary from project to project. The standard project layout should therefore be used in a flexible fashion. Enough information should be provided concerning the project to permit a reasonable assessment of whether the project is worth doing, that is, whether UNIDO can and should execute the project, whether the project is technically sound and cost-effective, whether the project design is adequate, and whether the project work programme and budget is adequate. The proposal should also provide sufficient information to permit on-going or terminal evaluation of project performance and effectiveness. The standard layout is also intended for revisions of projects which have already been approved. Specifically, it must be remembered that good project design is very important. If a project is to achieve its objective in an effective and efficient manner, its function or purpose must be clearly understood from the very beginning, and project activities must be directly related to producing the intended results. Project activities should also be described in sufficient detail to permit realistic estimates of the resources and time required to carry out such activities as well as the scheduling of such work. Finally, the project design must contain adequate information concerning conditions at the start of the project (baseline data) and expected conditions at the end of the project (end-of-project-status indicators) to provide the basis for measuring the success (effectiveness) of project implementation at the objective level.

The standard project layout to be used for all projects financed from resources other than UNDP/IPF funds follows the same logic as the project document described in UNDP's Guidelines on Project Formulation. The layout and guidelines have been adapted to meet UNIDO's particular programming requirements. (For more details see sample format for such a project proposal in annex IX to this chapter and the glossary, chapter XXV).

2. Layout of project proposals

Part A - Basic data

The top half of the first page of the UNIDO project proposal layout is intended to provide critical but summary information concerning the proposal. Most of the headings are self-explanatory but reference to the glossary may be necessary. For projects which are not intended to provide assistance to a particular country, some of the information requested would not be applicable.

COUNTRY:

The name of the country, group of countries or region on behalf of which the project is to be carried out.

PROJECT NUMBER: Leave blank: this will be provided by UNIDO.

PROJECT TITLE: A title which offers a brief but accurate indication of the project purpose; however, the title is to identify, not to describe the project.

SCHEDULED START: The expected date of arrival of the first project input in the recipient country or the date of departure of the first fellow for training abroad; for non-country projects, give the date on which project activities are expected to begin.

SCHEDULED COMPLETION: The date on which the project is expected to be completed.

ORIGIN AND DATE OF OFFICIAL REQUEST: The source and date of the communication transmitting the official request of the Government, if a country project is involved.

GOVERNMENT COUNTERPART AGENCY: The name of the counterpart organization directly responsible for implementing the project, and the government co-ordinating agency, if different.

UNIDO CONTRIBUTION: State in US dollars the total amount of financing required from UNIDO for the project.

GOVERNMENT CONTRIBUTION: State in US dollar equivalent, if possible, the value of the government inputs for the project.

CURRENCY REQUIRED FOR UNIDO INPUT: Indicate whether the project will use convertible or non-convertible currency: if non-convertible currency is to be used, state for each input the amount and the currency required and give the US dollar equivalent at the current rate of exchange.

UNIDO SUBSTANTIVE SECTION:

Give the name and UNIDO Programme Component Code for the section which will have primary responsibility for providing technical support during project implementation.

PROPOSAL SUBMITTED BY:

The name of the individual submitting the proposal.

Part B - Narrative

Background and justification

This section of the project proposal should describe the origin of the project and the context within which it is to be implemented; the justification should state clearly and convincingly why the project is needed and how it is expected to make an effective contribution to the achievement of the development objective or the resolution of the problem to which it is addressed, viz, the development hypothesis. It should indicate the priority assigned to the project by the Government (if a country project) and the extent of government support and commitment. The relevance of the project to mandates given to UNIDO by the Lima Declaration and Plan of Action or other decisions by the Industrial Development Board or United Nations General Assembly should be indicated and the substantive preparatory work already carried out to assess the technical and economic viability of the proposal should be described.

Special considerations

This section should describe any conditions which should be met before the start of project implementation or any special commitments required from the Government. It should also mention any relevance the project may have for activities such as the encouragement of co-operation among developing countries, the integration of women in development, the redeployment of production facilities to developing countries or other special activities. Further it should be explained why the project is considered suitable for a specific programme funding such as SIS or UNIDF

Project objective

Two different categories of objectives should be covered in the project proposal. The first is a development objective, already established by a Government or other bodies (for non-country projects) as part of a development plan or strategy, to which the successful implementation of the project is expected to make an effective contribution. The project itself is only one of many activities being undertaken to meet the Government's development objective, or overcome a problem impeding its achievement, but a causal relationship should be evident. To the extent possible, the development objective, or problem, should be stated in specific terms.

The second category is the objective of the project itself. It is very important to present a clear statement of what the project is expected to do. The project purpose, objective or function (e.g. institution building) should be distinct and different from project outputs. It is not the sum of outputs, i.e. intended project results, but the reason for which the outputs are being sought. In a training project, for example, the objective of the project is not to send a person abroad for training - (a project activity) nor is it to produce a given number of trained persons - (a project output). The project objective would be to improve the ability of the person given training to carry out some specific work. It is also important not to confuse the objective and outputs of the project with the objective and outputs of the organization receiving assistance through the project; these are likely to be much more extensive and quite different.

Indicators of achievement of the objective of the project should be described, such as installation of a new process, application of research results, increased productivity, new investment etc. They will be different from achievement indicators at the output level.

Project outputs

There should be a clear statement, in objectively verifiable terms, of what the project activities are expected to produce in order for the project to attain its objective, viz, the project hypothesis. An output is the specifically intended kind of results, as opposed to its magnitude. Project outputs might be a certain type of trained persons, specific technical reports or studies, a successful pilot demonstration of a specific technology etc. These should be described specifically and in relation to some definite baseline or standard so that the production or achievement of project outputs at a designated time can be measured or recognized.

Project activities

Project activities are substantive tasks carried out by project staff (national and international) to produce the planned project outputs such as conduct a survey, train staff, install equipment. They should be related to one or more immediate outputs of the project. When possible, a schedule of major targets and milestone events should be given.

Project inputs

Project inputs are the specific resources required from both UNIDO and the Government or other participating organization to carry out the project activities.

Inputs should be directly related to the appropriate output, described as clearly as possible in both qualitative and quantitative terms - particularly in the case of UNIDO inputs. The nature and size of the government contribution to the project should be described in as much detail as possible, with cost estimates. This can be done by annexing to the document draft job descriptions of experts, terms of reference for contractors, specifications for equipment etc. or by summarizing descriptions of the types and quality of these inputs in the project proposal itself. The proposal should also indicate when and where the resources will be needed for the project.

Evaluation plans

A brief description should be given of the way in which the project is to be evaluated, either during implementation and/or upon completion. For large-scale or otherwise important, complex or innovative projects, an on-going performance evaluation should be included in the project management plan and budget and fully explained in the Project Document. All projects, regardless of size, should have some mechanism for self-evaluation, follow-up and assessment of project results. (For further details see chapter XX, "Project evaluation").

Envisaged follow-up

A statement should be made to describe follow-up activities which are expected to be taken by the Government, by UNIDO or by other organizations upon completion of the project. The expected source of financing for such activities should be indicated, if possible.

Annex I - Project design matrix

A project design matrix must be attached as Annex I of the project proposal to illustrate the major design elements. A factor in eventual approval will be the clarity of the project logic and the extent to which pre-requisites, assumptions and indicators appear feasible. (See model in annex X to this chapter.)

Annex II - Project work plan

If it is possible to prepare a detailed work plan including targets and major events for the project at the time of project formulation, such a work plan should be attached to the project proposal as annex II; if sufficient information is not available to do so, the work plan should be attached as an addition to the Project Document at the earliest opportunity. It is most important that the work plan be as realistic as possible in its schedule of the delivery of project inputs in relation to the production of project outputs.

Annex III - Project budget

A draft project budget using form FS.83/Rev.3/Add.1 together, where appropriate, with relevant explanatory narrative and, in all cases distinguishing between convertible and non-convertible currency inputs, must be attached as annex III of the project proposal; it may be subsequently revised, as necessary. It should be very carefully prepared, with realistic scheduling of project expenditures and realistic estimates of the cost of inputs. All costs should be estimates of the actual costs. Whenever more realistic cost information is available, project budgets should be appropriately revised. In scheduling project activities, it may be preferable to use elapsed time estimates (first month, fifth month etc.) rather than calendar dates.

Since many non-UNDP projects are approved for the purpose of holding meetings, consultations, workshops, seminars etc., the following procedures should be kept in mind when preparing the project budget for such an activity.

(a) Travel entitlements

The estimates for air fares should be calculated at the round-trip air economy fare based on the latest actual costs in US dollars, not in FCUs (fare construction units) which is usually inaccurate due to currency fluctuations. It would be advisable to add a small percentage of the fares to cover rapid inflation.

Participants attending meetings or training programmes of less than one month's duration are normally not entitled to any accompanied excess baggage allowance.

For training programmes of more than one month, participants are allowed 10 kg accompanied excess baggage for the homeward trip only. The entitlement is intended to assist the participants in the transportation of essential documents and material related to the activity. If excess baggage is to be provided, it must be clearly specified in the project budget.

(b) Subsistence

The following rules for budgeting and payment of subsistences should be kept in mind:

(i) Non-staff participants

The daily subsistence allowance (DSA) should always be calculated in local currency at the most recent local currency rate established by the UN. Conversion into dollars should be made by dividing the rate or total payable in local currency by the official UN rate of exchange.

For interregional meetings of less than one month's duration, DSA is payable in local currency to participants from their official arrival day, but not including their official departure day, plus two additional days (one day for regional meetings) to cover miscellaneous travel expenses, such as passports, photographs, airport taxes, taxis, buses, telegrams and any other travel incidentals.

UNIDO will not consider additional claims for reimbursement of expenses except in the case of unavoidable transportation delays and stopovers not borne by the airlines. This exception applies especially in cases where UNIDO has arranged tickets on a non-endorsable basis (paid for in non-convertible currency) and the participant has no access to convertible funds, either in his home country, or in the host country.

(ii) Staff members

The DSA and terminal entitlement of staff members attending a UNIDO-financed meeting outside Vienna is governed by the applicable staff rules. However, the currency of payment is subject to the provisions of the approved project budget.

Where the project budget provides for payment of DSA in convertible currency, an advance will be paid prior to departure from Vienna. However, where the budget specifies non-convertible funds for this purpose, no advance will be paid prior to departure and staff members will receive daily subsistence allowance at the site of activity and in the specified currency, from the official day of arrival, but not including the day of departure. The balance of the entitlement (normally DSA and terminals for travel to and return from the activity) will be paid on submission of a travel claim upon completion of the mission and will be paid in convertible currency only if the project budget provides convertible currency for that purpose.

Non-staff and staff

When board and/or accommodation are provided free of charge by the host authority, the following reductions in subsistence are applied:

Meals free of charge	30% reduction
Accommodation free of charge	50% reduction
Meals and accommodation free of charge	80% reduction

For training programmes of one month's duration or more, the UNDP local currency monthly fellowship stipend rate should be applied.

(c) Hospitality

For hospitality a specified amount must be specifically provided for in the relevant budget. Claims for hospitality have to meet a number of conditions which are specified in chapter XVIII, section B.

(d) Other costs

Project budgets should clearly identify other costs, for example:

- consultants/lecturers
- preparatory mission of UNIDO staff
- secretarial assistance (specify whether overtime for preparatory work or local secretarial help during activity)
- conference facilities
- interpreters/translators
- internal travel/local transportation
- air freight costs for documentation

It should be indicated whether UNIDO or the host authority is responsible for such costs. In the event that UNIDO is responsible, the currency of expenditure should be clearly stated.

Part C - Clearance and approval

Clearance by UNIDO's Heads and Chiefs of Section and by Division Directors as appropriate should be provided in this part.

The rest of part C will be completed by UNIDO's Programme Development and Evaluation Branch which will also assist with the formulation process.

K. Advance authorization

The Resident Representative, after having ascertained that the Government and UNIDO agree, may authorize UNIDO, pending the full signature of the Project Document, to enter into commitments and incur expenditures in accordance with the requirements of the project and the agreed budget for UNDP's contribution to that project ^{9/}.

Advance authorization is extended to an executing agency, such as UNIDO, by means of:

- (a) An advance authorization document prepared in accordance with the format given in annex XI and signed by the Resident Representative. This document should include the agreed full project budget; or
- (b) Cabled advance authorization, in cases where action is to be initiated urgently, Use of the format for cabled advance authorization provided in annex XII is mandatory.

A signed copy of the advance authorization document should be sent to UNIDO, the Regional Bureau concerned or the Unit for Europe, and the Division of Management Information Services (DMIS) of UNDP. Advance authorization cables should be sent to UNIDO and be copied simultaneously by cable to the Regional Bureau concerned or the Unit for Europe and DMIS. Resident Representatives should pouch/mail a confirmation copy of the advance authorization cable to UNIDO, the Regional Bureau concerned, or the Unit for Europe and DMIS. They should inform the Government of the action taken. Whenever provision is made in an advance authorization document/cable for UNV costs in budget line 14, the advance authorization should also be copied to UNV, Headquarters.

^{9/} In cases where the Government and UNIDO agree that funds should be allocated to carry out preliminary work relating to the implementation of a project, the Resident Representative should approve preparatory assistance prior to approval of UNDP assistance for its full implementation and to the signature of the relevant Project Document (See UNDP PPM, section 3436).

Resident Representatives should enter advance authorizations, whether extended by means of an advance authorization document or by cable, in the appropriate ledger. DMIS will similarly enter advance authorizations in the UNDP data base.

All advance authorizations should be replaced within 60 days by a fully-signed Project Document. Resident Representatives should see to it that this is done; DMIS, the Regional Bureau and the Unit for Europe will similarly monitor that advance authorizations are replaced by a fully-signed project document within the 60 day time limit. The fully-signed project document supersedes the earlier advance authorization. It should carry the project budget code letter following that used for the advance authorization.

Advance authorization may also be given for projects which will be implemented by the Government itself and for which only formal signature of the Project Document is awaited, provided the Resident Representative obtains from the Government:

- (a) Confirmation of its agreement with the procedures/arrangements for government-execution as established by UNDP and as described in the Project Document (including the annex providing financial and accounting procedures) submitted for signature; and
- (b) Its firm commitment to sign the Project Document.

For government-executed projects, advance authorization will normally be given by means of an advance authorization document as described above.

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN MEXICO

JOB DESCRIPTION
DP/MEX/77/007/11-50/0/31.2.A (SAMPLE)

POST TITLE Expert in Industrial Financing

DURATION Two months, with possibility of extension

DATE REQUIRED As soon as possible

DUTY STATION Mexico City, with travel within the country

DUTIES

The expert will be a member of an international team assigned to NAFINSA (Nacional Financiera, S.A.) to programme the development of the capital goods industry in the country. Under the overall guidance of the team leader the expert will be expected to assist in designing financial instruments for the development of the capital goods industry in the country and will specifically be expected to:

1. Examine the present situation concerning policies and instruments aimed at the development of existing enterprises, specifically in the financing area.
2. Identify the factors which prevent the efficient expansion of the enterprises and in particular those directly connected with the company, those originating from the national overall context, those deriving from the government-policy and the public enterprises and those provided by external factors.
3. Elaborate, formulate and design economic policy instruments in view of developing the capital goods sector and in particular examine the financial implications of the proposed instrument, study the import-export regulations and customs procedures and the fiscal incentives, in view of suggesting modifications and improvements, if so required.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS Engineer or Industrial Economist with extensive experience in designing and formulating financial instruments and incentives.

LANGUAGE Spanish and English

BACKGROUND INFORMATION Nacional Financiera, S.A., the official industrial development bank of the country, is engaged with the assistance of UNDP and UNIDO in programming the development of the capital goods industry in the country. A group of international experts assigned to MAFINSA had earlier carried out various basic techno-economic studies in order to identify new investment projects and expansion in those capital goods industries which appear most promising for the long term development. Experts have also assisted in formulating and evaluating specific industrial projects.

In the present phase of this assistance, further detailed information on existing industries to be collected by the general survey will make the base for the formulation of political instruments and suggest practical actions, which should facilitate the best possible expansion of capital goods industry.

In view of the above, it is necessary to organize a systematic survey to collect all the qualitative and quantitative elements required for the formulation of an integrated strategy of development for the capital goods industries. This initiative will be directed, formulated and organized by MAFINSA and will imply the collection of detailed information for a minimum of 100 enterprises, the participation of some 30 qualified technicians working for a period of at least two months under the supervision of a co-ordination committee and with the direct help and assistance of the expert.

Annex II

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN PERU

JOB DESCRIPTION

DP/PER/16/014/11-01/31.3.A (SAMPLE)

Post title	Expert in Metrology
Duration	One year, with possibility of extension
Date required	As soon as possible
Duty station	Lima, with travel within the country
Purpose of project	To advise the Government in the area of metrology.
Duties	<p>The expert will be assigned to the Institute of Industrial Technological Research and Technical Standards (ITINTEC), a subsidiary body of the Ministry of Industry and Commerce. The expert will, in co-operation with other bodies, agencies, institutions etc., specifically be expected to:</p> <ol style="list-style-type: none">1. Study and analyse the country's national programmes in the field of legal and industrial metrology.2. Advise on the drafting of the proposed law on Weights and Measures and the regulatory provisions governing its' application.3. Advise on the drafting of the plan for the gradual implementation of the International System of Units (SI).4. Assist in the execution of the plan.5. Assist in the elaboration of the organizational structure and operating rules of the National Service of Legal Metrology.6. Assist in the preparation of detailed technical specifications for the metrological laboratory equipment (included in the project).

7. Advise on the establishment and running of the National Metrology Centre.
8. Assist in the establishment of a programme and activities in the field of industrial metrology.
9. Assist in promoting the efficient organization and execution of the project and in co-ordinating the work of the experts.
10. Participate in the training of national staff.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS

University degree in engineering, technology or physical sciences, with extensive experience in administration, organization and operation of a national system of legal metrology. Good background in industrial metrology and knowledge of the activities of the International Organization of Legal Metrology. Experience in developing countries an asset.

LANGUAGE

Spanish; English or French acceptable.

BACKGROUND INFORMATION

The Institute of Industrial Technological Research and Technical Standards (ITINTEC), a decentralized governmental agency under domestic public law operating in the industrial and commercial sector, is the organization selected to act as the Government's implementing agency in this project.

In November 1959, the National Institute of Technical Standards and Certification was established under Law No. 13270. Subsequently, in July 1970, Law No. 13350 changed the Institute's status and created ITINTEC as a decentralized governmental agency under domestic public law operating in the industrial and commercial sector, with the objective of conducting industrial technological research and establishing industrial technical standards.

In September 1972, Decree-Law No. 19665 was promulgated to confirm the functions mentioned above and enlarge them to invest ITINTEC with the authority to issue standards and award seals of compliance with standards and certifications of conformity with standards and/or specifications.

Under the Office of the Director-General, ITINTEC has three technical directorates:

- A) Directorate of Standardization
- B) Directorate of Technology
- C) Directorate of Industrial Property

The Directorate of Standardization reports directly to the Office of the Director-General of ITINTEC and co-ordinates its' activities closely with the other offices of the institution as well as with all sectors of the national economy, and with international organizations.

It consists of:

- A direct arm - the Directorate of Standardization
- A supporting arm - the Department of Programming
- Three executive arms: i) Division of Standards
- ii) Division of Metrology
- iii) Division of Seals and Certification.

For the purpose of securing the full participation of all the economic sectors and production units of the country, so-called Agreements of Inter-institutional Co-operation have been reached between ITINTEC and various other national agencies. The following agreements are fully in effect at the present time:

- i) Ministry of Energy and Mines - ITINTEC
- ii) Mining Institute of Scientific and Technical Research (INCITEMI) - ITINTEC
- iii) Association of Exporters (APEX) - ITINTEC
- iv) Ministry of Agriculture (UNA) - ITINTEC
- v) Ministry of Housing - ITINTEC
- vi) National Institute of Public Administration (INAP) - ITINTEC.

Considering that metrology is one of any country's essential tools in achieving full technological development, there is a need as part of the national objectives of the National Development Plan for 1975-1978, to take the necessary steps to create a metrological infrastructure in the country. This infrastructure will encompass all aspects of metrology (legal metrology, scientific or fundamental metrology, industrial metrology), and will provide support services to the entire country; hence the need for the establishment, in the near future, of a National Metrology Centre.

The principal objective of this Centre will be to contribute to the country's technological development by focusing its work on progress in the three above mentioned branches of metrology. The creation of such a Centre is a challenge to the nation not only because of its' many technical, economic, legal and other implications, but also because of the need to absorb and evaluate scientific and technical progress, and because of the variety of services and functions that such a modern metrology laboratory must be able to provide.

In September 1976, on the occasion of its fourth anniversary, ITINTEC officially inaugurated its Technical Information Centre (CIT/ITINTEC) and offered its services to the public sector, the business sector and all institutions in any way connected with the implementation of technology in the country.

Annex III

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN TURKEY

JOB DESCRIPTION

DP/TUR/76/033/11-05/31.4.C (SAMPLE)

Post title Expert in Industrial Engineering for Tractor Industry

Duration One year

Date required As soon as possible

Duty station Ankara, with possibility of travel to Italy

Purpose of project Assistance in designing and implementing information systems.

Duties The expert will be attached to the Management Systems Group of the Research and Development Division of the Turkish Motor Industry and Trade Corporation (TUMOSAN). The expert will specifically be expected to:

1. Assist in designing and supervising the implementation of initially manual systems suitable for subsequent computerization in the fields of:
 - a) inventory planning control
 - b) stores control
2. Offer guidance on organization and development of systems for:
 - a) customer order processing
 - b) purchase planning and control
 - c) goods receiving and control
3. Collaborate with and train young national staff of TUMOSAN with suitable educational and/or professional background.
4. Prepare an initial outline of activities planned for the one year assignment and prepare a final terminal report indicating the actually performed tasks.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS University degree in industrial engineering with extensive experience in developing, implementing and operating the above systems in automotive or similar industrial enterprises.

LANGUAGE English; Italian and/or German an asset.

BACKGROUND INFORMATION TUMOSAN, a government-owned corporation established in late 1976 and operating under commercial conditions, is entrusted to develop the required hardware and software for the yearly production of 50,000 farm tractors, 100,000 diesel tractor engines and 40,000 heavy-duty diesel engines.

The licence partners for tractors and tractor engines and for heavy duty diesel engines offer know-how. Specific software, however, will have to be developed by TUMOSAN, partly with the help of their licence partners.

Production will gradually increase and the related administration systems will be developed in several steps and will pass from manual to electronic processing.

Annex IV

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN THE REPUBLIC OF INDONESIA

JOB DESCRIPTION

DP/INS/78/002/11-03/31.6.A (SAMPLE)

Post title	Financial Analyst/Investment Promotion Expert
Duration	Four months
Date required	As soon as possible
Duty station	Djakarta, with travel as required
Purpose of project	To assist the Department of Industry to develop a major programme of pre-investment studies and investments.
Duties	<p>The expert will work under the general supervision and guidance of the Team Leader and in close co-operation with officials of the Department of Industry and the Senior Industrial Development Field Adviser will specifically be expected to:</p> <ol style="list-style-type: none">1. Plan, direct, co-ordinate and participate in financial appraisals of project opportunities at all stages of opportunity development.2. Establish financial criteria for opportunity screening for use by other members of the project team.3. Plan, direct, co-ordinate and participate in financial aspects of pre-feasibility studies and feasibility studies, and conversion of these to "bankable project proposals".4. Assess investment promotion needs in specific cases and plan for their execution, liaising with financial institutions and their own promotion departments.

5. Develop and maintain promotion control systems to ensure that feedback is adequate and communications between all parties are effective, in particular liaising with the specially established "Promotion Agency".

QUALIFICATIONS

Professional accountant with extensive experience in financial analysis and analytical method, as well as considerable industrial experience in the fields of investment finance and promotion. Experience in dealing with banks and financial institutions.

LANGUAGE

English

**BACKGROUND
INFORMATION**

In an effort to stimulate industrialization in the regions and to provide economic opportunities for the development of the less crowded areas of the country as well as to disperse industries away from the crowded centres, the Department of Industry initiated surveys of potential resources in all provinces of the country with the help of the local Universities and its own Regional Offices. During the past years, these investigations were carried out and the Department has now the results in the form of IPID-studies (Investigasi Pembangunan Industry Daerah: Regional Industrial Development Studies) for all regions, and is in the process of preparing industrial resource maps and master plans based on the above studies. The Department is very keen to follow up on this work with the identification and preparation of industrial projects and to take steps for their implementation.

To this end, it has requested UNIDO/UNDP assistance through project: "Pre-investment Studies and Post-investment Assistance for Industrial Projects", which has been included in the industry sector of the draft Second Country Programme (1978-1981) and given high priority in the industry sector. The implementation of this project needs careful preparatory work to ensure the effective and efficient achievement of government objectives. Its primary aim is the selection and implementation of strategic projects, the environment and institutions within which industrial project identification, preparation and promotion activities would be pursued and carefully assessed: the studies bearing upon the project would have to be reviewed, an appropriate system of industrial project development would need to be developed beforehand, and a detailed work plan, milestones and post-project follow-up elaborated to ensure timely and effective implementation. The project is, therefore, to provide such a preparatory assistance. For this purpose, a three-man industrial development consulting team is to be mounted to work closely with the Department of Industry in developing the project. UNIDO also plans to participate during the preparatory assistance phase by providing the services of headquarters staff.

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

Request from the Government of the Republic of Sri Lanka
for Special Industrial Services

JOB DESCRIPTION

SI/SRL/79/801/11-01/31.7.D (SAMPLE)

Post title Adviser on Manufacture of Direct-Moulded Sole Footwear

Duration Three months

Date required March 1980 (or simultaneously with the machinery delivery to be provided by the Government)

Duty station Colombo, with travel within the country

Purpose of project The Government has decided to start the manufacture of direct-moulded sole footwear in the Ceylon Leather Products Corporation (CLPC). The corporation, having no previous experience in direct-moulded footwear, needs advice and assistance in commencing the production.

DUTIES The expert will be attached to the Ministry of Industry and Scientific Affairs. However, in his daily duties the expert will report to the General Manager of CLPC, and he will be expected to co-operate closely with other members of the CLPC management team. The expert will specifically be expected to:

1. Advise on installation of the new plant and machinery. The machine supplier is, however, responsible for the installation work.
2. Assist and advise on starting production of direct-moulded sole footwear.
3. Instruct and train local counterpart personnel on the use of machines and materials for efficient manufacture.
4. Advise in the selection of appropriate raw materials including rubber compounding.
5. Advise and assist in training of machinery operators and maintenance crew.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS

Extensive experience in footwear industry, particularly in the direct-moulded sole footwear production with leather uppers. Experience in rubber compounding and quality control and testing of rubber an asset.

LANGUAGE

English

BACKGROUND
INFORMATION

In 1974 the Government requested the United Nations Development Programme (UNDP) to assist the Ceylon Leather Products Corporation (CLPC) in starting the production of direct-moulded sole footwear in their shoe factory. Thereupon, a footwear technologist was fielded for three months and completed his assignment in April 1977.

This expert found that, by converting from the McKay process to the direct-moulded sole process, both machinery and labour could be saved. The expert prepared alternative solutions for the Government's approval and recommended that an expert should be sent to assist in starting up the production in case the factory decided to change over to the direct-moulded process.

The Government has now decided to follow the expert's advice and to start a direct-moulded sole footwear plant. The production capacity of the ordered machinery is about 82,000 pairs per year, and the machinery is expected to be in the country about March 1980.

CLPC is expecting to receive the rubber compound from the Sri Lanka Tyre Corporation.

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN BRAZIL

JOB DESCRIPTION
DP/BRA/75/003/11-14/31.8.E (SAMPLE)

POST TITLE Expert in Standardization of Steel Plant Equipment
 (Mechanical Equipment and Belt Conveyors)

DURATION Three months

DATE REQUIRED As soon as possible

DUTY STATION Rio de Janeiro, with possibility of travel within the country

PURPOSE OF PROJECT To assist the Government in the development of standards, quality control and quality certification of iron and steel.

DUTIES The expert will work in co-operation with counterpart personnel and under the leadership of the project manager, and will specifically be expected to:

1. Prepare a list of foreign standards for mechanical elements and components of iron and steel plant equipment including rolling mills and belt conveyors used for the transport of raw materials in iron and steel plants.
2. Prepare a list of company and national standards being used by steel producers, designers and manufacturers of steel plant equipment, review and comment on existing ABNT standards.
3. In close co-operation with steel producers and manufacturers of steel plant equipment, identify priorities concerning standardization of steel plant equipment (mechanical equipment and belt conveyors).
4. Participate in the work of technical committees concerned, and advise on practical steps for the elaboration and introduction of these standards in the industry.

5. Train national counterpart personnel in all aspects of standardization of steel plant equipment, involvement in standardization activities at national and company level.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS

Mechanical engineer with experience in planning, design and fabrication of various types of steel plant equipment, experience in relevant standardization activities an asset.

LANGUAGE

English; Portuguese an asset.

**BACKGROUND
INFORMATION**

When the first National Plan for the Development of Science and Technology (PBDCT) was drawn up by the Government in 1973, one of the aspects emphasized was standardization and industrial quality. As a result, the National Council of Metrology, Standardization and Industrial Quality (CONMETRO) and the National Institute of Metrology, Standardization and Industrial Quality (INMETRO) were created through a federal law in December 1973. While CONMETRO is integrated with all relevant ministries of the Government and is the policy making body, INMETRO is the executive agency under the Ministry of Industry and Commerce (MIC). The importance of the activities of standardization and industrial quality was further substantiated by the creation of the National System of Metrology, Standardization and Industrial Quality (SINMETRI), also in December 1973, and more recently by the public statements of the Minister of State for Industry and Commerce, according to which standardization and industrial quality are ranking among the matters of highest priority in the country.

As iron and steel are essential basic raw materials for extensive all round development envisaged in the PBDCT, high priority has been given to the expansion of steel production to approximately 25 million ingot tons by 1980, as well as to initiating a comprehensive programme of standardization, quality control and quality certification. The activities in this respect are carried out in close collaboration with INMETRO, CONSIDER (Planning and Policy Making Body for Iron and Steel Production in the country), SIDERBRAS (Holding Company of State Owned Steel Producers) which are also under MIC, steel producing and consuming industries and other professional institutions. Standardization work is conducted mainly through technical committees. A co-ordinating committee of STI, CONSIDER, SIDERBRAS, IPS (Brazilian Iron and Steel Institute) and selected steel producers and consuming industries has been formed.

A short-term UNIDO consultant was commissioned to investigate and make proposals for initiating the standardization programme in the field of iron and steel. A project for UNIDO assistance was prepared and signed by the Government and UNIDO on 14 October 1975. The project started in March 1977 with UNIDO as the executing agency on behalf of UNDP and STI of the Ministry of Industry and Commerce as counterpart agency. The team of international experts is composed of specialists in standardization, in the field of steel products, steel structures, welding, physical tests, steel plant equipment, foundry, refractories, powder metallurgy and corrosion protection. Technical assistance is being rendered (a) to organize an efficient system of formulation of national standards in the field of iron and steel and to develop the necessary procedures; (b) to train counterpart personnel; (c) to identify priorities and to formulate a plan of action; (d) to assist in organizing technical committees and developing standards; (e) to establish procedures and participation in international and regional standardization activities; (f) to develop and implant quality control procedures in all phases of iron and steel production; (g) to assist in developing and operating national quality certification programmes; (h) to standardize and rationalize the steel grades for use in the country.

Annex VII

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN TURKEY

JOB DESCRIPTION

DP/TUR/75/060/11-03/A/31.9.D (SAMPLE)

Post title Expert in Utilization of Ferro-Cement Boats and Equipment

Duration Two months

Date required March 1980

Duty station Ankara, with frequent travel within the country

Purpose of project Transfer and adaptation of ferro-cement boat-building technology.

Duties The expert will be attached to the General Directorate of Water Products of the Ministry of Food Agriculture and Animal Husbandry. In co-operation with the Government, national specialists and the UNIDO Senior Industrial Development Field Advisor, the expert will specifically be expected to:

1. Specify the types of machinery and equipment to be used on the fishing ferro-cement boats.
2. Assist the ferro-cement boat-building expert in the preparation of proto-type designs, particularly in arrangement, specification of machinery and equipment as well as in other relevant activities to start the industrial production of fishing ferro-cement boats.
3. Train counterpart personnel in installation, testing, maintenance and repair of equipment and machinery to be used on the fishing ferro-cement boats with regard to local conditions and experience available.

The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.

QUALIFICATIONS Mechanical engineer with extensive experience in machinery and equipment of fishing boats.

LANGUAGE English

BACKGROUND INFORMATION In 1975 a ferro-cement boat was built in the Middle East Technical University (METU) to gain relevant experience in finding a substitute for more expensive materials and technology. A UNIDO expert assisted METU in the design of a proto-type boat which was built there.

There is an urgent need for co-ordinated action in the promotion of ferro-cement boatbuilding and a realistic approach towards starting industrial production of the boats. It is foreseen that the first boats to be built will be used for fishing purposes to meet primary needs of the country in ferro-cement fishing boats as a part of a more comprehensive programme of ferro-cement shipbuilding in the country.

Annex VIII

UNITED NATIONS



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO

PROJECT IN CUBA

JOB DESCRIPTION

DP/CUB/77/003/11-01/32.1.F (SAMPLE)

POST TITLE	Project Manager
DURATION	Three weeks
DATE REQUIRED	As soon as possible
DUTY STATION	The Project Manager will participate in a study tour of national specialists to Canada and Great Britain, with travel within these two countries.
PURPOSE OF PROJECT	To form a scientific and technical potential, capable of dealing with problems of catalysis and adsorption on an industrial scale and developing the production of catalysts and adsorbents on the basis of domestic mineral resources.
DUTIES	<p>The Project Manager will participate in the second study tour of national specialists to Canada and Great Britain, and will help the specialists to select the most suitable methods for catalysts and adsorbents testing. The expert will also help these specialists with selecting additional equipment for the catalyst laboratory. For this purpose a number of companies in the above named countries are planned to be visited.</p> <p>The expert will also be expected to prepare a final report, setting out the findings of his mission and his recommendations to the Government on further action which might be taken.</p>
QUALIFICATIONS	Chemical engineer or chemist with extensive experience in research in the field of catalysis and adsorption, and knowledge of the technology employed in nitrogen fertilizer and petroleum refinery industries.
LANGUAGE	Spanish and/or English

BACKGROUND
INFORMATION

The country's chemical industry has been confronted with serious problems in the operation of catalytic processes, and production stops have been occurring frequently. Under the 1976-80 Development Plan, the State Committee for Science and Technology has selected the problem of industrial catalysis as one of the main research priorities within the programmes for petroleum refining and production of fertilizers. A UNDP project successfully executed during 1972-77, together with parallel work in the country's petroleum industry have contributed to a substantial improvement in this sector. About 30 different types of catalysts are imported but there are prospects that mineral resources available in the country may have a potential for use in the domestic production of catalysts.

Annex IX

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

PROJECT PROPOSAL/DOCUMENT

PART A - BASIC DATA

COUNTRY:	PROJECT TITLE:
PROJECT NUMBER:	
SCHEDULED START:	UNIDO CONTRIBUTION:
SCHEDULED COMPLETION:	GOVT CONTRIBUTION:
ORIGIN AND DATE OF OFFICIAL REQUEST:	CURRENCY REQUIRED: FOR UNIDO INPUT: CONVERTIBLE: OTHER :
GOVERNMENT COUNTERPART AGENCY:	UNIDO SUBSTANTIVE BACKSTOPPING SECTION: PROGRAMME COMPONENT CODE:
PROPOSAL SUBMITTED BY:	
DATE OF SUBMISSION:	

PART B - NARRATIVE

IN THIS SECTION, WITH ADDITIONAL PAGES AS REQUIRED, DETAILED INFORMATION CONCERNING THE PROPOSAL SHOULD BE PROVIDED UNDER THE FOLLOWING HEADINGS:

1. BACKGROUND AND JUSTIFICATION
2. SPECIAL CONSIDERATIONS
3. OBJECTIVES
 - A. DEVELOPMENT OBJECTIVE
 - B. PROJECT OBJECTIVE
4. PROJECT OUTPUTS
5. PROJECT ACTIVITIES
6. PROJECT INPUTS
7. PROPOSED EVALUATION
8. ENVISAGED FOLLOW-UP

ANNEX I - PROJECT DESIGN MATRIX
ANNEX II - PROJECT WORK PLAN
ANNEX III - PROJECT BUDGET

PART C - CLEARANCE AND APPROVAL

CLEARED BY:

DATE:

APPROVED BY:

DATE:

AMOUNT APPROVED:

SOURCE OF FUNDS:

 CONVERTIBLE CURRENCY:

 OTHER:

DATE PAD REQUESTED:

Annex X
PROJECT DESIGN MATRIX

Country/Programme _____

Project Title _____

PROJECT LOGIC	ACHIEVEMENT INDICATORS	CRITICAL ASSUMPTIONS + PREREQUISITES
<p>Development/Programme or Higher-Level Objective(s): What is the reason for the project, the broader and/or longer-range sectorial objective, <u>problem</u> or programme goal toward which the efforts of the project are directed? <u>Why</u> is the project being undertaken, <u>who</u> is the target group, what change, result or <u>impact</u> is being sought?</p>	<p>Impact Measures: Can a project causal linkage be identified (in quantitative or qualitative terms) to the development or higher-level objective (problem)? What are the direct or indirect means of <u>verification</u>, i.e., <u>how and when</u> will UNID, the host government, or anyone else, know or recognize that a completed project has made the hoped-for (development hypothesis) contribution?</p>	<p>Immediate to Higher-Level Objective: What are the <u>variables</u> or complementary actions involved in accomplishing the intended impact which are outside the project <u>scope</u> and how can they be <u>monitored</u>? Which ones are critical to project success, i.e., impact on the higher level objective?</p>
<p>Project Immediate Objective + Function: What is the project function, e.g., institution-building, direct-support? In these terms, if the project is successfully completed, what <u>changes</u> or <u>improvements</u> could be expected in the targeted group, organization or area? Alternatively, what hypothesis or process is to be tested? What is the project specifically trying to achieve?</p>	<p>Status at End-of-Project Operations: What are the conditions existing at the start of project activity, i.e. <u>baseline data</u>? What evidence, measures or indicators will confirm that the project's immediate objective has been achieved? <u>Who</u> will undertake such a confirmation, <u>when</u> and <u>how</u>?</p>	<p>Outputs to Immediate Objective: What, if any, are the events, conditions or decisions <u>outside</u> the control of project management which are necessary for the successful <u>conversion</u> of the outputs into the achievement of the project's immediate objective? Is the causal linkage <u>plausible</u>, given constraints and assumptions, or should project expectations be reduced?</p>
<p>Project Outputs/Results: In relation to project purpose, duration and available resources, what are the kind of major outputs, i.e., expected or intended results, of project activities which will need to be <u>produced</u> in order that the immediate objective can be achieved?</p>	<p>Output Targets and Magnitude: What is the magnitude of each major output to be produced, quality or desired levels of capacity, etc., and target dates for achievement? Can <u>baseline data</u> be provided? If not, how will achievements, including progress thereon, be measured or recognized as a result of project activity?</p>	<p>Work Programme to Outputs: What, if any, are the events, conditions or decisions <u>outside</u> the control of project management which are necessary in order for the successful performance of the activities to bring about the planned production of project outputs?</p>
<p>Project Activities/Work Programme: What project activities need to be undertaken to produce <u>each</u> major output?</p>	<p>Schedule of Major Events (by outputs): What are the major events involved in producing <u>each</u> output and their tentative completion dates?</p>	<p>Inputs to Work Programme: What, if any, are the events, conditions, or decisions <u>outside</u> the control of project management which are necessary in order for the inputs to be <u>delivered</u> and utilized as planned for <u>each</u> output/work programme?</p>
<p>Project Inputs: What goods and services, i.e. experts, training, equipment, staffing facilities, etc., are to be provided by the (a) government (b) UNID (c) other funding agency or (d) other donors to permit undertaking the necessary activities which in turn are expected to <u>produce</u> the scheduled outputs?</p>	<p>Delivery Targets (by outputs): By each major output or event, what is the quantity, quality, and delivery date of inputs required to meet the work programme and target dates <u>jointly</u> agreed upon by <u>each</u> supplier of inputs, e.g., UNID and the government?</p>	

Annex XI

UNITED NATIONS DEVELOPMENT PROGRAMME
ADVANCE AUTHORIZATION DOCUMENT

COUNTRY: _____

TITLE: _____

PROJECT NO.: _____

Primary Function: _____ Sector (ACC classification): _____

Estimated starting date: _____ (Month, year)

The _____, Executing Agency for the above project, is hereby authorized to enter into commitments and incur expenditure in accordance with the attached budget.

This advance authorization will be superseded by the project document after its full signature which should be accomplished within 60 days of the date of authorization.

Resident Representative

Date

XIV. EXECUTION OF PROJECTS BY GOVERNMENTS

A. General ^{1/}

UNDP's present policy on government execution is based on a number of considerations, principles and policy directives. These were either given in decisions of the General Assembly or the Governing Council or adopted when government execution was first introduced. The decision adopted by the Governing Council at its twenty-second session emphasized the need "to proceed with government execution of projects on a carefully selected basis in close consultation with high-level sectoral advice from the organizations of the United Nations system or suitable outside sources if necessary". During the debate a few members, while endorsing the principle of government execution, nonetheless felt that it would be appropriate: "to proceed cautiously and on a selective basis". It was considered important: "...to preserve the multilateral character and quality of technical assistance" and the Administrator was asked to "...utilize the technical experience and knowledge of the specialized agencies".

Government execution is an integral part of the New Dimensions of Technical Co-operation adopted in 1975. Current instructions on government execution were issued in January 1979. They envisaged a gradual process based upon the decision of the General Assembly on New Dimensions. Thus, the introduction of government execution has been undertaken "selectively", and only after field offices have ascertained in each case the feasibility of the arrangement on the basis of an assessment of a government's administrative, technical and substantive capability to assume responsibility for the implementation of UNDP assistance. This assessment has been a joint responsibility of the Government, the competent United Nations system organization and UNDP.

B. Policy considerations

It may be useful to summarize the general policy premises of execution arrangements with respect to all projects, as follows:

(a) All projects are undertakings of the Government's concerned; even if the share of UNDP is high, its participation in a project consists of the financing of inputs which are considered as additional to those provided by the Government;

^{1/} It should be noted that at the time of printing of this Manual the final text of the proceedings of UNDP's Governing Council Meeting in June 1981 was not yet available.

(b) Governments have the overall management responsibility for all their projects;

(c) The responsibility for actual procurement, delivery and use of these inputs (implementation of UNDP assistance) can be entrusted by the Administrator to an "Executing Agency" or to the Government itself (government execution); and

(d) The designated Agency/Government is accountable to the Administrator for the timely procurement and delivery and appropriate and effective use of UNDP resources.

Specifically as concerns government execution, the following relevant features should be recalled:

(a) The availability of technical backstopping by the Agencies at all stages of the project cycle in order to preserve the multilateral character of technical co-operation provided through UNDP;

(b) Approval of the execution arrangement by the Administrator, based upon the Resident Representative's specific and substantiated recommendations;

(c) The Government's right to use existing national structures and administrative procedures to manage the implementation of UNDP assistance to projects;

(d) Observance of established procedures of the United Nations system regarding remuneration of experts and support of fellows, procurement, project review and evaluation;

(e) Provision of information to competent Agencies for their information and observation of progress made in project implementation, and encouragement of Governments to make use of Agencies' competence in their own field;

(f) Participation of Agencies as "Co-ordinating Agency" if so requested by the Government^{2/};

(g) Possible provision of ad hoc services by Agencies towards the implementation of a project; and

(h) Financial arrangements providing for compliance by Governments with UNDP financial regulations and rules and, - in the case of a co-operating Agency - direct settlement of financial claims between the Agency and UNDP, thus relieving Governments of the administration of expenditures incurred on their behalf by the Co-operating Agency.

^{2/} The instructions on government execution state: "the Agency thus involved will be responsible for providing specified UNDP-financed inputs and assisting the Government in their effective utilization. Compensation of the Agency is foreseen through support costs in accordance with the applicable UNDP rate. The co-operation arrangement is to be confirmed in a "service agreement" concluded between Government and an Agency.

In order to overcome potential incompatibility of UNDP administrative and substantive rules and practices with a Government's own norms and practices of financial management and technical supervision, a mutually satisfactory arrangement had to be negotiated prior to approval of UNDP assistance. This included, in each case, agreement on the disbursement of UNDP funds and their utilization, as well as on appropriate technical backstopping of project activities.

There has been thus far a general lack of application of government execution. In order to ensure that maximum consideration is being given to government execution, government execution is to become the preferred approach for the implementation of all UNDP assistance to a project. Thus, the Resident Representative, acting on behalf of the Administrator, would invite the Government to consider government execution for each project, unless there are reasons for adopting another executing arrangement.

In summary, three distinct ways would be available to support government execution at the field level:

(a) The capacity of Governments to undertake all components of a project could be supported through limited assistance and administrative support projects funded through IPF resources;

(b) In cases where Governments assume full implementation responsibilities, additional cost could be compensated through the payment of support cost; and

(c) In cases where a large number of government-executed projects will be carried out in a country, this could put additional burdens on a UNDP field office, particularly in the least developed countries, as concerns accounting, bookkeeping, and administrative support and, thus, more staff may be needed. UNDP, in translating the decisions of the General Assembly and the Governing Council into effective operational activities has an obligation to use all available means to implement new initiatives.

C. Alternatives to internationally-recruited experts

The main concern of UNDP with regard to the implementation of operative paragraph 3 of decision 79/48 has been to ensure the use of qualified national professional staff in UNDP-supported projects. After appropriate consultations with Agencies, instructions were issued in the summer of 1979, which requested for the first time that Agencies should give primary consideration, when recruiting professional staff, to the use of nationals with the required qualifications and experience. These instructions also established the principle that the remuneration of UNDP-financed national professional staff, both resident or non-resident, should be established at prevailing rates for comparable functions within the project country.

The use of national professional staff, as an alternative to internationally-recruited staff, is considered an additional element to government project staff. Its purpose is to give Governments an opportunity to mobilize the best available national and international human resources for the implementation of projects. Thus, in addition to government execution and the appointment of a national as project co-ordinator and manager, Governments now also have the option of using UNDP resources to help mobilize qualified national staff who otherwise would not be available to work in a given development project. Such employment of national professional staff is proceeding on the basis of administrative and contractual arrangements agreed upon by the United Nations system. In particular, it has been agreed that, since national professional staff cannot be covered by the United Nations system Staff Rules, two types of contracts are available for the employment of national professional staff: Reimbursable Loan Agreements and Service Agreements.

Reimbursable Loan Agreements constitute the preferred method, at present, for the employment of national professional staff. Under these Agreements, the contractual relationship exists between the individual and the Government or institution for which UNDP support has been approved, preserving the full range of social benefits in accordance with acquired rights and national standards. UNDP will reimburse (or advance funds to) the Government involved for the services of a national specialist for the duration of the contracts and the requirements of the project.

Since this approach may not always be feasible, a second option may be used which involves the establishment of a Service Agreement between the executing agent and the individual. The United Nations system is now engaged in the process, through CCAQ/PER, of establishing a basic model for such Service Agreements. A working party of this latter organ has developed such a model for consideration by the system.

D. Project formulation and implementation of government-executed projects

1. Project formulation

The formulation of projects planned for government execution should not be deferred or suspended pending a decision of UNDP or UNIDO headquarters on the execution arrangement. The Resident Representative will ensure that UNIDO is appropriately advised of project planning and formulation activities contemplated by the Government in the case of government execution.

The design of projects for which government execution is approved should meet UNDP requirements and the Project Document be prepared accordingly. The Project Document should be the standard format (see PPM 3437) except for the cover page.^{3/} The arrangements made for execution by the Government and, if applicable, the participation of UNIDO, should be stated in the Project Document.

2. The procurement and utilization of UNDP-financed inputs by the Government

The procurement and utilization of UNDP-financed inputs should be undertaken with due regard for economy and efficiency.

Project personnel

UNDP-financed project personnel should be engaged by the Government in accordance with its own procedures and conditions of service. The remuneration and other benefits of staff recruited from abroad should not exceed the level of remuneration and benefits accorded to comparable staff of United Nations organizations. The Government should inform the Resident Representative of recruitment actions and the proposed appointment of UNDP-financed project staff. The Resident Representative should make this information available to UNIDO for its information and advise the Government of any observations or recommendations which UNDP or UNIDO may wish to make.

Subject to UNDP's prior agreement, the Government may engage nationals residing within the country or abroad as UNDP-financed project staff. UNDP policies and procedures governing this type of arrangement should apply.

Training

The Government should inform the Resident Representative of actions concerning the selection of candidates for UNDP-financed training abroad, the proposed award of fellowships and selection of training facilities. The Resident Representative will inform UNIDO accordingly and advise the Government

^{3/} A sample Project Document for the execution of projects by Governments is given in the annex to this chapter.

of any observations or recommendations which UNDP or UNIDO may wish to make.

Stipends and other allowances financed by UNDP should not exceed United Nations system's common rates. The Government should ensure payment from its own resources of the home-country entitlement in the case of dependants being left behind.

Equipment

UNDP-financed project equipment, title of ownership of which is not reserved by UNDP or UNIDO, becomes the property of the Government upon delivery.

The Government is responsible for the use of equipment and supplies procured with UNDP funds strictly for purposes of the project as agreed with UNDP, and should see to its proper maintenance. The Government should provide the Resident Representative, at his request, with information regarding use, storage, maintenance etc. of such equipment and supplies.

Procedures for procurement of services, equipment and supplies through subcontract

The Government may decide to subcontract the implementation of a part or of all of the project to a private institution or firm inside or outside the country. The conditions set forth below should apply.

Governments should employ international competitive bidding for the purchase or rental of supplies and equipment and for services to be rendered under subcontract wherever as a normal rule it would have been employed in the case of execution by a United Nations Agency. Domestic procurement of services, supplies and equipment based upon competitive bidding by domestic suppliers as an alternative to international competitive bidding may be authorized by UNDP Headquarters as long as it is consistent with overall practice within the United Nations system. Governments should normally employ their own regulations regarding international competitive bidding, however, UNDP Financial Regulations and Rules on such bidding may be applied by them or, as appropriate, those of other organizations of the United Nations system. UNDP Headquarters may waive the requirement for competitive bidding if the procedure would not be an economic or efficient method for obtaining the required services or supplies.

The Government should keep the Resident Representative informed of its arrangements for the procurement of services, equipment and supplies through subcontract. The Resident Representative will also make this information available to UNIDO.

The Resident Representative should submit proposals for domestic procurement or for the waiver of the requirement of compe-

titive bidding to the regional Bureau of UNDP Headquarters, which, after consultation should convey UNDP's decision to the Resident Representative.

3. Project monitoring and evaluation

UNDP's policies with regard to project monitoring and evaluation apply in the case of government execution of UNDP-supported projects. However, UNIDO will be given the opportunity to participate in the review and evaluation if mutually agreed to by the Government, the Resident Representative and UNIDO at the time of project formulation or at any other time when the need emerges.

In order to keep UNIDO continuously informed of project progress and thus enable UNIDO to effectively respond to requests for advice or assistance, Resident Representatives will routinely provide UNIDO with copies of project progress reports, review reports and other relevant documentation. UNIDO, in turn, will send any observations it may have to the Resident Representative.

4. Terminal report

The project management is responsible for the preparation of the terminal report at the appropriate time and in accordance with the prescribed format. The Government may seek UNIDO's advice or assistance in preparing the terminal report.

E. Assistance from UNIDO in government execution

1. General

A Government may be assisted by UNIDO in discharging its execution responsibilities, either by participation in project execution, or through ad-hoc services to be rendered in the course of project implementation.

2. Assistance to Governments

Participation in project execution (co-operating agency)

UNIDO's participation in project execution should be agreed upon by the Government, UNIDO and UNDP preferably before finalizing the Project Document. Accordingly, UNIDO would be responsible for providing specified UNDP-financed inputs and assisting the Government in their effective utilization. The participation of UNIDO in project reviews and evaluation exercises should be ensured.

UNIDO would be provided with a fully-signed copy of the Project Document. Detailed arrangements to be agreed to between the Government and UNIDO regarding the latter's participation in project execution should be the subject of a separate Service Agreement concluded between the Government and UNIDO, patterned after the Standard Letter of Agreement used between United Nations agencies. The Agreement should include a schedule of services and facilities to be provided by UNIDO and their cost, which should conform with the project budget approved by UNDP. If not already included in the Project Document, the Service Agreement should further state the Government's agreement to UNIDO making the necessary financial arrangements directly with UNDP.

The arrangement between the Government and UNIDO may include UNDP-financed project staff and consultants, subcontracting, equipment, supplies and facilities, as well as the selection, placement, administration and supervision of fellows.

The participation of UNIDO in the implementation of a government-executed project will be governed by UNIDO's own administrative, financial and operational rules, regulations, policies and procedures and will be subject to the relevant provisions of the Standard Basic Agreement between the Government and UNDP or the Agreement between the Government and UNDP or the Agreement concerning assistance under the Special Fund sector of the UNDP, whichever is appropriate.

Project staff and consultants engaged by UNIDO should perform their functions as agreed between UNIDO and the Government. While they will be accountable to UNIDO for the manner in which they discharge their functions, they have an obligation to co-operate closely with government staff and assist in project implementation in accordance with the overall directives laid down by the Government in consultation with UNIDO, just as in the case of UNDP projects for which UNIDO is not executing but the co-operating agency.

Ad-hoc services

Ad-hoc services provided by UNIDO in the course of project implementation may include rendering of technical advisory services as the need arises, finding suitable expertise to be engaged by the Government (experts, consultants, subcontractor), selecting institutions, the preparation of specifications for specialized equipment etc.

Actual expenditure incurred by UNIDO in rendering ad-hoc services for travel and per diem and other expenditures including, if necessary, additional staff costs are chargeable against the project budget. Before entering into commitments UNIDO will ascertain the agreement of the Government and the Resident Representative to the proposed charges to be made. In order to enable UNIDO to render the required services the Government should authorize UNDP to advance the necessary funds to UNIDO at the latter's request.

3. Assistance to UNDP

Services rendered by UNIDO to UNDP in a government-executed project may consist of advice from UNIDO's headquarters at Vienna or field staff. Actual expenditures incurred by UNIDO for making available the services of UNIDO staff to undertake specific assignments at headquarters or in the field, would be chargeable against the general resources of UNDP.

As indicated before, information contained in this chapter is to provide only an overall view of policies and requirements applicable to the execution of projects by Governments. Additional details may be obtained from the Resident Representative's office.

F. Implementation by the Government of UNDP assistance with respect to selected components or aspects of a UNDP-supported project

A Government may assume responsibility for the implementation of UNDP assistance with respect to selected components or aspects of a project for which a United Nations or other agency, institution or organization has been designated the executing agency. Adoption of such an arrangement is subject to the approval of the Administrator. Details, as agreed upon between the Government, UNIDO and UNDP, should be reflected in the Project Document and, where required, in an exchange of letters between the parties concerned. Governments will not be compensated for support costs arising from the arrangement.

In cases as referred to before, the Government would be responsible for the mobilization, in accordance with its own administrative regulations, of specific UNDP-financed inputs and their effective utilization, bearing in mind the provisions set out before with regard to the remuneration of project staff, recruitment of nationals of the country, the payment of stipends and other allowances to fellows and the procedures for procurement through subcontract.

G. Accounting, financial reporting and auditing procedures

UNIDO should arrange for the reimbursement of costs incurred by the Government in providing agreed inputs on the basis of semi-annual expenditure reports submitted by the latter. The amounts paid and charged to UNDP project resources should not include compensation for support costs. UNIDO should report to UNDP every six months (end June and end December) the expenditures incurred by the Government for incorporation into the project accounts. UNIDO will not be entitled to compensation for support costs for the delivery and supervision of UNDP-financed project inputs provided by the Government under the above arrangement. In order to identify the project expenditures on which no compensation for support costs is due to UNIDO, the latter should provide UNDP with copies of the Government's semi-annual expenditure reports.

The Government is responsible to the Administrator of UNDP, through the office of the Resident Representative, for the custody and proper use of funds advanced to it by UNDP. Advances should be made in accordance with the Project Document and in the required currencies subject to the following conditions: the United Nations operational rate of exchange prevailing at the time of financial transactions should be used to record such transactions; the Resident Representative should inform the Government from time to time of the rate of exchange.

Annex

UNITED NATIONS DEVELOPMENT PROGRAMME

Project of the Government of

(Country)

PROJECT DOCUMENT

Title: _____

Number: _____

Duration: _____

Primary function: _____

Secondary function: _____

Sector: (Govt. Class) _____ (UNDP Class and code) _____

Sub-sector: (Govt. Class) _____ (UNDP Class and code) _____

Estimated starting date: (month, year) _____

Government inputs: _____

UNDP inputs: _____

(local currency)

(US dollars)

The project is to be executed by the Government and will be represented for the purpose of such execution by (name of central Government authority so designated).

O R:

The project is to be executed by the Government in co-operation with (name of United Nations Agency(ies) concerned). The Government will be represented for the purpose of such execution by (name of Government authority so designated),^{a/}

Signed: _____

Date: _____

On behalf of the Government

Date: _____

On behalf of the United Nations
Development Programme

^{a/}In the case of co-operation of one or more United Nations Agencies, the Agency(ies) so designated also sign the Project Document. The necessary signature blocks should be added to the cover page.

XV. REPORTING

A. General

Chief Technical Advisers are told during briefing at the secretariat, at the outset of their association with a given project, what types of reports are required and when they are to be submitted. Needs for subsequent modifications, if any, are conveyed to them in due time.

In many instances reports left behind by expatriate advisers are the most important permanent evidence of assistance rendered. These reports should be the basis for future action to be undertaken by the host Government. Moreover, many of these reports represent a contractual obligation of UNIDO vis-à-vis UNDP and the Government. Therefore, reports which are not fully adequate may do an injustice to the hard work performed by the CTA and his team during their stay in the host country, a condition which may be so much more deplorable if their performance had been of an excellent nature and fully accepted by all concerned. CTA's should therefore study carefully the instructions on the following pages. Moreover, they should refer to UNDP's Policies and Procedures Manual (PPM), chapters 3714 and 3716, before working on terminal and technical reports.^{1/} (Additional chapters of UNDP's PPM are currently under preparation.)

In the first place reports should be clearly legible. While this may appear to be an obvious requirement, reproduction equipment encountered in some instances in developing countries and secretarial help available with a knowledge of the reporting language may not be fully adequate. If these difficulties are encountered, a serious attempt should be made with the assistance of the Resident Representative to overcome them.

The report should be clearly labelled, dated and identified by project number and project title. It should also indicate whether it is a documentary output (i.e. technical report or substantive report, a terminal report, a progress report, or any other special report required. The need to include disclaimers on the front page of certain reports should be discussed with the Resident Representative's office.

Since reports will be read not only by professional people familiar with the specific technical terms used, but also by interested laymen such as government officials, UN personnel and possible investors who may wish to reach a decision on follow-up action, it is important that all but the strictest technical matters be comprehensible to laymen. If abbreviations or acronyms are being included in the report they should be spelt out the first time they are being used. Foreign weights and measures should be translated into equivalents in the metric system the first time they are being mentioned or a conversion table should be appended to the report. Exotic words such as for instance "quant" or "wadi"

^{1/} In lieu of the term "technical report" the generic classification of "documentary outputs" is now being used.

should be explained. Equivalents in U.S. dollars of all local currencies mentioned should be provided. Throughout it may be useful to remember that the CTAs and their team members have certain information at their finger tips or that certain terms may be readily identified by them as a matter of course, while sure background information may not be available to outsiders.

The official project title and the project number should be repeated on the first page of each report and some reference should be made to the objectives of project activities and a statement may be included why the project was launched. All official arrangements referred to should be identified by dates and the correct name of the counterpart agency or institution should be spelt out in full, although further on in the report it may be abbreviated in keeping with local custom. In terminal reports details about the financial contributions of UNDP and the Government must be included. Training activities should be noted and details provided such as for example whether they are of a formal nature or carried out in the form of day-by-day contacts with counterparts. In describing accomplishments or failures, reference should be made to the objectives in the project document and identical or similar terms should be used since different terms may be misleading. Throughout CTAs should shy away from chronological accounts of what happened and rather focus on findings related to project objectives.

Major recommendations should best be set out at the beginning of all reports under an appropriate heading and then repeated and explained throughout the report whenever appropriate. In making recommendations existing conditions and capabilities should be kept in mind such as the scope of the host Government's development programme; whether recommendations can be realized within a given time span; the extent of outside assistance needed; and whether foreign investment or training is required.

Conclusions may also be summarized at the beginning; in all instances they must be substantiated since they should arise from project findings or from technical considerations. Statements such as "the project was a success" or "the counterpart agency was co-operative" are not conclusions nor are newspaper accounts praising a project, although copies of press coverage of a project should be sent to the backstopping officer at the secretariat.

Drawings, blueprints and photographs are important means to support findings. It should be kept in mind, however, that UNIDO has only limited facilities to reproduce photographs and if at all possible, sufficient copies should be made available to the secretariat accompanying each copy of the main report.

While all expatriate advisers and senior professional national personnel may be listed in terminal reports, the practice of giving credit to administrative and secretarial assistants should be avoided. When such practice is an important moral factor, it may be introduced by other means such as by a letter of recommendation originating with the Resident Representative's office.

While the CTAs or team members may be the drafters of certain reports, UNIDO is the official author and certain comments and points of view be they of a personal or patriotic, political or commercial nature must not go into any reports. For instance, criticism of the host Government, complaints about failure to live up to commitments or shortcomings of counterparts should be reported to the Resident Representative's office in an appropriate manner, rather than go into formal reports. Many difficulties which will be encountered should be expected and they may be overcome or at least mitigated by other means than parcelling out blame in reports. If certain Government action (or lack of action) have substantially altered the course of a project or caused its failure, the facts should be stated in the most tactful manner possible and the appropriate text should be discussed with the Resident Representative.^{2/}

In making recommendations in reports any appearance of an implied commitment on the part of the UNDP or UNIDO must be avoided. For instance, National Team Leaders or even senior officials of the host Government may express their wish to have the project as well as UNIDO's CTA's association with the project continued. While such wishes submitted through appropriate channels to the Resident Representative and then to the Secretariat will be carefully considered, they have no place in formal reports. Other recommendations such as those which favour particular companies or commercial products should in most instances be left out. Any exception to this rule should be clearly justified such as for instance by the fact that certain equipment which an institution has purchased in the past does not meet the intended purpose without being complemented by another piece of equipment manufactured by a certain company.

Undue expectations for the training abroad of local personnel should not be raised in formal reports. Any reference to the needs for training should be justified in detail in the context of recommendations made, specifying in some detail the skills and the number of people who might be available or ready for such training.

^{2/} No attempt is being made in this Manual to discuss reporting requirements for projects financed by the IDF (Industrial Development Fund) in general and in particular required for projects financed under the IDF by special purpose donors. These requirements are as a rule specified by the donors concerned and frequently follow civil service practices of the donor country.

B. Helpful reporting suggestions

A glossary or note page should whenever needed be included in reports; it should define all symbols used as well as unusual technical abbreviations and acronyms. In some instances such a glossary may not only spell out what abbreviations stand for but also provide the layreader with a short explanation to assist in understanding technical implications. Such explanations may also be made as they apply to the local scene. For instance it might be explained how the institution to which a team is assigned fits into the organizational pattern of the Government or how certain cultural customs affect substantive aspects of the project's activities.

If a report consists of many chapters it should include a table of contents. In that case, chapters (in caps) and first-degree headings (A.B.C. headings, underlined) should be listed. Second-degree headings should be used if this will assist in understanding the report and break up long passages. The titles of annexes, figures, tables and maps are always listed in that order. The titles listed in the table of contents should conform concisely to the titles proper. Sub-titles are not necessarily listed in the table of contents.

It is suggested that CTAs be particularly careful in preparing bibliographies so as to help those who may wish to read up on certain technical points. As a minimum author, title, publisher, year, and page number should be listed although the price might also be helpful.

While technical people may immediately spot a misplaced decimal point or a typing error which distorts conclusions, a layman might be unable to do so and the result could be confusion of a serious nature such as for instance if project findings are to lead to investments. Investors tend to lose faith in all conclusions of a report when they discover arithmetical errors in such items as cash flow tables. Also, inadequate proof-reading of reports and resulting errors which may introduce unintended comical aspects might do a disservice to the teams efforts.

While it is understandable that recognition for accomplishments may be sought, formal reports are not an appropriate vehicle for self-advertisement, nor should qualitative or quantitative assessments of the contributions of team members be included. Reference to government praise of the project should be avoided; however if an appreciative letter by the Government becomes available addressed either to the UNIDO's CTA or to the Resident Representative the advice of the Resident Representative should be sought as to whether or not it should be included as an annex to a report.

3/ As well as the place of publication if different from the address of the publisher.

UNIDO's Editorial Control Service has issued a check-list which should be helpful in the preparation of all formal reports. That check-list is reproduced below.

SUBMITTING TERMINAL REPORTS AND DOCUMENTARY OUTPUTS:
A CHECK-LIST FOR AUTHORS

Use this check-list as an aid in organizing your report and in determining whether you have included all essential information. (Not all items on the list are applicable to documentary outputs.)

A. Deadlines

The terminal report of a technical assistance project should be ready for the final Tripartite Review, which is normally held one month before field work is completed. The report on a single-expert mission or a project for which no Tripartite Review is scheduled, should be submitted to UNIDO according to the deadlines specified in the work plan for the project.

B. Length

A terminal report should normally not exceed 22,500 words (50 pages of space-and-a-half typewritten text) if there has been supplementary documentary output and 45,000 words (100 pages) if it is the only formal report to be issued.

C. Format

The pages of a report should be typed in $1\frac{1}{2}$ spacing within an area of 16.5 cm x 24 cm so that it can be reproduced at headquarters in the A-4 format (the format of this check-list). Pages should be numbered consecutively with Arabic numerals from the beginning (including the title page) to the end (including annexes). The numbers should appear, centred, at the top of the page.

D. Heading system

Use only the following system of headings:

I. CHAPTER HEADING

Capital letters, centred, preceded by a Roman numeral, except for the introduction, which is not numbered

A. Section heading

Lower case letters, centred, underlined, preceded by a capital letter

Subsection heading

Lower case letters, left margin, underlined; numbered (1, 2, 3 etc.) only when frequent cross references are made.

E. Parts of report

Title-page

Sample title-pages for a technical and a terminal report are given on pp. 234 and 235; use the appropriate one as a model.

Explanatory notes

___ Indicate value of the local currency during the period of the project in terms of United States dollars

Give definitions of:

___ Unusual technical abbreviations

___ Unfamiliar acronyms or local capital letter abbreviations

___ Any units of measure not sanctioned by the International System of Units (SI)

Abstract

The abstract must be a brief (a half-page to one page in length) and factual summary of the report. It should not contain information not in the report, non-essential details or citations of parts of the report.

Include the following essential information:

___ Title, number and purpose of the project

___ Objective and duration of the mission being reported on

___ Main conclusions and recommendations

Table of contents

___ Repeat exactly the wording of chapter and section headings (which should reflect accurately both the subject matter and the organization)

___ Include lists of annexes, tables and figures

Introduction (one to three pages)

Include information about the following topics, paying particular attention to the following questions:

Project background (usually described in the Project Document)

___ What conditions led the Government to request aid?

___ Was any work done previously in the same field?

___ What was the source of funds for previous projects and what were the results?

Official arrangements

___ When was assistance requested? When approved? By whom?

___ When did the project become operational? How long did it last?

___ When did the mission being reported on begin? How long did it last?

___ What was the name of the co-operating agency?

Contributions

___ What was the total contribution by UNDP or UNIDO (amount originally stated in the Project Document, with subsequent adjustments)?

___ What were the reasons for adjustments, if any?

___ What were the contributions of the host Government in cash and kind?

Objectives of the project or mission

___ What were the original objectives? Were they revised? How?

___ Were they attained? If not, why not?

___ How did the objectives of the mission tie in with the objectives of the project?

Training

- ___ Were there any formal training arrangements (courses or fellowships)?
- ___ What informal or on-the-job training took place?
- ___ What were the positive and negative results of the training experience?
Can you give reasons for them?

Subcontracting

- ___ To whom and for what purpose were subcontracts awarded?
- ___ What was their total value?
- ___ What was the outcome of subcontracted work?

Recommendations

Number recommendations 1, 2, 3 etc. in descending order and make clear to whom each recommendation is addressed.

- ___ What steps should be taken to consolidate, develop and utilize the results?

Body of the report

The body of the report should consist of chapters covering the following topics:

Main duties of the job description or objectives of the project document.
Give an analytical (not historical) account of activities.

Achievement of immediate objectives

- ___ How do the results compare with the schedules and targets of the work plan?
- ___ How do the results compare with the objectives of the project or mission?

Utilization of project results

- ___ Have results already been utilized?
- ___ If so, how and to what extent?
- ___ If not, will they be utilized in the future?
- ___ What factors might affect their effective utilization?

Findings

- ___ What conclusions can be drawn as a result of observation or from the experience gained during the project?

Annexes

Annexed material should relate to statements made in the report and must not be included without reference in the text. Typical annexes are:

- ___ International staff; their names, nationalities, expertise, beginning and ending dates of service
- ___ Senior counterpart staff; their names, specialization, beginning and ending dates of service
- ___ Fellowships awarded; names, field, place and duration of study
- ___ Training courses and curriculum
- ___ Equipment provided by UNIDO or UNDP; major items with cost
- ___ Details of company visits
- ___ Project documentation; brief statement of content of each technical report produced on the project
- ___ Art work and photographs (send originals that are suitable for reproduction)
- ___ Extended tables and charts
- ___ Bibliography or list of references (make each entry as complete as possible)

F. A reminder

Do not include criticisms or complaints about the host Government or counterparts. Comments on political or economic systems should be strictly factual.

Model of title-page for a technical report

RESTRICTED

14 March 1978
English

DEVELOPMENT OF THE FURNITURE
AND JOINERY INDUSTRIES AND
CREATION OF A CENTRE

DP/YUG/73/006
YUGOSLAVIA

Technical report: Design of upholstered furniture

Prepared for the Government of Yugoslavia
by the United Nations Industrial Development Organization,
acting as executing agency for the United Nations Development Programme

Based on the work of Ilmari Y. Tapiovaara, expert
in the design of upholstered furniture

United Nations Industrial Development Organization
Vienna

This report has not been cleared with the United Nations Industrial Development Organization which does not, therefore, necessarily share the views presented.

Model of title-page for a terminal report

RESTRICTED

14 April 1978
English

ASBESTOS PROCESSING IN ANDHRA PRADESH
DP/IND/74/038
INDIA

Terminal report

Prepared for the Government of India
by the United Nations Industrial Development Organization,
acting as executing agency for the United Nations Development Programme

Based on the work of A. M. Madjanovic,
adviser on asbestos processing

United Nations Industrial Development Organization
Vienna

This report has not been cleared with the United Nations Industrial Development Organization which does not, therefore, necessarily share the views presented.

C. Documentary outputs (technical reports etc.)

1. General

Documentary outputs are those outputs produced by a project in the form of documents and reports that are called for in the Work Plan of the Project Document. They deal with substantive or technical matters and are sometimes referred to as technical reports or substantive reports.

Documentary outputs, as is the case with other outputs, resulting from project activities, are produced to achieve a project's immediate objective(s). They may, in some instances, also facilitate the realization of the larger development objective to which the project is related. More specifically, documentary outputs usually serve the following purposes with respect to the different functional types of projects: 4/

- (a) Institution-building projects. They help in the institutionalization of the approaches and capabilities developed, set standards of performance, promote consistency in application, aid continuing staff development, and provide a basis for a rational consideration of any changes in one or more aspects of the institution.
- (b) Direct support projects. They provide the data, information and analysis of a substantive nature in support of the findings and recommendations of the project, and in some cases, embody the technical advice or other results of the project.
- (c) Direct training projects. They provide the data, information and analysis of a substantive nature in support of the fulfilment of the objectives of the project.
- (d) Experimental and pilot projects. They provide the data, information and analysis of a substantive nature on different aspects or steps of the experimental or research or pilot activities and the results thereof, in detailed support of the findings and recommendations of the project.
- (e) Special support projects. Where these projects are to provide development support communication services, the documentary outputs are an essential part of the services provided.

4/ See also sub-section 3412 of UNDP's Policies and Procedures Manual.

2. Identification and scheduling of documentary outputs

Decisions on what documentary outputs are needed, their specific use, their scope and contents, their scheduling and the context in which they will be produced are as a rule given in the Project Document and the details in the Work Plan. The general indication may be confined to categories of outputs, while the Work Plan usually specifies each item in each category. However, it may be found necessary, on an exceptional basis, to produce documentary outputs not called for in the original Work Plan.

Documentary outputs are identified and described in the "outputs" section of the Project Document, and not in the section of the Project Document dealing with "reports". The "reports" section should specify and schedule only reports on the implementation of the project, such as progress reports, evaluation reports and terminal reports. Financial provision for the documentary outputs should be made in the budget of the Project Document. 5/

3. Responsibility

The responsibility for producing documentary outputs, as in the case of other outputs, rests with the project's management and the staff concerned. UNIDO, as part of its responsibility, will provide advice and assistance as may be necessary, including in isolated cases the services of headquarters personnel or consultants, for ensuring the quality of the output in the course of its preparation or during a review of the draft version. Should UNIDO wish to supplement a documentary output with relevant material or comments, it may do so. (Where another UN organization serves as an associated agency, it assumes competence).

Where a project under the guidance of a UNIDO CTA is implemented fully or partially by a subcontractor, 6/ the selected subcontractor will be responsible for the preparation of the documentary output(s) stipulated in the contract.

Documentary outputs produced by the project's management will be subject to clearance by UNIDO.

4. Content

The content and format of documentary outputs are being determined in the light of both the specific needs and the general purposes they are to serve. The organization and content of a documentary output should, to the extent feasible, be structured as follows:

5/ See sub-section 4123 "Reporting Costs for Project Reports" of UNDP's PPM.

6/ The term "subcontractor" could refer to another UN organization where it is so employed.

- (a) Title page;
- (b) An abstract of the documentary output, or a list of key words reflecting the principal subject fields of the documentary output in the form required for computer storage and retrieval;
- (c) An introduction providing information on: the project activity or sub-activity which produced the documentary output; project staff responsible for producing it; what specific purposes the output is intended to serve and in what context; how the output is to be used; and the intended distribution of the document;
- (d) A summary of findings and recommendations;
- (e) Substantive sections or chapters;
- (f) Annexes as appropriate.

A general indication of the content of documentary outputs to be produced by investment-oriented projects is given in the Guidelines on Project Formulation (G3400-2, section 300), available in the office of the Resident Representative.

In certain cases, a single comprehensive technical report may be the only documentary output required. Such reports, or selected key technical reports, may, with the approval of the backstopping section of UNIDO, be made part of the terminal report.

Documentary outputs should be written in one of the following four languages: Arabic, English, French or Spanish. UNIDO ascertains from the Government when the Work Plan is being prepared which of the above-noted languages is to be used, and if it also wishes to have the report produced in the national language. In certain cases, and with prior approval of the parties concerned, documentary outputs may be issued in more than one of the above four languages. With the prior approval of the parties concerned, such costs may be charged against the Project Budget.

5. Reproduction and distribution

Unless otherwise agreed to by the parties concerned, a documentary output should be reproduced from typescript. Subject to the availability of adequate reproduction facilities, it should be reproduced in the recipient country. The availability of such facilities should be examined and arrangements for reproduction planned during an early stage, ideally during project formulation.

Documentary outputs should be submitted by the CTA. to the Resident Representative for appropriate distribution. ^{7/}
(For details regarding distribution, see "Procedures", sub-section 7 below.)
In the exceptional case when a documentary output cannot be reproduced in the recipient country, UNIDO arranges for appropriate distribution.

6. Derestriction of documentary outputs

Documentary outputs for country projects are initially to be considered "restricted" documents. On this basis, they are available to the Government, UNIDO, UNDP and other organizations within the United Nations system. They may also be made available to other parties on a case-by-case restricted basis upon written consent from the Government. Insofar, however, as documentary outputs represent technical or substantive contributions prepared with the co-operation of the UNDP, and in conformity with the agreement governing such co-operation, documentary outputs should be available for utilization by all interested parties. Therefore, except in those cases where a documentary output is clearly of a confidential nature, the Government should be invited to derestrict the documentary output at its earliest convenience.

A documentary output will become automatically derestricted six months from the date of its submission unless the Government requests in writing before the six-month period has elapsed that the documentary output remain restricted. Should the Government desire to retain the documentary output on a restricted basis, it would be expected to fully justify its request.

The Resident Representative is responsible for following up with the Government on the derestriction of documentary outputs. When the Government conveys its decision, or when any documentary output becomes automatically derestricted, the Resident Representative informs UNIDO and UNDP headquarters, and other parties to whom the documentary output was previously sent on a restricted basis.

7. Procedures

As far as possible, the number of copies of a documentary output required by the Government, including those required by the assisted institution in the case of institution-building projects, and UNIDO is determined at the time the document is scheduled in the Work Plan. While the print run may differ from project to project, depending mainly on the institution's or Government's firm requirements, the number of copies is normally limited to 50.

^{7/} Documentary outputs produced by projects with institution-building as their primary or secondary function are intended primarily for use by the institution or institutional complex or unit concerned. Therefore, the Team Leaders should also submit copies of the documentary outputs to the authorities concerned and ensure that arrangements exist for the institution, institutional complex or unit concerned to maintain a complete set of the documentary outputs for reference.

The deadlines for the production of the various documentary outputs are also specified in the Work Plan.

The CTA arranges for the reproduction of the documents within the recipient country, or where it has been previously agreed that the reproduction has to be made outside the country, he seeks the co-operation of UNIDO in the matter.

The CTA submits the draft version of a documentary output to the management of the institution concerned (where the project has institution-building as a primary or secondary function), the Government Implementing Agency and UNIDO's backstopping office which provides relevant advice and assistance in the preparation of the draft as well as the final version of the document. UNIDO needs at least one month for reviewing and clearing a draft after its receipt, and the necessary additional time if the report is to be reproduced at UNIDO's headquarters.

In the event that a draft documentary output prepared by the CTA cannot be revised to conform to UNIDO's professional standards, the consequent procedures to be followed are worked out by the parties concerned on an ad hoc basis.

When the final version of a documentary output is prepared, and if it is reproduced within the country, the CTA submits copies, as required, to the authorities of the assisted institution. He also makes sufficient copies available to the Resident Representative for distribution on a "restricted" basis as follows:

Government	15 (unless more copies have been requested)
UNIDO	10 (unless more copies are requested in advance)
UNDP headquarters	5
Office of the Resident Representative	2
UN Headquarters Library	2 (plus one copy of any other language version)
UN Library, Geneva	1

Where appropriate, on a case-by-case basis, the Resident Representative also sends restricted copies of a documentary output to the United Nations Regional Economic Commission and the Regional Development Bank concerned, the World Bank, and to other United Nations organizations which may require a copy. The cover of restricted reports clearly indicates their status.

D. Progress reports

1. General

The Resident Representative establishes the schedule for progress reports in consultation with the Government and UNIDO, and informs UNDF headquarters accordingly. He provides the CTA with the necessary forms as well as written instructions for the completion of the forms. Progress reports are prepared by the CTA (and sometimes by specific experts on the team) according to the different circumstances outlined below:

- (a) If the duration of the project is 12 months or more, a progress report is prepared every six months;
- (b) If the duration of the project is less than 12 months and the UNDP contribution to the project is \$150,000 or more, a progress report is prepared at mid-point; and
- (c) If the duration of the project is less than 12 months and the UNDP contribution to the project is less than \$150,000, the need for progress reporting is determined by the Resident Representative in consultation with the Government and UNIDO, taking into account the nature and duration of the particular project.

A progress report does not have to be written covering the last reporting period of the project but statistical information for this period should be submitted on form D.

2. Content

The progress report provides a factual account of the progress of project implementation and an identification and analysis of major problems and achievements. The following items are covered:

- (a) A one page summary (form A);
- (b) A general account of project implementation (including investment activities or possibilities in projects with investment potential and an analysis of the status of the project at the end of the reporting period) (form B);
- (c) A listing of project activities with dates (form C);
- (d) Information on project personnel serving on the project during the reporting period (forms E-1 and E-2);
- (e) Information on fellowships (form F);
- (f) Information on equipment (form G);
- (g) Information on reports (form H); and
- (h) Information on training courses (forms I-1 and I-2).

As the details of projects vary considerably, it is left to the CTA, with advice as necessary from the Resident Representative and UNIDO, to complete only those sections which are relevant to the size or nature of the project.

3. Language

The project progress report is written in Arabic, English, French or Spanish, whichever working language is agreed on by the three parties involved (i.e. the Government, UNDP and UNIDO). Any necessary translations into other languages must be done from local resources.

4. Submission date

Where the progress report is to be used as the basis for a Tripartite Review of the project, the CTA submits two copies each to UNIDO, to the Resident Representative (who will pass one copy to the Government) and to UNDP headquarters, 30 days prior to the review. This is to enable all concerned to prepare for the review and to permit UNIDO to provide any factual corrections (e.g. financial data) and comments. Any revised data or comments from UNIDO are submitted by the CTA as a supplementary statement to his progress report for the Tripartite Review.

Where no Tripartite Review follows the progress report, the CTA submits two copies of his report to UNIDO and four copies to the Resident Representative within one week following the end of the reporting period. Within two weeks of its receipt, the Resident Representative transmits a copy of the report to the Government and two copies to UNDP headquarters together with any comments he may wish to add. Upon receipt of the progress report, UNIDO may send factual corrections (e.g. financial data) and comments to the CTA, with copies to UNDP headquarters and to the Resident Representative (for onward transmission to the Government).

INSTRUCTIONS FOR COMPLETING FORM A

Project Progress Report. Form A and other relevant forms of the Project Progress Report are to be completed by the actual or designate CTA.

To the extent possible, the summary (Form A) should not exceed one page. The elements summarized on Form A may be expanded in detail on Form F.

Project number. The short form of the project number is entered on all forms of the Progress Report (e.g. DP/COL/71/020)

Duration. Planned duration of project as stated in the latest Project Document. Specify duration in months or years.

Reporting period. Enter the starting and ending months of the reporting period, followed by the year (e.g. January - June 1973).

Date project approved. Enter the month and year in which the project was approved by the Governing Council, the UNDP Administrator, or the Resident Representative.

Start of field work. On the space entitled "scheduled" enter the month and year in which field work was scheduled to start according to the latest Project Document. In the space entitled "actual" enter month and year in which the CTA or the first expert arrived at the project site.

Completion of field work. In the space entitled "original est." enter month and year in which field work was scheduled to be completed according to the latest Project Document. In the space entitled "current est." enter month and year in which the field work is scheduled to be completed according to current estimate of the CTA.

UNDP budget. Enter the cost of UNDP contribution to the project budget as stated in the latest approved project budget.

Summary of project implementation. Under the following sub-headings and in the following order, give a brief narrative account of:

- (a) Project activities
Factual account of work carried out during reporting period.
- (b) Major problems
Identification and analysis of problems and bottlenecks, if any, which were seriously impeding project implementation during reporting period and corrective actions taken or proposed.
- (c) Project achievements
Important achievements of the project during reporting period (e.g. passing of project milestones, important findings etc.)
- (d) Overall status and assessment of project
In light of (a), (b) and (c) above, the overall status and assessment of the project at end of reporting period.

PROJECT PROGRESS REPORT	Form B GENERAL ACCOUNT	United Nations Development Programme		
		Project number	Agency UNIDO	Reporting period
<u>General account of project implementation</u>				

INSTRUCTIONS FOR COMPLETING FORM B

This form is to be completed in three parts as outlined below:

Account of project activities

Give an account of the work carried out during the reporting period under each project activity or sub-activity, including the results of such activities as appropriate, scheduled in the Work Plan of the latest Project Document. Any unscheduled activities which were carried out are also to be described. The narrative for each project activity (or sub-activity) is both factual and analytical and includes as appropriate:

- (a) Reference to significant achievements (e.g. the passing of milestones in activity implementation, important results, discoveries, and findings of significance to investment follow-up). Note in particular activity outputs and the use to which they are being put. Indicate what actions have been taken or are contemplated, and by whom, to follow-up on these positive developments.
- (b) Reference to operational and technical problems and bottlenecks, if any, which are seriously impeding activity implementation. Indicate whether these problems continue from the previous reporting period or are new. State what corrective measures have been taken or proposed, and by whom.

The narrative should include, inter alia, important information summarized from Forms C through I.

Progress of the project as a whole

- (a) In the light of (a) and (b) above and developments external to the project proper, summarize the progress of the project as a whole during the reporting period. In particular, reference should be made to how well the project is proceeding according to schedule.
- (b) Give a brief assessment of how well the project is proceeding towards meeting its immediate objectives and, where appropriate, indicate any measures that should be taken to help achieve them.

Work programme for the immediate future

Outline the major areas of concentration in the work programme planned during the next reporting period. Point out any project milestones to be passed and any major problems anticipated.

(Continue on additional pages of Form B, if necessary)

PROJECT PROGRESS REPORT		Form C PROJECT ACTIVITIES		United Nations Development Programme		
				Project number	Agency UNIDO	Reporting period
Act No.	Project activity	Activity started		Activity completed		Major positive/negative factors affecting results of activities and implementation
		Sched.	Actual (est.)	Sched.	Actual (est.)	

INSTRUCTIONS FOR COMPLETING FORM C

This form is intended to provide factual information on the status of each project activity that was scheduled in the Work Plan of the latest Project Document to take place during the reporting period or which was scheduled for an earlier reporting period but has taken place later than was planned. Where the activity presents two or more important sub-activities, the latter are to be described separately.

Activity number

List the activities in the order given in the latest Project Document.

Activity started

In the column entitled "scheduled", list the month and year in which the activity was scheduled to start according to the latest Project Document; in the column entitled "actual (est.)", list the month and year in which the activity started or the expected date of commencement. In the latter case, put the date in parentheses.

Activity completed

In the column entitled "scheduled", list the month and year in which the activity was scheduled to be completed according to the latest Project Document; in the column entitled "actual (est.)", list the month and year in which the activity was completed or the expected date of completion. In the latter case, put the date in parentheses.

PROJECT PROGRESS REPORT	Form D PROJECT INPUTS	United Nations Development Programme		
		Project number	Agency UNIDO	Reporting period
UNDP/AGENCY INPUTS				
	During reporting period		Cumulative	
	Planned	Actual	Planned	Actual
EXPERTS (Man-months)				
SUBCONTRACTS (\$US 000)				
EQUIPMENT REC'D(\$US 000)				
FELLOWSHIPS (Man-months)				
GOVERNMENT INPUTS				
COUNTERPART STAFF (Man-months)				
SUPPORT STAFF (Man-months)				
EQUIPMENT REC'D(\$US 000)				
BUILDINGS, LAND(\$US 000)				
CASH SUPPORT (\$US 000)				
OTHER <u>(Specify)</u>				
<u>Remarks</u>				

INSTRUCTIONS FOR COMPLETING FORM D

This form provides a quantitative summary of actual versus planned inputs during the reporting period and cumulative to the end of the reporting period.

Planned figures

On the basis of the latest project budget, indicate the man-months of services and estimate the dollar equivalent of goods and services that were planned for the particular components of the project during the reporting period.

Actual figures

For experts, fellowships, counterpart staff and support staff, the CTA/expert obtains as far as possible these figures from his own project records. For agency equipment, he should rely as far as possible on information regularly received from headquarters on the cost of equipment received at the project site during the reporting period.

The data relating to government-supplied equipment, building, land etc., should be obtained through the co-operation of the government counterpart organization and need not represent more than its best considered estimates at the time.

Cumulative figures

The planned and actual figures under this heading are from the start of the project to the end of the reporting period.

Remarks

This space is provided for any explanatory notes relating to the above data. Where supplementary inputs are provided through bilateral or other sources, indicate here the corresponding information to the extent possible.

PROJECT PROGRESS REPORT		Form E-1 AGENCY PERSONNEL	United Nations Development Programme			
			Project number	Agency UNIDO	Reporting period	
Post no.	Post description	Name of incumbent (and nationality)	Arrived (m/y)		Departed (m/y)	
			Sched.	Actual (est.)	Sched.	Actual (est.)
<u>Remarks</u>						

INSTRUCTIONS FOR COMPLETING FORM E-1

Post number

List the post number in the order specified in the latest project budget, or posts in the contract with the subcontractor.

Post description

List each post scheduled to be occupied during the reporting period (whether or not it was actually filled) as set out in the latest project budget. Only professional posts are to be considered. These include all experts, consultants and UN Volunteers engaged directly by the executing agency. Also list those professionals and consultants employed by the agency under subcontracts.

Name of incumbent (and nationality)

For each post filled, list the surname and initials of its incumbent. In the line immediately below, indicate the nationality of the incumbent.

Example: DOE, J.W.
 UNITED KINGDOM

Arrived

In the column entitled "scheduled", list the month and year in which the incumbent was scheduled to arrive according to the latest project budget; in the column entitled "actual (est.)", list the month and year in which the incumbent arrived or his expected date of arrival. In the latter case, put the date in parentheses.

Departed

In the column entitled "scheduled", list the month and year in which the incumbent was scheduled to depart according to the latest project budget; in the column entitled "actual (est.)", list the month and year in which the incumbent departed or his expected date of departure. In the latter case, put the date in parentheses.

Remarks

This space is provided for any explanatory notes relating to the above data.

PROJECT PROGRESS REPORT		Form E-2 GOVERNMENT PERSONNEL	United Nations Development Programme		
			Project number	Agency UNIDO	Reporting period
Post no.	Post description	Name of incumbent	Full/ part time	Assumed duty (m/y)	
				Sched.	Actual (est.)
<u>Remarks</u>					

INSTRUCTIONS FOR COMPLETING FORM E-2

Post number

List the post number as specified in the latest Project budget covering government contributions.

Post description

List each post scheduled to be occupied during the reporting period (whether or not it was actually filled) as set out in the latest project budget covering government contributions. Do not list typists, clerks and other junior administrative posts; manual workers; drivers etc.

Name of incumbent

For each post actually filled, list the surname and initials of its incumbent.

Full/part time

Enter an "F" for full-time personnel; a "P" for part-time personnel.

Assumed duty

In the column entitled "scheduled", list the month and year in which the incumbent was scheduled to arrive according to the latest project budget covering government contributions; in the column entitled "actual (est.)", list the month and year in which the incumbent arrived or his expected date of arrival. In the latter case, put the date in parentheses.

Remarks

This space is provided for any explanatory notes relating to the above data.

PROJECT PROGRESS REPORT		Form F FELLOWSHIPS		United Nations Development Programme			
				Project number		Agency UNIDG	Reporting period
Post no.	Fellowship post	Dura- tion (months)	Name of fellow and country of study	Started (m/y)		Completed (m/y)	
				Sched.	Actual (est.)	Sched.	Actual (est.)
<u>Remarks</u>							

INSTRUCTIONS FOR COMPLETING FORM F

This form is to be filled out for all fellowships scheduled to start, started, continued, or completed during the reporting period. Also, include those fellowships which were scheduled to start during prior periods but have not yet been filled.

Post number

List the number of the fellowship post as set out in the latest project budget.

Fellowship post

List the fellowship title, as set out in the latest project budget.

Duration

Indicate the number of months and fraction thereof of the planned duration of the fellowship.

Name of fellow and country of study

For each post filled, list the surname and initials of the fellow. In the line immediately below, indicate the country of study.

Example: DOE, J.W.
 UNITED KINGDOM

Started

In the column entitled "scheduled", list the month and year in which the fellow was scheduled to start his study according to the latest project budget, in the column entitled "actual (est.)", list the month and year in which the fellow started his study or his expected date of commencement. In the latter case, put the date in parentheses.

Completed

List the month and year in which the fellow completed or is expected to complete his study. In the latter case, put the date in parentheses.

Remarks

This space is provided for any explanatory notes relating to the above data, such as causes for possible delays in the starting of scheduled fellowships. Where a fellow has returned from his training abroad, indicate whether he has already resumed (or is expected to resume) his employment in the project, in some other branch of Government, or elsewhere.

PROJECT PROGRESS REPORT	Form G EQUIPMENT	United Nations Development Programme		
		Project number	Agency UNIDO	Reporting period
Equipment	Delivery (m/y)	Remarks		
	Sched.			

INSTRUCTIONS FOR COMPLETING FORM G

This form is used to list every major single item of equipment or group of related components purchased by the executing agency or subcontractor that was actually delivered and/or scheduled for delivery to the project site during the reporting period. The CTA is to decide what constitutes "major" equipment items for this listing. In general, however, no item or group of related components costing less than \$1,000 should be included, unless it is of immediate importance to the project's execution.

Delivery

In the column entitled "scheduled", list the month and year in which the delivery was scheduled to occur according to the latest Project Document; in the column entitled "actual (est.)", list the month and year in which the delivery occurred or the expected date of delivery. In the latter case, put the date in parentheses.

Remarks

This space is provided for any explanatory notes relating to the above data. Indicate reason(s) for serious delays in delivery of equipment. Also, note any instances where an item of equipment received during the reporting period was damaged or appears to be ill-suited to local needs and circumstances; also, where equipment is being unduly held up because of customs clearance or transportation difficulties.

PROJECT PROGRESS REPORT	Form H REPORTS	United Nations Development Programme		
		Project number	Agency UNIDO	Reporting period
Title of report, paper etc.		Remarks		

INSTRUCTIONS FOR COMPLETING FORM H

Title of report, paper etc.

List scheduled or non-scheduled reports (other than Progress Reports), studies and important working papers that were in preparation or had been completed by the project staff (including government personnel) during the reporting period.

Remarks

In this column, furnish the following information for each report listed in the sequence below:

- (a) Nature of report - technical, terminal, investment potential report etc. Indicate whether the report(s) were scheduled in the Work Plan;
- (b) Language(s) of the report;
- (c) Status of the report - draft in preparation, draft completed, final version;
- (d) Distribution - to project staff, to Resident Representative, to agency, to Government, to UNDP etc.

PROJECT PROGRESS REPORT	Form I-1 LONG-TERM TRAINING COURSES	United Nations Development Programme							
		Project number		Agency UNIDO		Reporting period			
	Duration of study years	Prep. year study	1st year study	2nd year study	3rd year study	4th year study	5th year study	Total	
I. NUMBER OF STUDENTS ENROLLED BY FIELD OF STUDY AS OF _____									
All fields of study		P							
		A							
Field of study I:		P							
		A							
Field of study II:		P							
		A							
Field of study III:		P							
		A							
Field of study IV:		P							
		A							
Field of study V:		P							
		A							
II. NUMBER OF STUDENTS WHO COMPLETED TRAINING AS OF _____									
Total number during reporting period		P							
		A							
Total number since start of project		P							
		A							
Total number of "dropouts" since start of project									
<u>Remarks</u>									

INSTRUCTIONS FOR COMPLETING FORM I-1

This form is to be completed for training courses lasting one year or more. In the form P = planned, A = actual.

Number of students enrolled by field of study

All figures should relate to the most recently available enrollment records. Enter the month and year to which the figures relate in the space provided in the heading.

Fields of study

Enter the name of the field(s) of study (e.g. mathematics, pedagogy, language) in the space provided and the number of planned and actual students enrolled.

Number of students who completed training

Enter the month and year of the most recently completed class in the space provided by the heading.

PROJECT PROGRESS REPORT	Form I-2 SHORT-TERM TRAINING COURSES	United Nations Development Programme				
		Project number	Agency UNIDO	Reporting period		
Training activity	Duration	Date started (m/y)	Date completed (m/y)	Number of participants		
		Planned	Started	Completed		
<u>Remarks</u>						

INSTRUCTIONS FOR COMPLETING FORM I-2

This form is to be completed for every short-term (up to one year's duration) training course, seminar, study tour, lecture series etc., that was scheduled in the Work Plan to be underway during the reporting period, including such courses which were scheduled for previous reporting periods but delayed. Also include training courses etc., that were not scheduled and indicate these by the notation "(NS)" immediately after the name of the training activity. Omit single lectures.

Duration

Specify the length of time in days, weeks or months which the training activity lasted (or is expected to last).

Remarks

This space is provided for any explanatory notes relating to the above data.

E. Terminal reports

1. General

A terminal report describes the activities and outputs of the project and the extent of achievement of the project's objectives, and makes recommendations for the future. It is prepared when field work is nearing completion. The purpose of a terminal report is to inform the Government, the UNDP and the executing agency, in a concise and definitive manner:

- (a) On the extent to which a project's scheduled activities have been carried out, its outputs produced, its immediate objectives achieved, and its results utilized towards the realization of the related development objectives;
- (b) On the recommendations for the future arising from the project.

2. Requirement for a terminal report

A terminal report is required for each project except where it is agreed in advance by the parties concerned that other documentation to be produced by the project will serve the same purpose. Projects which receive small-scale assistance may not have periodic or final Tripartite Reviews scheduled for them. Nevertheless, a terminal report will be prepared by the international staff member, or the senior member of the international staff, jointly with the concerned national staff member or leader of the national staff of the project.

Normally a terminal report will be prepared by the project's management ^{8/} for consideration at the final Tripartite Review meeting. As part of its backstopping functions, UNIDO participates, as necessary, and as is practical, in the preparation of the terminal report by providing advice and assistance to the CTA prior to and during preparation of the report. UNIDO may also arrange headquarters' participation in the final Tripartite Review meeting, where considered necessary or desirable and with the agreement of the Government and the Resident Representative (see section G of this chapter).

^{8/} As indicated before, the leaders of the national and international staffs together constitute the project's management.

A terminal report prepared by the CTA is subject to clearance by UNIDO. This provision is normally reflected in the Project Document.

In exceptional cases, the responsibility for the preparation of a project's terminal report may be placed with UNIDO regardless of the nature of the project, but only where it is so agreed for specific reasons between the parties concerned.

3. Contents

The terminal report should present an analysis of the project's implementation and results, not an historical narrative.

The report should:

- (a) State the project's immediate and development objectives and its logic;
- (b) Describe as succinctly as possible the major activities carried out and the outputs produced, compare these against the schedules and targets established in the Work Plan, or the latest revision thereof, and identify those factors which significantly facilitated or impeded the implementation of the project;
- (c) State the extent to which the immediate objectives were achieved and provide quantitative and qualitative data and information in support of this statement. (For example, in the case of institution-building projects, information should be provided in regard to the overall capability achieved as well as on the several component aspects of the institution.) The results should be compared with what was expected to be achieved by the project;
- (d) Indicate how and to what extent the results of the project have already been utilized, or will likely be utilized, towards the realization of the related development objectives, and identify the factors which have affected or which might affect effective utilization;
- (e) State as findings significant conclusions that have been drawn as a result of observation, or of knowledge and experience gained from the project;
- (f) Conclude with recommendations, as appropriate, concerning future steps for the consolidation, further development and utilization of the results.

Thus the report may be usefully structured in six parts or sections:

- (a) Objectives and logic of project;
- (b) Activities carried out and outputs produced;
- (c) Achievement of immediate objectives;
- (d) Utilization of project results;
- (e) Findings;
- (f) Recommendations.

Additional material may be attached to the report as annexes, where warranted, or preferably, an indication of where they have been deposited should be given.

The format of the title page and additional information on preparation of the Terminal Report should be discussed with UNIDO's backstopping section and the Resident Representative. (UNDP's Guidelines on the preparation of project reports are currently being prepared). ^{9/}

The terminal report should be prepared in Arabic, English, French or Spanish. UNIDO ascertains from the recipient Government which of these languages is to be used. In certain cases, and with prior approval of the parties concerned, the terminal report may be issued in more than one of the languages. If the Government wishes to have the terminal report issued in a language other than Arabic, English, French, or Spanish, it must assume full responsibility for and normally bear the entire cost of translating, authenticating, reproducing and distributing the report in the additional language. In exceptional cases, and with the prior approval of the parties concerned, such costs may be charged against the project budget.

The length of the terminal report will necessarily vary from project to project, and will depend inter alia on the amount of documentary outputs produced for the project. The terminal report for a project also producing documentary outputs should not normally exceed 50 typewritten pages, estimated at 450 words per page. Where the terminal report is the only definitive report produced by the project, the report should not normally exceed 100 pages.

^{9/} In the meantime it is suggested that use be made of UNDP's PPM.

4. Reproduction and distribution

The terminal report should be reproduced from typescript. Subject to the availability of adequate production facilities, the terminal report should be produced in the Host country. The need for final editing, if any, should be discussed with the substantive officer. The availability of such facilities should be examined and arrangements for reproduction planned during the project formulation.

Copies of the report will be submitted to UNIDO and to UNDP after clearance by UNIDO. Copies of the terminal report will be submitted to the Government by the Resident Representative with a covering letter drawing attention to or inquiring about follow-up actions needed.

Terminal reports on UNDP-assisted projects may be made available to other parties, but subject to derestriction of the reports by the Governments concerned in accordance with the applicable policies and procedures set forth in UNDP's PPM.

5. Derestriction

The terminal report should be submitted to the Government as a restricted document. Terminal reports on certain projects may, however, contain technical and scientific information of interest to other public and private organizations and institutions and, in such cases, UNIDO, or UNDP may recommend wider distribution. Where such a recommendation is made, the letter transmitting the terminal report to the Government should request the Government's permission, at its earliest convenience, to derestrict the report. (Also refer to UNDP's PPM on derestriction policy).

6. Procedures

When the project is nearing its end, the project's management prepares a draft terminal report. Four copies of the draft are dispatched in time to reach UNIDO six weeks in advance of the final Tripartite Review meeting, which is normally held one month before field work is completed. UNIDO reviews the draft, and gives its clearance subject to any suggestions it may wish to make. If UNIDO has substantial comments, they will as a rule reach the CTA two weeks before the Tripartite Review. The CTA then submits the cleared draft to the participants in the Tripartite Review meeting. Immediately following the Tripartite Review Meeting, the Resident Representative prepares a report on it. The Tripartite Review may lead to suggestions for modifications in the draft. The Resident Representative cables to UNIDO the substance of any suggested changes (other than editorial or insignificant details). UNIDO informs the Resident Representative if it concurs with the suggested modifications. If it does not, it so advises the Resident Representative and also takes steps to resolve the differences. In any case, the responsibility for finalizing the terminal report is that of the project's management.

The CTA arranges for the definitive version of the report to be reproduced as soon as possible after clearance by the executing agency, and submits it to the Resident Representative for distribution.

Where a final Tripartite Review meeting is not scheduled, the CTA drafts the terminal report as soon as possible before field work is completed, clears it with UNIDO and submits the final version to the Resident Representative for distribution.

In the event that there are differences of opinion between the national and international staff of the project's management in respect to the findings or recommendations arising from the project, arrangements for finalization of the terminal report are to be worked out on ad hoc basis by the parties concerned.

The terminal report is reproduced from typescript. Copies may be reproduced by mimeograph, photo-offset or photocopying, but not in "ditto" form. The number of copies should be kept to what is actually required but should not normally exceed 50. The CTA makes sufficient copies of the terminal report available to the Resident Representative for distribution on a "restricted" basis as follows:

Government	20	(unless more copies have been requested in advance)
UNIDO	10	(unless more copies have been requested in advance)
UNDP headquarters	5	
UN Headquarters Library	2	(plus one copy of any other language version)
UN Library, Geneva	1	
Office of the Resident Representative	2	

F. Reporting arrangements for cancelled projects

If the Government, UNIDO and UNDP, by mutual agreement, decide to cancel a project before its completion, a Project Cancellation Report is prepared by the agency. This report summarizes project activities before cancellation, gives the reasons for project cancellation, and contains, where appropriate, recommendations for follow-up. The report is submitted in five copies to the Government through the Resident Representative, within six weeks after the cancellation date. Copies are also provided to UNDP headquarters and to the Resident Representative.

The Project Cancellation Report is a confidential document and is not subject to derestriction.

G. Tripartite Review Report

1. General

A periodic tripartite project review, carried out jointly by representatives of the Government, the executing agency and UNDP, is the principal element in the integrated system for monitoring and review of UNDP-assisted projects. At the end of the review, a Tripartite Review Report is prepared by the Resident Representative in Arabic, English, French or Spanish. Within 15 days after the review, he transmits copies of the report to the Government, the executing agency and UNDP headquarters. A copy is also provided to the CTA. Each participant in the review remains free to convey to any party his own comments on the report. The following short description of a Tripartite Review Report is to assist the CTA in his assessment and preparation of comments.

2. Description

Although the report is unstructured it should normally summarize the review under the following broad headings:

- (a) Project activities and outputs;
- (b) Prospects of achieving project objectives;
- (c) Utilization of project results (follow-up);
- (d) Project design; and
- (e) Conclusions, decisions and recommendations.

The Resident Representative, in his letter transmitting the report, draws the attention of those concerned to any actions recommended to them as a result of the review. In urgent cases he may use other more direct means of communications.

Along with the Tripartite Review Report, the Resident Representative transmits to UNDP headquarters copies of the CTA's Progress Report. He also forwards any supplementary information that the Project Manager has submitted. The Resident Representative proposes any adaptation of the procedure that may be needed for particular types of projects.

XVI. PROJECT PERSONNEL ADMINISTRATION

A. General

The administration of entitlements of UN field personnel is based on the UN Staff Rules (200 Series). All project personnel receive a copy of the Staff Rules prior to commencement of their appointment as well as a set of circulars containing detailed information on the conditions for the usage of various entitlements. A list of documents made available to each individual upon beginning an appointment of one year or more is enclosed as annex I. During the assignment, project personnel would receive regularly information circulars and administrative instructions for any change, revision or addition to the Staff Rules. The summary in section B touches on a range of subjects which may affect the Chief Technical Adviser or members of his team during his or their employment by UNIDO. It must be remembered, however, that this summary cannot take the place of the Staff Rules, but is merely a description of subjects covered in the relevant rules and instructions.

B. Internationally-recruited staff

1. General

The backstopping of field personnel on all non-substantive matters is carried out by the Experts Unit (EU) within UNIDO's Personnel Service (please see also chapter VIII). That unit is the focal point for the personnel and financial administration of staff members employed by the 200 series of Staff Rules (see chapter V). Major functions of that unit are highlighted in summary fashion below. Subsequently, certain entitlements and administrative actions are also briefly described.

All entitlements under the Staff Rules require approval and authorization of the Experts Unit. It approves annual and sick leave, special leave with full, half or no pay, establishes entitlements to dependency allowance, education grant, rental subsidy, assignment allowance and installation grant, daily subsistence allowance and repatriation grant. The Experts Unit authorizes official travel and shipment of personal effects of project personnel on appointment, home leave, family visit and education grant travel, medical and emergency evacuations and repatriation. It processes claims for travel and medical expenses, education grant claims, settlements of honoraria under Special Service Agreements and reimbursable loans and deals with salary advances for rent or purchase of car and advances against final pay. The Experts Unit corresponds on all entitlements as well as on administrative and financial matters with project personnel. Furthermore, it would contact UN Headquarters New York, for approval of exceptions to existing rules in justified cases and carry out a liaison function for the dealings of project personnel with the UN Joint Staff Pension Fund, the UN Social Security Unit and the Van Breda Insurance Company.

All project personnel are briefed and debriefed on non-substantive matters by the Experts Unit. In connection with official stopovers in Vienna, the Experts Unit provides upon request personal services such as making hotel reservations in Vienna, obtaining commissary cards, arranging medical appointments (all project personnel should undergo an exit medical examination on separation) etc. Upon separation, the Experts Unit would deal with all residual problems which can arise after completion of service, especially with regard to matters like certification of service, certification of taxable incomes, appeals, compensation claims and debts.

The Experts Unit arranges the dispatch of payslips, payment advices and vouchers, circulars and information material the project personnel concerned. The payslips are dispatched around the 20th of each month, however, their receipt at the duty station varies according to distance and pouch service facilities.

2. Rental subsidy

Under certain circumstances UNIDO will approve the payment of a rental subsidy. Details of the conditions under which the subsidy is paid are given in Administrative Instruction ST/AI/2/5, attached as annex II.

3. Annual leave

Annual leave taken at the duty station needs the prior approval of the UNDP Resident Representative. Leave taken outside the country of the duty station and exceeding five days requires the approval of UNIDO. Requests should be addressed to EU. All experts are also required to complete a monthly leave report (whether or not they have actually taken annual or sick leave) and forward it to the EU. Normally experts are required to make use of their annual leave entitlement during the period covered by their letters of appointment. If exigencies of service do not permit utilization of the whole leave entitlement, compensation for any unused annual leave upon separation is paid in accordance with Staff Rule 209.9. However, no appointment may be extended for the purpose of allowing an expert to take annual leave.

4. Accelerated home leave and financial incentive

For project personnel serving at designated duty station, classified according to their very difficult conditions of life and work, entitlements were established to allow an accelerated home leave travel entitlement, additional education grant travel and financial incentive. The list of designated duty stations is subject to a yearly review. The conditions of the scheme are outlined in the Administrative Instruction ST/AI/2/0 attached as annex III.

5. Social security

All project personnel on appointment for one year or longer obligatorily participate in the UN Joint Staff Pension Fund. The conditions and benefits of the participation are laid down in the booklet "Regulations and Rules of the UNJSPF", which is made available on appointment. All project personnel

appointed for one month or longer may choose whether or not to participate in the Group Life Insurance (Aetna) and the Group Medical Insurance Scheme (Van Breda). Medical claims for reimbursement of expenses under the latter scheme must be supported by the appropriate receipts and either certified by the Resident Representative or local UNDP officer in which case the claim is then submitted directly to Van Breda or sent to Experts Unit for certification and onward transmission to Van Breda.

6. Compensation claims

Claims made under the provisions of Appendix D to the Staff Rules (covering compensation for death, injury or illness attributable to the performance of official duties) should be addressed to the Secretary of the Compensation Claim Board but sent to UNIDO headquarters, attention EU, for action. Claims for compensation for loss or damage to personal effects (if such loss or damage was attributable to the performance of official duties) should be addressed to the Secretary of the Local Compensation Review Panel in Vienna and forwarded to EU for presentation to the Panel.

7. Medical or emergency evacuation

If project personnel or dependents require medical treatment which is not available at the duty station, the Resident Representative in consultation with the recognized UN physician at the duty station may recommend medical evacuation. However, such evacuation must be authorized by UNIDO and only in cases of emergency will post facto approval be granted, following the Resident Representative's certification (supported by medical evidence) that there was no other solution possible at the time. A security plan covering personnel from all UN Organizations applicable for each country is monitored according to circumstances by a designated UN official or the Resident Representative at the duty station. If an emergency evacuation is authorized to a safe haven or the home country, general instructions are issued in UN Headquarters directly to the designated official at the duty station copied to all UN Organizations, which are followed by detailed instructions from UNIDO for each UNIDO project personnel.

8. Repatriation travel and separation from service

Except for project personnel under short-term appointments, who hold round trip tickets, an authorization for repatriation travel and shipment is issued in good time before the appointment expires. At that time intermediate term personnel are

informed about their entitlements on separation with regard to authorized route, travel and debriefing time, shipment according to weight and volume and leave balance on separation. Both short- and intermediate-term appointments include time for report writing, official travel and briefing and debriefing stopovers and project personnel should therefore arrange the repatriation schedule in such a way that he completes the mission by the expiration date shown on his Letter of Appointment.

Following separation, on basis of a final clearance certificate sent by the local UNDP Office, the last day for pay purposes is established and the final pay, consisting of outstanding days of salary and, if applicable, any unused annual leave and repatriation grant, is processed together with the separation document for pension fund participants. Payment of repatriation grant is subject to submission of evidence of relocation by documentary proof that residence has been established in a country other than that of the last duty station, such as a declaration by the immigration police, tax or other authorities of the country, by the senior UN official in the country or by a new employer.

10. Consultants employed under special service agreements

Holdere of special service agreements are not administered in accordance with the United Nations Staff Regulations but in conformity with the conditions contained in their individual contracts. Their payments are authorized by EU on the day laid down in the special service agreement and in accordance with their banking instructions. The last payment made under a special service agreement is normally subject to the submission of a final report and its approval by the appropriate substantive officer.

C. Locally-recruited staff

1. General

The procedures which UNIDO follows in the recruitment and personnel administration of local staff are based primarily on UNDP's Rules and Regulations for local field personnel, and they should be applied as closely as possible. These Rules and Regulations are contained in the UNDP Administrative Field Manual, a copy of which is available in the Resident Representative's office. The following abstract highlights main considerations which apply to the subject and summarizes the administrative procedures contained in the UNDP Administrative Field Manual.

All correspondence on the administration of locally-recruited staff should be addressed to:

Chief,
Experts Unit
Personnel Administration Section
UNIDO, Vienna

2. Budget

In principle, recipient Governments are expected to provide secretarial and clerical staff as well as drivers who are required for large-scale projects. However, for one reason or another, Governments sometimes are unable to do so. Therefore, UNIDO occasionally takes the precaution of making budgetary provision in the plans of operation for the recruitment of a reasonable number of local staff to support a given project. Such staff may include typists, shorthand bilingual secretaries, administrative assistants or drivers. Such categories of staff, must be employed locally and cannot be recruited on an international basis.

3. Appointment of local staff

CTAs should obtain the Resident Representative's agreement prior to hiring a local employee to be paid from project funds. The Resident Representative will give his agreement when there is no possibility of obtaining such staff from the Government.

When the CTA and the Resident Representative have agreed on a candidate and the appropriate salary level, UNIDO's permission for employment should be obtained. The considerations which apply to recruitment should be based on UNDP practices in the areas of the assessment of qualifications, background, responsibility and the functions to be performed. 1/

The person appointed to the project then becomes a staff member of the United Nations (UNIDO). The salary and related allowances payable to local personnel from project funds should be the same as those paid to personnel performing similar services in the office of the Resident Representative. For every duty station the United Nations Office of Financial Services issues a salary scale for local staff based on the principle of best prevailing conditions of service. CTAs will sign all contracts and certify all expenditures which are payable by the office of the Resident Representative. The Resident Representative's signature should also be obtained.

1/ See also UNDP Administrative Field Manual, section III-C.

4. Types of appointment

Initial appointment

All appointments must be issued on a fixed-term basis. The initial appointment is usually granted for three months only and subsequently may be extended for periods of up to one year each after medical clearance has been received from UNIDO headquarters. This appointment expires on the last day of the third completed month.

The following documents are required by UNIDO for an initial appointment of three months:

- (a) Four copies of the Letter of Appointment;
- (b) Six copies of the Personnel Action Form;
- (c) Medical Report and chest x-ray; (eye examination for drivers before recruitment); and
- (d) One copy of the Personal History Form.

Extension of appointment

One month prior to the expiration of an appointment a new Letter of Appointment and the relevant Personnel Action Form covering the extension should be forwarded to UNIDO headquarters for approval.

Inter-agency transfer

A local employee who has been working with another United Nations organization or specialized agency, may be appointed to a UNIDO project on an inter-agency transfer basis for any period up to one year provided there is no break in service between the two appointments. If the local employee resigns from the first United Nations organization and wishes to join the UNIDO project, the recruitment will be made on a normal basis and will not be considered as inter-agency transfer.

For an inter-agency transfer the following documents will be required by UNIDO:

- (a) Letter of Appointment;
- (b) Personnel Action Form ("inter-agency transfer" should be noted on this form as well as Pension Fund number, if any);
- (c) One copy of the Personal History Form; and
- (d) Medical report and chest x-ray if the last medical examination was made more than two years prior to the transfer.

5. Annual within-grade increment

A salary increment in the form of a single-step increase within the staff member's existing level is awarded after each year of satisfactory service. The notification (in duplicate) reflecting the within-grade increment should be sent to UNIDO one month in advance of the effective date.

6. Salary supplement

In cases where the recipient Government pays the salaries of the local staff assigned to the UNIDO project, the CTA may grant a salary subsidy from project funds in order to bring the amount up to the agreed UNDP local salary scale for equivalent work. This may be done only after agreement with the Government and the Resident Representative. In all cases where regular monthly supplements are paid, the approval of the Resident Representative should be obtained. When a salary supplement is granted to a staff member, a complete Special Service Agreement reflecting the payment and a Personal History Form should be forwarded to UNIDO.

7. Pension fund participation

Every staff member commencing employment under an appointment of one year or longer or upon completing one year of service without an interruption of more than 30 days in the same or more than one member organization is automatically registered in the Pension Fund. Under these circumstances, participation in the Pension Fund is compulsory as the Rules and Regulations do not permit an exemption from participation for any reason. All dates of birth and marriage (day, month, year) of the staff member and his/her dependants must be verified from appropriate documents.

8. Expiration of appointment

Separation from service should be reported to UNIDO headquarters on a Personnel Action Form. The effective date of separation is the staff member's last day of duty in the office.

If the staff member is a participant in the Pension Fund, it will be necessary for him/her to complete and sign form PENS. E/6 or E/7 (whichever applicable) "Instructions for payment of benefits" which should then be forwarded to UNIDO with the Personnel Action Form. Repayment of the staff member's contributions will be effected directly by the Pension Fund.

Annex I

LIST OF DOCUMENTS PROVIDED UPON COMMENCEMENT OF APPOINTMENT

Conditions of employment
Job Description
Specimen Letter of appointment
Medical and travel instructions
Post Report on Living Conditions
Staff Regulations and Rules of the United Nations
Appendix 'D' to the Staff Regulations and Rules of the United Nations
Report on Standards of Conduct in the International Civil Service
Your health in the tropics
Pension Fund Circular and Rules and Regulations of the UN Joint Staff Pension Fund
Project Personnel Circular on the group medical, hospital and dental insurance scheme
Project Personnel Circular on group life insurance
Project Personnel Circular on education grant and education grant travel
Project Personnel Circular on education grant for disabled children
Circular on approved stopovers and travel time between Vienna and other main cities
Circular on mode and standards of travel
Circular on terminal expenses
Circular on unaccompanied shipments and insurance coverage for personal effects and household goods
Circular on reimbursement of the cost of accompanied excess baggage
Circular on compensation for loss of or damage to personal effects
Project Personnel circular on family visit travel.
Project Personnel circular on travel expenses in connexion with annual leave from designated duty stations
Project Personnel circular on the transportation of privately-owned automobiles
Project Personnel Circular on status report and request for payment of dependency benefits
Project Personnel circular on currency of payment of salaries and allowances
Currency of payment of salaries and allowances
Currency of payment of salaries and allowances (Eastern countries, non-convertible currencies)

Annex II

UNITED
NATIONS

ST



Secretariat

ST/AI/275
21 July 1980

ADMINISTRATIVE INSTRUCTION

To: Members of the Staff

From: Assistant Secretary-General
for Financial Services

Subject: RENTAL SUBSIDIES AND DEDUCTIONS
FOR STAFF IN THE FIELD

1. The purpose of this instruction is to describe the main features of the revised rental subsidy scheme approved by the International Civil Service Commission for implementation effective 1 July 1980 and to establish the procedures for submission and processing of applications for rental subsidies under that scheme. This circular supersedes administrative instruction ST/AI/258 of 20 July 1978.

I. ESSENTIAL FEATURES OF THE REVISED RENTAL SUBSIDY SCHEME

2. Rental subsidies shall continue to be available to eligible staff serving in locations OUTSIDE Europe and North America, i.e., at those duty stations at which the higher rates of assignment allowance are payable under staff rule 103.22 (g) (ii) or 203.11 (a) (ii). By "eligible staff" is meant staff members who are receiving post adjustment of the place of assignment or a monthly mission allowance that is directly linked to the post adjustment classification of the mission area. In general, the term covers all technical co-operation project personnel, Field Service staff, as well as staff in the Professional and higher categories (other than those who are detailed to United Nations missions while continuing to receive the emoluments of their official duty stations).

3. As a disincentive to acquiring unnecessarily expensive lodging because subsidies exist, no subsidy shall in general exceed the value of 40 per cent of the rent, i.e., the staff member shall always be responsible for at least 60 per cent of the rent. Some exceptions to this rule will be necessary at those duty stations where the majority of staff members are in government-provided housing and where the rental component of the post adjustment index, based exclusively on government rents, is relatively low, while commercial rents are considerably higher.

4. For reasons of administrative economy, any calculated subsidy of less than \$10 per month shall be disregarded.

5. Within those over-all limits, the amount of subsidy shall be 80 per cent of that portion of the rent which exceeds a threshold amount, calculated individually for each staff member based on the threshold percentage figure to be established by the ICSC for each duty station. The subsidy as a rule is payable in local currency at the United Nations official payroll rate of exchange for the month concerned.

II. ESTABLISHMENT OF THRESHOLDS AND CALCULATION OF SUBSIDIES

6. The ICSC Secretariat will establish for each duty station two thresholds, expressed as a percentage of gross rent to income: the threshold for staff with dependants (Td) will be 25 per cent above the average ratio of gross-rent-to-income, the threshold for staff without dependants (Ts) will be 39 per cent above the average ratio of gross-rent-to-income. For example, if the average "gross-rent-to-income" ratio in duty station 'A' is 20 per cent, Td will be $0.20 \times 1.25 = 0.25$, or 25 per cent and Ts will be $0.20 \times 1.39 = 0.28$, or 28 per cent. The threshold amount applicable to each staff member varies according to his/her income defined to comprise net base salary including special post allowance, if any, post adjustment and assignment allowance. Assuming the case of four staff members at duty station 'A' with thresholds established by the ICSC to be Td = 25 per cent and Ts = 28 per cent, the individual threshold amounts and rental subsidies are calculated as follows:

<u>Monthly Amounts</u>	<u>P3/V (D)</u>	<u>P3/V(S)</u>	<u>D1/II(S)</u>	<u>FS5/VII(D)</u>
(a) Net base salary	1685.83	1569.04	2297.28	1309.08
(b) Post adjustment (M = 65)	963.08	895.92	1268.58	1032.00 ^{a/}
(c) Assignment allowance	166.67	133.33	158.33	-
(d) Total (a+b+c)	2815.58	2598.29	3724.19	2341.08
(e) Threshold percentage	0.25	0.28	0.28	0.25
(f) Threshold amount (d x e)	703.90	757.52	1042.77	585.27
(g) Gross rental in \$	1000.00	900.00	1000.00	800.00
(h) Portion of rental in excess of threshold (g-f)	296.10	172.48	- 42.77	214.73
(i) Rental subsidy 80% of (h)	236.88	137.98	nil	171.78

7. The threshold percentage figures applicable under the new scheme for duty stations outside Europe and North America have been published in the July 1980 Post Adjustment Classification Circular (ICSC/CIRC/PAC/67). Subsequent circulars will show any changes that may occur, normally as the result of a cost of living survey, together with the corresponding post adjustment classification for the duty station concerned.

8. The ICSC will promulgate threshold revisions only if the new threshold is at least one whole percentage point above or below the existing threshold. Furthermore, all thresholds, which are expressed in terms of a percentage of gross rent to income, will be announced to the nearest whole number, i.e., decimals will be rounded; e.g., threshold calculated as 20.5 will be reported as 21.

^{a/} Monthly Mission Allowance.

III. APPLICATIONS FOR RENTAL SUBSIDIES

9. Eligible staff members who wish to apply for the rental subsidy as of 1 July 1980, or as of any date thereafter, including those already in receipt of a subsidy under the previous scheme, should fill out an application form, in five copies, a sample of which is attached as Annex I. A new application form must be submitted by the staff member concerned on the occasion of a change of either dwelling or rent. A copy of the lease or of a receipt for the monthly rent should be submitted, together with each application.

10. All applications for rental subsidy must be certified by an authorized official at the staff member's duty station. The certification criteria are given in Annex II to this instruction. The certifying official at a particular locality will normally be a senior official of the organization which has the responsibility for co-ordinating the local post adjustment surveys on behalf of the ICSC. Where a United Nations office is responsible for these surveys (e.g. ECWA, ECLA, ESCAP, UNEP, etc.), the Chief of Administration will designate the official responsible for the certification. The certifying official shall be responsible for maintaining a sufficient supply of the application forms at the duty station.

11. The application form for rental subsidy is divided into three sections. Section 'A' is to be completed by the staff member concerned, section 'B' by the senior certifying official at the staff member's duty station, as defined in paragraph 10 above, and Section 'C' by the office which assumes the administrative responsibility for processing personnel and pay transactions for the staff member concerned. That office should normally be the Administrative Section, DTCD, for technical co-operation project personnel; Field Operations Division, OGS, for staff serving with United Nations missions or information centres, and the Division of Administration for staff serving with regional commissions, UNEP, etc.

12. The office concerned shall be responsible for calculating and authorizing the initial subsidy and subsequent revisions thereof. Such revisions will be made on the initiative of the office concerned whenever there is:

- (a) a change in the rental threshold percentage affecting all eligible staff at the duty station;
- (b) a change in the staff member's income due to:
 - (i) a change in the base salary scale;
 - (ii) a change in the post adjustment classification of a duty station;
 - (iii) a change in the staff member's grade and step;
 - (iv) a change in the payment of assignment allowance or the monthly mission allowance applicable to Field Service staff.

The ICSC will announce in its post adjustment circulars whether or not the rental subsidies need to be recalculated under (b) (i) and (ii). The subsidy must be recalculated in cases of a change of dwelling within the duty station or a change of rent within the same dwelling.

13. After the subsidy has been authorized, one copy of the completed form should be retained by the authorizing office, one copy each sent to the official who completed section 'B' and the appropriate payroll unit, and two copies to the Salaries, Allowances and Insurance Section, Office of Financial Services, which will, in turn, transmit one of them to the ICSC. As the ICSC is interested in detailed information on each subsidy authorized, it is essential that the office responsible for completing section 'C' should maintain a complete and easily accessible record of all subsidy transactions.

IV. TRANSITIONAL MEASURES

14. The Commission has also decided that the following transitional measures should be instituted to compensate staff members whose July 1980 subsidy calculated under the new scheme would be lower than that for June 1980 calculated under the existing scheme:

(a) Any personal transitional allowance (PTA) left over from the current scheme must be terminated as of 30 June 1980;

(b) If a staff member continues to occupy, in July 1980, the same dwelling he/she occupied in June 1980 and if the July 1980 subsidy is lower than the June 1980 subsidy then the difference would be payable to the staff member in the form of a monthly PTA.

(c) Following a subsidy review the PTA amount must always be lower than or equal to its level prior to the subsidy review.

(d) An increase in staff member's income, as defined in paragraph 6 above, will result in a decrease in his/her PTA. The reduction in the PTA would be one half of the sum of the increases in (i) the staff member's income for subsidy purposes and (ii) the amount of the rental subsidy.

(e) For subsidy revisions for reasons other than those covered under (d) above, if there is an increase in the subsidy of a staff member in receipt of a PTA, the PTA must be reduced by the amount of the increase.

(f) If a staff member receiving PTA moves to another dwelling at the same duty station or is transferred to another duty station, the PTA will be discontinued effective the date of such move or transfer.

15. Annex III contains detailed illustrations prepared by the ICSC secretariat of the procedures to be followed in completing the rental subsidy forms and in calculating the rental subsidy and the PTA in a number of situations.

16. The modalities for transitional measures given above will initially remain in effect through June 1981, at which time the ICSC will review the situation. The Commission's decision on transitional measures beyond that date will be announced at a later date.

17. RENTAL DEDUCTIONS

Staff members whose housing is provided by the Organization, by the government or by a related institution either free of charge or at rents substantially lower than the average rents used in calculating the post adjustment index for the duty station will normally be subject to payroll deductions from their salaries so as to maintain equity in the application of the post adjustment system among staff members at the duty station. The rental deduction will be calculated as 80 per cent of the difference between the average rental cost and the actual rent paid, excluding utilities. The average rental cost will be established as 80 per cent of the staff member's income multiplied by the percentage threshold applicable to staff members with dependants at the particular duty station (see para. 6). The following examples will illustrate the calculation of a monthly rental deduction:

	<u>P3/V (D)</u>	<u>DI/II (S)</u>
(a) Net monthly income ^{b/}	\$2,815.58	\$3,724.19
(b) Threshold percentage at dependency rate	0.25	0.25
(c) Personal threshold amount	\$ 703.90	\$ 931.05
(d) Average rental costs - 80% of (c)	\$ 563.12	\$ 744.84
(e) Actual rent paid	\$ 150.00	\$ 180.00
(f) Difference between (d) and (e)	\$ 413.12	\$ 564.84
(g) Rental deduction - 80% of (f)	\$ 330.50	\$ 451.87

^{b/} See paragraph 6, item (d) above.

Deduction amounts of less than \$10 per month shall be disregarded.

18. Staff members who are subject to rental deductions, but whose agency or government-provided dwellings are certified to be clearly below standard in terms of criteria given in Annex II, may have the amount of rental deduction reduced to one half the normal rental reduction calculated using the rental formula given above. The office concerned should send all cases of rental deductions with any requests for reductions in the amount of the rental deduction to the Salaries, Allowances and Insurance Section, Office of Financial Services. In very exceptional circumstances, the chairman of the Commission may authorize waiver of the total amount of the calculated deduction.

ORGANIZATION: _____ DUTY STATION (City/Country): _____

A. TO BE COMPLETED BY STAFF MEMBER

1. <u>Name (Last name, first name, initial)</u>	2. <u>Date of arrival at duty station:</u>
3. <u>Grade/Step</u>	4. <u>Marital status</u>
	5. <u>Number of dependent children</u>
6. Net monthly rent:	
a. Currency of payment:	c. Do you receive any subsidy for this rent
b. Rent excluding utilities:	i. from the organization Yes <input type="checkbox"/> No <input type="checkbox"/>
	ii. from another source Yes <input type="checkbox"/> No <input type="checkbox"/>
	Amount:
	Source:
7. <u>Comments:</u>	
8. I certify that the above information is correct and up to date	
<u>Date</u>	<u>Signature of staff member</u>

B. TO BE COMPLETED BY THE SENIOR CERTIFYING OFFICIAL

9. Certification (check one)
<input type="checkbox"/> I certify that the dwelling occupied by the staff member is appropriate to the circumstances and family status of the staff member and that the rent is reasonable given local market conditions. To the best of my knowledge all the information recorded is up to date.
<input type="checkbox"/> In view of the staff member's family status and/or the conditions prevailing in the local housing market, the rent shown under 6(b) above is inappropriately high. It is, therefore, recommended that a rental amount of _____ be used for the calculation of rental subsidy.
<input type="checkbox"/> (Not applicable to dwellings in capital or other major cities) I certify that the dwelling provided to the staff member is of substandard quality and that the calculated deduction be reduced to one-half.
<u>Date</u>
<u>Name and title</u>
<u>Signature</u>

C. TO BE COMPLETED BY ADMINISTRATION

<u>(i) Rental subsidy calculation</u>	
10. Total monthly net income (US dollars):	
a. Net salary, including any SPA	_____
b. Amount of post adjustment	_____
c. Assignment allowance	_____
d. Total	_____
11. ICSC threshold percentage: _____	
12. Threshold amount: $\frac{\text{line 10(d) times line 11}}{100}$	_____
13. Monthly rent paid by staff member (line 6(b) minus 6(c) (ii))	_____
14. Operational exchange rate	_____
15. Monthly rent in \$ (line 13 divided by line 14)	_____
16. Personal threshold in \$ (line 12)	_____
17. Excess of rent over threshold (line 15 minus line 16)	_____
18. 80% of excess rent (0.8 times line 17)	_____
19. Maximum subsidy allowable (0.4 times line 15)	_____
20. Subsidy in \$ (smaller of lines 18 and 19)	_____
21. Subsidy in local currency (line 20 times line 14)	_____
22. Personal transitional allowance in local currency (see instructions)	_____
<u>(ii) Rental deduction calculation</u>	
23. a. ICSC threshold % at dependency rate: _____	
b. Personal threshold in \$	
$\frac{\text{line 10(d) times line 23(a)}}{100}$	_____
24. Rent included in post adjustment (line 23(b) time 0.8)	_____
25. Monthly rent paid by staff member (line 6(b) minus 6(c)(ii))	_____
26. Operational exchange rate	_____
27. Monthly rent in \$ (line 25 divided by line 26)	_____
28. Excess of rent in post adjustment over rent paid (line 24 minus line 27)	_____
29. 80% of excess (0.8 times line 28) = rental deduction in \$	_____
30. Rental deduction in local currency (line 29 times line 26)	_____

Verified and authorized
Date _____

Name and title: _____
Signature: Administrative Officer

Annex II

CERTIFICATION CRITERIA

10. For the purpose of certification, at each duty station dwellings are grouped in three categories as follows:

a. Reasonable

If a dwelling occupied by a staff member is similar in quality and size by reference to those occupied by other staff members at the same duty station having similar family circumstances and if the rental follows a general pattern of rents for dwellings of similar quality and size, then the dwelling in question should be certified as "reasonable". It must be noted, however, that if a staff member has no alternative but to occupy a dwelling which is bigger or better in quality in relation to those occupied by others with similar family circumstances, or if the rent is very high in comparison to other dwellings of similar size, because of unavailability of other suitable accommodations, then that dwelling must still be certified as "reasonable".

b. Above average

If a staff member occupies a dwelling which is substantially bigger or better in quality by reference to those occupied by other staff members with similar family circumstances resulting in higher rental payments, then the dwelling should be certified as "above average". In this case, the highest rent paid by a staff member from among those with similar family circumstances and living in dwellings certified as "reasonable" must be used for the calculation of rental subsidies.

c. Sub-standard

Dwellings provided to certain outposted staff members, either free of charge or at a nominal cost, which are of poor quality fall within this category. Judging from past experience, dwellings of this type lack either the minimum acceptable standard of construction and/or one or more of the basic amenities. It should be noted that the category "sub-standard" is not applicable to dwellings in capital or other major cities.

Annex III



UNITED NATIONS

SECRETARIAT



ST/AI/280
27 May 1981

ADMINISTRATIVE INSTRUCTION

To: Members of the staff

From: The Assistant Secretary-General for Personnel Services

Subject: REVISED ENTITLEMENTS FOR STAFF MEMBERS
SERVING AT DESIGNATED DUTY STATIONS

1. The purpose of this instruction is to implement the decisions taken by the General Assembly in its resolution 35/214 of 17 December 1980 concerning the classification by the International Civil Service Commission of duty stations according to conditions of life and work and the granting of revised entitlements to staff members serving at designated duty stations, and the related decisions subsequently taken by the Commission at its thirteenth session in February/March 1981.

2. The organizations participating in the United Nations common system have agreed that the revised entitlements shall be applicable to all internationally recruited staff members serving at eligible duty stations.

3. The provisions of this instruction are effective as from 1 January 1981. Appropriate amendments to the Staff Rules will be issued in due course.

Section I: Accelerated home leave travel entitlement

4. In the resolution, the General Assembly approved an increase in the periodicity of the home leave travel entitlement in respect of staff members serving at duty stations designated by the International Civil Service Commission as having very difficult or difficult conditions of life and work and amended staff regulation 5.3 accordingly. This section sets out the terms and conditions for the exercise of this accelerated home leave travel entitlement. Concurrently with the establishment of this new entitlement, the Commission decided that "rest and recuperation" travel be abolished. Consequently, the provisions relating to travel expenses in connexion with annual leave from designated duty stations, as set out in administrative instruction ST/AI/200/Rev.2 and its amendments, are hereby cancelled and superseded.

5. Eligible staff members serving at duty stations designated as having very difficult or difficult conditions of life and work shall be granted, respectively, home leave travel once in every 12 months and once in every 18 months. The list of designated duty stations, as established by the International Civil Service Commission, is contained in annex I to this circular. This list will be reviewed by the Commission every year.

6. In the administration of the accelerated home leave travel entitlement, the following service credit points system shall apply:

(a) 1 point for each month of service at duty stations having the normal cycle of home leave (24-month duty stations);

(b) 1-1/3 points for each month of service at duty stations having difficult conditions of life and work (18-month duty stations);

(c) 2 points for each month of service in duty stations having very difficult conditions of life and work (12-month duty stations).

On the occasion of a change of duty station, credit points shall be accrued at the rate of the new duty station as from the effective date of transfer or assignment to that duty station. For service prior to 1 January 1981, the rate of accrual at all duty stations shall be 1 point for each month of qualifying service.

7. Credit points will be accrued on the basis of calendar months of service. Fractions of months of service shall be treated in the following manner:

(a) 1 to 15 days = no credit

(b) more than 15 days = full credit

8. The entitlement becomes due once 24 points are accrued. The exercise of each entitlement means a debit of 24 points and shall be subject to the condition that the staff member's service in the Organization is expected to continue at least six months beyond the date of return to duty or beyond the date when the entitlement becomes due, whichever is later.

9. The exercise of the entitlement may be advanced or deferred in accordance with the exigencies of service and the personal circumstances and preferences of the individual staff member, subject to the following conditions:

(a) In the case of advanced travel, at least 12 points in 12-month duty stations and 16 points in 18-month duty stations must be accrued.

(b) In the case of deferred travel, no more than 30 points may be accumulated towards the entitlement. Where the maximum of 30 points has been accrued, accrual may start again only from the first of the month in which the home leave travel entitlement is exercised.

(c) A minimum interval of three months shall be required between home leave, additional leave and family visit travels, counting from the date of return to the duty station from one travel to the date of departure of the next travel.

10. In the case of staff members serving in 12-month cycle duty stations every other entitlement must be exercised as regular home leave. With respect to the other leave entitlement, the staff member, on request, may travel to a country other than that of home leave, provided a substantial period of time (at least two weeks) is spent away from the duty station.

11. In the case of staff members serving in 18-month cycle duty stations, travel shall normally be to the country of home leave as an exercise of the entitlement to home leave. Where travel to another country has been exceptionally authorized, the next travel shall be to the home country.

12. Where travel of the staff member is authorized to a country other than that of home leave, the amount of travel expenses payable by the United Nations shall not exceed the amount which would have been payable for travel to the place of home leave. However, if the cost of such travel is more economical than travel to the place of home leave, the amount payable by the United Nations shall be limited to the actual travel expenses incurred.

13. Except as otherwise provided in this circular, the provisions in staff rules 105.3, 205.2 and 207.11 relating to home leave entitlement shall apply to the accelerated home leave travel entitlement.

Section II: Additional education grant travel

14. In its resolution 35/214, the General Assembly approved increased travel entitlements under the education grant in respect of children of staff members serving at designated duty stations where schools do not exist which provide schooling in the language or in the cultural tradition desired by the staff members for their children and amended staff regulation 3.2 accordingly. In respect of such children, travel expenses under the education grant may be paid for two round trips in the year in which the staff member is not entitled to home leave. The designated duty stations, as established by the International Civil Service Commission, are listed in annex I to this circular. This list will be reviewed by the Commission every year.

15. If a staff member serving at a designated duty station is entitled to home leave in a given year and does not exercise the entitlement in that year, two round trips of education grant travel may be granted for that year.

Section III: Financial incentive

16. The International Civil Service Commission has decided that a financial incentive shall be paid to staff members in the Professional and higher categories serving at those duty stations listed in annex II to this circular. This list will be reviewed by the Commission every year.

17. As announced by the Commission, the financial incentive shall be paid in the form of an increased rate of assignment allowance at the following annual rates:

(a) \$US 2,400 a year to a staff member who is accompanied by a dependent spouse at the duty station, and

(b) \$US 1,200 a year to a staff member who is not accompanied by a dependent spouse at the duty station.

The amount of the financial incentive shall not be taken into account in the calculation of the rental subsidy at those duty stations.

18. As agreed by the organizations in the common system, the higher rate of the financial incentive shall also be payable if there is no dependent spouse but a dependent child joining the staff member at the duty station.

19. The financial incentive will also be paid to internationally-recruited General Service staff serving at a designated duty station (see para. 2 above) in the form of an increased rate of the non-resident's allowance applicable at that duty station. The additional payment is not pensionable. As regards staff in the Field Service category, the financial incentive will be paid, where applicable, in the form of an increased rate of the monthly mission allowance.

Annex I

DESIGNATED DUTY STATIONS FOR ACCELERATED HOME LEAVE TRAVEL
AND ADDITIONAL EDUCATION GRANT TRAVEL

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
AFGHANISTAN	Kabul	X	-	X
ANGOLA	Luanda	X	-	X
BAHRAIN	1) Boodaya, Muhurraq, Jedhafs 2) Manama	- -	X X	X -
BANGLADESH	1) Barisal, Bogra, Chittagong, Ghorasal, Jessore, Khulna, Rangamati 2) Dacca	X -	- -	X X
BELIZE	Belmopen	-	X	X
BENIN	1) Bodjeczii, Petakou 2) Malanville, Natitingou	- -	- X	X X
BHUTAN	1) Carglung, Damphu, Deothang, Kanglung, Paro, Pelela, Phuntsholing, Samchi 2) Thimphu	X X	- -	X -
BOLIVIA	Cobija, Pando	-	X	-
BOTSWANA	Francistown, Gaborone, Ghanzi, Maun, Selebepikve, Serrove	-	-	X
BRAZIL	Aracaju, Belem, Itajai, Juiz de Fora, Manaus, Passo Fundo, Piracicaba, Porto Alegre, São Jose dos Campos, São Luiz	-	-	X
BURMA	1) Mandalay, Prome, Syriam 2) Meiktila, Yezin 3) Rangoon	- X -	X - -	X X X
BURUNDI	Gitega, Ngozi	X	-	X
CAPE VERDE	Espargos, Mindelo, Praia	-	X	X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
CENTRAL AFRICAN REPUBLIC	Bambari, Bossangoa/Soumbe, Bouar, Grimari, Paoula, NDélé	X	-	X
CHAD	N'Djamena	X	-	X
CHINA	Beijing	-	-	X
COMOROS	1) Anjouan, Moheli 2) Grande Comore	X -	- X	X X
CONGO	Djambala, Kinkala, Loubomo	X	-	X
COOK ISLANDS	Atiu, Mangaia	X	-	-
DEMOCRATIC PEOPLE'S REPUBLIC OF KOREA	Pyongyang	-	-	X
DEMOCRATIC YEMEN	Aden, Dar Saad, El-od, Lahej, Saber, Seiyun	X	-	X
DJIBOUTI	Djibouti	-	X	-
EL SALVADOR	San Salvador	X	-	-
EQUATORIAL GUINEA	Bata, Malabo	X	-	X
ETHIOPIA	Bahir Dar, Bako, Buna Bedele, Dessie, Melka Werer, Nazareth, Nekempt, Gondar, Jimma	X	-	X
FIJI	1) Dreketi 2) Labasa, Lautoka	- -	X -	X X
GAMBIA	Mansakonko	-	X	X
GHANA	1) Akosombo, Bolgatanga, Kumasi, Navrongo, Tamale 2) Cape Coast, Deboasi, Elmina, Takoradi, Tarkwa, Sekondi	- -	X -	X X
GUINEA	1) Conakry 2) Foulaya, Kindia	X X	- -	- X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
GUINEA-BISSAU	Bafata, Bissau	X	-	X
GUYANA	Georgetown	X	-	-
INDIA	Anand, Dehra Dun, Nagpur, Raipur, Solan, Trivadrur, Ujjain, Visakhapatnam	-	-	X
INDONESIA	1) Ambon (Malaku), Bandung, Bogor, Bukittinggi, Curug, Denpasar, Jayapura (Irian Jaya), Jepara, Kupang, Malang, Manado, Padang, Palembang, Semarang, Solo, Tanjung-Karang, Teluk-Betung, Ujung Pandang, Yogyakarta	-	-	X
	2) Island of Madura, Tasikmalaya	-	X	X
IRAN	Teheran	X	-	-
IRAQ	1) Arbil/Kirkuk, Ramadi	-	-	X
	2) Sweira	-	X	X
KENYA	1) Amolem, Garfassa, Katilu, Malaka Daka, Merti, Siakago, Turkana	-	X	X
	2) Bukura, Eldoret, Katumani, Lanet, Malindi, Mount Kulal, Naivasha, Nakuru	-	-	X
KIRIBATI	Tarava	-	-	X
KUWAIT	Kuwait City	-	X	-
LAO PEOPLE'S DEMOCRATIC REPUBLIC	Vientiane	X	-	X
LEBANON	Beirut	X	-	-
LESOTHO	Maseru, Mohale's Hoek, Leribe	-	-	X
LIBERIA	1) Gbarnga, Suakoko	-	X	X
	2) Monrovia	X	-	-
	3) Saniquellef	-	-	X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
LIBYAN ARAB JAMAHIRIYA	1) Benghazi, El Marj, Jabel El-Akhdar, Misurata, Sirte, Tripoli	-	-	X
	2) Kufra, Sebha	X	-	X
MADAGASCAR	Ambovomt , Nosy-Be	-	-	X
MALAWI	Lilongwe, Mzuzu, Nkhata Bay	-	-	X
MALAYSIA	Sandakan, Trolak	-	-	X
MALDIVES	Malé	X	-	X
MALI	1) Bamako	-	X	-
	2) Kayes, Mopti, Segou	X	-	X
MAURITANIA	1) Kaedi, Nouadhibou	X	-	X
	2) Nouakchott	-	X	-
MONGOLIA	Ulan Bator	X	-	-
MONTSERRAT	Plymouth	-	-	X
MOROCCO	1) Er-Rachidia, Zagora	-	X	X
	2) Ouarzazate	-	-	X
MOZAMBIQUE	1) Beira, Maputo, Namaacha, Nampula, Umbeluzi	-	-	X
	2) Pemba, Ulongwe	-	X	X
NEPAL	1) Bhairava, Biratnagar, Nepalganj, Pokhra	X	-	X
	2) Kathmandu	-	X	X
NETHERLANDS ANTILLES	Aruba, Bonaire, Curacao, Saba, St. Eustatius	-	-	X
NIGER	1) Dosso, Maradi, Tahous, Zinder	X	-	X
	2) Niamey	-	X	X
NIGERIA	Baga, Kaduna	-	X	-
NIUE	Alofi	-	-	X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
OMAN	Muscat	-	X	X
PAKISTAN	Abbottabad, Bahadurnagar, Dera Ismail Khan, Hyderabad, Multan, Muzaffarabad, Peshawar, Quetta	-	-	X
PAPUA NEW GUINEA	Aitape, Alotau, Angoran, Bainuru, Baiuyik, Balimo, Bensbach, Kavieng, Kitori, Kiunga, Lae, Lake Murray, Madang, Popondetta, Raboul, Tari, Wabo, Wau, Wevak	-	-	X
PERU	1) Huamachuco	X	-	X
	2) Moyobamba, Pucallpa	-	X	X
PHILIPPINES	Guinobatan	-	-	X
QATAR	Doha	-	X	-
RWANDA	1) Butare, Ruhengeri	X	-	X
	2) Gysenye, Kigali	-	X	-
SAMOA	Apia	-	-	X
SAO TOME AND PRINCIPE	Sao Tome	X	-	X
SAUDI ARABIA	1) Abha	X	-	-
	2) Al Hofuf, Hakaa, Wadi Jizan	X	-	X
	3) Dammam, Dhahran, Jeddah, Riyadh	-	X	-
SENEGAL	Nianga/Quede, Richard Toll	X	-	X
SIERRA LEONE	Bunumbu, Rokupur	-	-	X
SOLOMON ISLANDS	Honiara	-	-	X
SOMALIA	1) Burao, Kismayo, Hargeisa	X	-	X
	2) Mogadiscio	-	X	X
SRI LANKA	Bandaravela, Maha Illuppallama, Pulmoddai	-	-	X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
ST. VINCENT AND THE GRENADINES	Kingstown	-	-	X
SUDAN	1) Atbara, Bakht-er-Ruda, Halima, Juba, Kudugli, Mafao, Malakal, Maridi, Sennar, Wad Medani, Wau, Yambia	X	-	X
	2) Khartoum	-	X	-
SURINAME	Paramaribo	-	-	X
THAILAND	Bangsaen, Chiang Mai, Kalasin, Korat Chonuri, Phuket	-	-	X
TOGO	Lama Kara	-	-	X
TONGA	Nuku Alofa	-	-	X
TUNISIA	Bizerte, Gabes, Medenine, Sidi Bouzid, Soliman	-	-	X
TURKEY	Adana, Cankiri, Corum	-	-	X
TU. J	Funafuti	-	-	X
UGANDA	Entebbe, Kampala, Soroti	X	-	X
UNITED ARAB EMIRATES	1) Abu Dhabi, Dubai	-	X	-
	2) Al-Ain, Digdaga, Khorfakkan, Sharjah	-	X	X
UNITED REPUBLIC OF CAMEROON	Samenda, Bouea, Ekona, Garoua, Maroua	-	-	X
UNITED REPUBLIC OF TANZANIA	Dodoma, Kigoma, Mafinga, Mbeya, Morogoro, Mtwara, Mwanza, Rukva, Shinyanga, Songea, Sumbawanga, Tabora, Tanga, Zanzibar	-	-	X

Country or territory	Eligible duty stations	Accelerated home leave travel		Additional education grant travel
		12 months	18 months	
UPPER VOLTA	1) Bobo-Dioulasso, Dedougou, Fada N'Gourma	X	-	-
	2) Gaoua, Tenkodogo	X	-	X
VIET NAM	Hanoi, Ho Chi Minh City	X	-	X
YEMEN	1) Hodeidah, Ta'izz	X	-	-
	2) Sana'a	-	X	-
ZAIRE	1) Bukavu, Goma, Kisangani, Kiwit, Likasi, Lisala, Lubumbashi, Mbanza-Ngungu, Mbuji-Mayi	X	-	X
	2) Kinshasa	-	X	X
ZAMBIA	1) Chapula, Kabwe, Kitwe, N'Dola	X	-	-
	2) Chipata, Kasama, Mazabuka, Mbala, Mongu, Msekera	X	-	X
	3) Lusaka, Mout Makulu	-	X	-

Annex II

DESIGNATED DUTY STATIONS FOR PAYMENT OF FINANCIAL INCENTIVE

Country or territory	Eligible duty stations
ANGOLA	Luanda
BHUTAN	Carglung, Damphu, Deothang, Kanglung, Paro, Pelela, Phuntsholing, Saachi, Thimphu
BURMA	Mandalay, Prome, Syriam, Meiktila, Yezin
CENTRAL AFRICAN REPUBLIC	NDÉLÉ
CHAD	N'Djamena
COMOROS	Moheli
DEMOCRATIC YEMEN	Lahej, Saber, Seiyun
EQUATORIAL GUINEA	Bata, Malabo
ETHIOPIA	Bahir Dar, Bako, Buna Bedele, Dessie, Melka Werer, Nazareth, Nekempt
GUINEA	Foulaya, Kindia
GUINEA-BISSAU	Bafata, Bissau
LIBYAN ARAB JAMAHIRIYA	Kufra, Sebha
MALI	Kayes, Mopti, Segou
MAURITANIA	Kaedi, Nouadhibou
MOROCCO	Zagora
NEPAL	Bhairava, Biratnagar, Nepalganj
NIGER	Dosso, Maradi, Tahoua, Zinder
NIGERIA	Baga, Kaduna
PERU	Moyobamba, Pucallpa

Country or territory	Eligible duty stations
SAO TOME AND PRINCIPE	Sao Tome
SAUDI ARABIA	Al Hofuf, Hakma, Wadi Jizan
SENEGAL	Nianga/Guede, Richard Toll
SOMALIA	Burao, Kismaya, Mogadiscio
SUDAN	Atbara, Bakht-er-Ruda, Halima, Juba, Kudugli, Mafao, Malakal, Maridi, Sennar, Wad Medani, Wau, Yambia
UGANDA	Entebbe, Kampala, Soroti
YEMEN	Hodeidah

XVII. ADMINISTRATION OF TRAINING ABROAD

A. General

Although a training component is frequently contained in the overall design of a project, the need for training abroad emerges at times during the implementation process. For instance, a Chief Technical Adviser (CTA) may wish to suggest that national colleagues on the team receive specialized training or he may be approached by government officials with a request to assist in adding a training component to an ongoing project or he may simply be asked by acquaintances what is involved to obtain UNIDO's approval for a new training project.

In the following pages information is provided to help the CTA in answering basic questions relating to training abroad. That text is broken down into: fellowship training; study tours; and group training. Needless to add, however, that the information given in the Manual provides only a bird's eye view of the subject matter and questions concerning further details should be referred to UNIDO's Training Branch, Division of Industrial Operations.

B. Fellowships

1. Planning

The planning of fellowship components should be undertaken as early as possible and in close co-operation between UNIDO's back-stopping section, the SIDFA, the UNDP Resident Representative, competent Government authorities and, to the extent meaningful and possible, pertinent institutions in the country. From the earliest possible date project personnel should be involved. Since training is a time-consuming process, the time factor should be considered very carefully in the light of the identification, availability and preparation of qualified candidates for training abroad. 1/

2. Budgeting

The needs for training abroad by means of fellowships are to be expressed in budget line 31 (see chapter XVIII). In estimating the total amount a certain generosity is advisable, however, annualised budgets should only contain amounts likely to be disbursed within the respective year. In this connexion the availability of qualified candidates is a key planning factor. As a rule of thumb (status 1981) US\$ 1,700 per man/month should be used for budgeting purposes regardless of any detailed cost items (for 1982 US\$ 1,850 should be budgeted and for 1983 US\$ 2,000). The likelihood of an actual underimplementation of line 31 within an annualised budget should be reported to the Training Branch as early as possible.

3. Selection of candidates

The participation in the selection of fellowship candidates is, in principle, an important task of UNIDO field experts concerned. It should be kept in mind that a proper selection of qualified candidates is one of the most decisive elements of a successful training programme abroad.

4. Nominations

Candidates for UNIDO-executed fellowships should be nominated on the UNIDO Fellowship Nomination Form (see sample form in annex I). Nomination forms of the United Nations can be accepted in exceptional cases. All other nomination forms including "home-made" ones cannot be used. Also cabled nominations cannot be accepted; they can only be considered as advance information. Nomination forms should be completed in typewritten form in either English, French or Spanish according to the UN language most acceptable in the proposed country of training. 2/

1/ In UN parlance, trainees or candidates for training abroad under UN auspices are referred to as "fellows".

2/ It should be noted, however, that in many host countries a proficiency other than in UN languages is necessary.

Nominations should be submitted as early as possible within or even before the respective budget year. It should be noted that the nomination of candidates from the field is the triggering moment for any implementation on budgetline 31.

The formal nomination must be made by the Government and transmitted through the UNDP Resident Representative to UNIDO, (Training Branch, DIO). It is, therefore, imperative that page 1 of the Nomination Form be duly signed by the Government and the Resident Representative; otherwise a candidate cannot be accepted.

In completing the Nomination Form detailed information must be provided for in sections 12 (employment record) and 14 (detailed description of the requested training). Furthermore, some indication as to the desired country or countries of training and training institutions or firms should be given.

Also of great importance is section V of the Nomination Form, the medical report. It must be duly completed, dated and signed by the examining physician. By the time the nomination reaches UNIDO this medical report should not be older than four months. No placement action can be taken before a valid medical report is submitted.

If the training language is not the candidate's mother tongue, his language of study or the official language in his home country, an official language certificate that is recognised in the host country must be attached to the Nomination Form. A list of language requirements in host countries is given in annex II.

If no specific certificate is required (e.g. ALIGU or English Language Testing Service) the UNIDO language certificate, a sample of which is given in annex III, form should be used.

5. Training programme design

On the basis of the indications made in the nomination form, in particular in the light of items III items 9, 12, 14, 15, 16 and 17, in section III, a training programme proposal will be prepared by the Training Branch in co-operation with the respective substantive Section/Branch. UNIDO reserves the right to deviate somewhat from proposals made in the Nomination Form; however, major changes will be introduced only after consultation with the field personnel concerned.

6. Placement arrangements

Subsequently, the Training Branch requests that the official National Supervising Agency of the suggested host country provides the proposed training and places the candidate accordingly. UNIDO does not approach directly any training institution or firm because the established channels for official placement requests lead solely through the National Supervising Agencies which, as a rule, also implement bilateral fellowship programmes in their country. Bypassing them would lead to confusion and would be detrimental to both the individual fellows and the UNIDO fellowship programme at large. The National Supervising Agencies comply to the extent possible with UNIDO's suggestions as to the host institutions or firms as well as to the training programme. It is important to note that neither field staff nor backstopping

Agency of the host country and all UNIDO Sections concerned. Among other things, the TPI is also the obligation document and the payment authorization for a particular fellowship. In the case of changes, the TPI will be revised and the revision distributed to all concerned. In urgent cases the information on the fellowship award and the authorization to provide the air-ticket and any advance payment will be cabled to the UNDP Resident Representative at the same time when the TPI is pouched.

8. Announcement of expected time of arrival

The fellow is requested to cable his expected time of arrival (ETA) and the flight number at least six days in advance to the National Supervising Agency; the cable address for this purpose is indicated in the TPI.

9. Arrival in the host country

Upon his arrival in the host country the fellow has to report at the National Supervising Agency, the reporting address being indicated in the TPI. The National Supervising Agency will take care of the fellow, give him all necessary information including such on the mode of payment of his stipend and allowances as well as on how to reach his training institute or firm and to whom to report there. If possible, the National Supervising Agency will also assist the fellow in finding a suitable accomodation for the time of his stay in the host country; however, in principle, the Agency is not committed to do so.

10. Internal travel in the host country

Arrangements for internal travel of the fellow within the host country as far as such travel is related to the training programme will normally be made by the National Supervising Agency.

11. Insurance

UNIDO fellows are in principle not insured against illness, accident, injury etc. Any justified and unavoidable reimbursement in this connexion will have to be borne by UNIDO and charged against the project from which the fellowship is financed therefore, it is highly advisable that fellows hold private insurance with international coverage. 3/

12. Winter clothing

UNIDO is not in a position to pay any allowance to purchase winter clothing in the host country. Since in the majority of host countries the winter season brings cold weather, fellows should provide themselves with winter clothing including warm underwear, sweaters, and, in particular, heavy overcoats. If it is not possible to buy warm clothing in the home country, financial provisions should be made for purchase in the host country. One single monthly stipend may not be sufficient for that purpose.

3/ The matter of insurance is under review

13. Submission of reports

A special instruction regarding the submission of progress and final reports are mailed to the fellow together with the "Letter of Award and Departure". In principle, the fellow should submit both progress and final reports to the National Supervising Agency which, in turn, passes them on to UNIDO. Should the fellow not be in a position to submit his final report before his return home, this report must be submitted within two weeks time after return through the office of the Resident Representative to UNIDO. Though all reports should be submitted in typewritten form, UNIDO is not in a position to pay an extra typing allowance.

14. Departure for return

Upon completion of the training programme, the fellow should again report at the National Supervising Agency where he will be given the opportunity to discuss his completed training programme. In a number of host countries, the Agency will at this occasion pay the termination allowance which corresponds to the cost for 10 kg excess luggage on the return flight.

15. Upon return home

Upon return home, the fellow should immediately report to the Resident Representative's office and inform those concerned with his fellowship about the training programme. It is understood that the fellow will automatically get in contact with any pertinent UNIDO field staff related to the project of which his fellowship formed part.

C. Study tours

1. Planning

For the planning of study tours procedures are more or less identical with those for fellowships. However, it should be remembered that it is frequently more difficult to forecast the needs for study tours than those for fellowships. Furthermore, more often than not it may be meaningful for a project to organize joint study tours for a group of travellers instead of for single individuals.

2. Budgeting

What was said with regard to budgeting of fellowships before, applies more or less here too. However, because of the greater difficulties in forecasting and due to the fact that for study tours standard cost figures cannot be used, budget provisions on budget line 32 (see chapter XVIII) should be made so as to allow for a maximum of flexibility within the total budget period.

3. Selection of candidates

Since normally study tour travellers belong to the high echelon of technical, managerial or administrative personnel,

a selection of candidates should be done very carefully with a view to their multiplier effect and innovative potential.

4. Nomination

Candidates for study tours should be nominated only on the official UNIDO Form for the Nomination of Participants (vulgo "short nomform" (see annex V) which consists only of one page. The procedure of submitting nominations is practically the same as that for fellowships: the Government nominates candidates through the Resident Representative, who endorses the nomination and sends it to UNIDO, attention Training Branch. Exceptionally, such as in cases of extreme urgency, cabled nominations can be accepted from Resident Representatives on the condition that they are based on a Nomination Form duly signed by the Government and already received by the Resident Representative (who will mail it to UNIDO). Cabled nominations must include the following basic data in the following order: family name, other names, date of birth, nationality, sex, academic degrees, present position, employer, any special function or interest in relation to the requested study tour, language proficiency.

With regard to the language requirements, the same applies as is outlined for fellowships. Whenever possible, study tour nominations should be made as early as possible within or even before the beginning of a budget year. It should be noted that the nomination of candidates from "the field" is the triggering moment for any implementation on budget line 32.

5. Training programme design

Study tour programmes should be designed in detail to the extent possible in the requesting country. The proposed programme which has to be attached to the Nomination Form should give a precise description of the object(s) of interest and the countries, places and institutions or firms to be visited. UNIDO in co-operation with the National Supervising Agencies of the potential host countries is prepared to contribute to the design of study tour programmes.

6. Placement arrangements

There are three ways to arrange for the placement of study tours. The first one is practically the same as that for the placement of fellowships, i.e. nomination of candidates are submitted to UNIDO which, through the National Supervising Agencies of the respective host countries, arranges the placement. Second, arrangements are made directly from the field (e.g. through direct personal contacts of field staff with institutions or firms to be visited). In that case UNIDO needs only the written or cabled evidence that the institutions or firms thus approached have bindingly confirmed to accept the study tour travellers. The National Supervising Agencies would not be involved except that UNIDO informs them that such a study tour will take place in their country.

Travellers on a study tour organized in this manner can normally not count on any assistance of the respective National Supervising Agencies except in emergencies. The third way is a blend of two others: part of the arrangements are made directly from the field, while other arrangements are being made by UNIDO. In that case UNIDO needs written confirmation of all appointments made from the field, and will then in co-operation with the respective National Supervising Agencies organize the remaining part of the study tour. It is understood that after handing over such a study tour arrangement to UNIDO, no further interference from the field takes place.

7. Travel and payment arrangements

Other than in fellowship operations, travel and payment arrangements for study tours are normally made solely through the Resident Representative in the home country of the travellers. The core of the travel and payment arrangements is a cabled authorization to the Resident Representative to provide the international air ticket and to pay the daily substance allowance (DSA) fully in advance.

If necessary, additional arrangements will be made through the National Supervising Agencies or the Resident Representatives in countries visited.

A Study Tour Travel and Payment Instruction Form (STPI), similar to the one for fellowships, will be distributed to all concerned and, inter alia, serve as obligation document and payment authorization (see annex VI).

Apart from the international travel, study tour travellers are entitled to subsistence allowance up to the UN DSA rates valid at the time of the study tour in the respective countries visited, plus internal travel in these countries if so required, plus terminal expenses upon return. There is no provision for excess luggage.

A period of about three months between the receipt of a nomination at UNIDO headquarters and the start of a study tour has to be taken into account. Experience shows that the aforementioned second way to arrange for the placement of study tours is not necessarily faster than the first or the third ones described in section 6 above.

8. Announcement of expected time of arrival (ETA)

If National Supervising Agencies or Resident Representatives of countries to be visited are involved in the preparation of a study tour, the expected time of arrival and the flight number has to be cabled by the traveler at least six days in advance to these offices. The correct addresses will be communicated by UNIDO (and is indicated in the STPI).

9. Arrival in the host country

UNIDO will inform study-tour travellers of any instructions to be followed or arrangements being made upon the arrival in the respective host countries.

10. Internal travel in the host country

If National Supervising Agencies or Resident Representatives of countries to be visited are involved in the preparation of a study tour, arrangements for internal travel in the host country including the provision of tickets are normally made by them. If not so, travellers may receive an advance from their home country's Resident Representative and will then have to make their own travel arrangements in the host country or host countries.

11. Insurance

UNIDO is not responsible for injury, illness, death, accident or liability of study travellers. Therefore, study-tour travellers are strongly advised to hold an individual insurance with international coverage. The acceptance of a study tour constitutes the binding acceptance of this limitation of UNIDO's responsibility.

12. Winter clothing

There is no provision for an allowance for winter clothing (see paragraph B.12, above).

13. Departure for return

There are no particular procedures to be followed for the departure back home; however, if a study tour was organized under participation of the National Supervising Agency of the host country, the study traveller may feel free to contact this Agency in order to discuss the completed study tour or to ask their assistance and advice with regard to the ensuing travel.

14. Submission of final report

Study travellers are committed to submit a concise, but comprehensive report on their study tour. It is expected that such reports not only include a narrative section but also analytical parts to show the benefits the study traveller has gained from his tour as well as any recommendations addressed to the institutions or firms visited. The report should also in all openness bring any remarks with regard to the organization of the study tour. The report has to be submitted to the Resident Representative together with the travel claim (see next paragraph).

15. Return home and travel claim

Upon return study-tour travellers should submit their travel claim (form F.10) together with their final report to the Resident Representative. Travel claims without final reports cannot be processed. The travel claim is the last opportunity for the returnee to get any expenses reimbursed to which he is entitled, including terminal allowance.

D. Group-training programmes

1. General

In co-operation with Governments and pertinent institutions of host countries, UNIDO has developed a system of group-training programmes for advanced technical and managerial personnel engaged in industry in participating countries.

One major type of the UNIDO group-training scheme consists of in-plant programmes carried out by industrial firms or institutes which have the relevant specialized know-how and experience.

The objective of these programmes is to provide the participants with concentrated practical experience in their fields and with an opportunity to upgrade and update their theoretical knowledge in a relatively short time (from two to five months). The programmes are monitored by experts, and most of them comprise four major components: a theoretical introduction; actual in-plant training, which may include laboratory or similar work; study visits; and a final evaluation session. During the evaluation session, the participants assess the value of what they have learned in terms of conditions in their home countries.

Another type of UNIDO group training follows the pattern of seminars, workshops etc. of a shorter duration (from two to six weeks). Its objective is to give the participants an opportunity to upgrade or update their professional capability in a highly specialized field. The activities may include lectures, discussions, working groups, simulations, management games, case studies or visits to plants, institutions, trade fairs or exhibitions.

Many of the aforementioned programmes are repeated; others are organized on an ad-hoc basis. All of them are carried out subject to the availability of funds and suitable host facilities. The requirements for admission are a university degree (or equivalent) covering the respective field of training plus several years of experience in a responsible capacity within that field.

Formal invitations to nominate candidates are sent by aide-mémoires to the appropriate government authorities of selected developing countries through Resident Representatives once the agreement with the host country has been concluded, funds have been secured, and dates and curriculum of the programme have been established. The selection of the 12-25 participants from among candidates nominated is carried out jointly by UNIDO, the host authorities and, where possible, representatives of the host institutions.

For each programme the budget is first established, and after funds have been secured, dates and curriculum are being established.

2. Announcement

Each group-training programme is announced by means of an aide-mémoire sent to the Resident Representatives of selected countries with the request to bring the programme to the attention of the appropriate government authorities. UNIDO's Senior Industrial Development Field Advisers are separately informed as to which countries of their coverage are invited to nominate candidates.

The aide-mémoire generally provides the following basic information:

- Objective of the training;
- Curriculum or description of the training programme;
- Place and dates;
- Admission requirements;
- Language of instruction; and
- Administrative and financial arrangements.

A tentative schedule of training programmes to be carried out in a given calendar year is provided in UNIDO's Training Offer Programme and in the Guide to Training Opportunities for Industrial Development. In most instances the programmes are also announced in the UNIDO Newsletter.

Group-training programmes are not specifically designed to meet the training needs of the staff of specific technical assistance projects, but to cover more common training needs prevailing in the countries invited to nominate candidates. International Team Leaders should keep themselves informed through contacts with the Resident Representative and utilize these training facilities to the extent possible.

3. Nominations

Applications for participation can be made by Governments only and are channelled through the Resident Representative to UNIDO. However, CTAs may notify UNIDO's Training Branch directly of their interest in specific programmes and they can obtain information on curriculum, admission requirements etc. from the Training Branch prior to nominating officially candidates for a programme. For nominations the UNIDO Fellowship Nomination Forms are to be used. (see para. B.4, above). Nomination forms will have to be submitted with a completed medical report and, if so required, with a language certificate. (The latter requirement is given in an aide-mémoire.) Under item 13 in the Nomination Form, the title of the training programme should be given, while the completion of items 14, 16 and 17 is not required since it is understood that the accepted candidate will follow the training at the time it is scheduled and in the manner it is designed. In most instances the information supplied in the Nomination Form will have to be supplemented by completing a specially-designed questionnaire, which is sent to the Resident Representative together with the aide-mémoire.

When nominating candidates CTAs are requested to complete section II of the Nomination Form and provide, if so required, additional information in writing together with the submission.

4. Evaluation and selection

The evaluation of candidates submitted is done by UNIDO. The final selection of participants is carried out jointly by UNIDO, the host authorities and, in most instances the representative of the host country's training institution. For group-training programmes the selection panel endeavours to set up a group of participants as homogeneous as possible.

Depending on the composition of the applications received, the professional and educational background of the accepted group of participants may sometimes slightly deviate from that given as admission requirements. Since for most programmes the number of applications exceeds by far the number of places available, the non-acceptance of a candidate does not necessarily mean that he or she is not qualified.

5. Acceptance

Notification of acceptance is conveyed by cable to the Resident Representative, who notifies the candidates through established channels.

6. Letter of Award

The accepted candidates receive a Letter of Award, which differs from those given to individual fellowships, together with an acceptance form. Models of the acceptance form and of letters of transmittal are given in annex VII. The participant is required to sign one copy of the acceptance form and return it to UNIDO.

7. Note for participants

Together with the Letter of Award the participants receive a Note for Participants which provides specific information which he or she should know before departing. The Note for Participants is drafted specifically for each programme.

8. Travel arrangements

Travel instructions are given either in the acceptance cable or in the Note for Participants. These may differ from programme to programme and particularly if travel is to be financed from non-convertible currencies these may be very specific and are to be adhered to.

9. Execution of the programme

The execution of the programme is primarily the responsibility of the training staff in the host country, but UNIDO is responsible for the monitoring of the programme. Any queries with respect to

administrative, financial and travel arrangements, however, should be addressed to UNIDO.

10. Final report

As distinct from individual fellowship holders, participants in group-training programmes are required to prepare their final report before the completion of the programme.

FELLOWSHIP NOMINATION FORM



United Nations Industrial Development Organization

FELLOWSHIP NOMINATION FORM

I. LETTER OF TRANSMISSION

Instructions

To be completed in triplicate by a responsible official of the nominating Government who will forward three copies of the certified nomination forms to UNIDO, Vienna, Austria, through the office of the UNDP Resident Representative or UNDP field office through which its technical assistance requests are channelled.

The Government of _____

nominates _____

for a Fellowship in the field(s) of _____

and certifies that:

- (a) the training to be undertaken under this Fellowship is necessary for the industrial development of the country, and that in this sense full use would be made of the results of this training;
- (b) all information supplied by the candidate is complete and correct;
- (c) the candidate has adequate knowledge, appropriately tested, of a language which can be used for training purposes in the proposed host country(ies);
- (d) the absence of the candidate during the training abroad would not have any adverse effect on his (her) status, seniority, salary, pension and similar rights.

Upon return it is intended to employ the candidate as follows:

Title of post _____

Major duties and responsibilities _____

Place and date _____

Nominating
Government
Authority _____

Signature of certifying Government official

Title _____

II. OBSERVATIONS OF EXPERT AND/OR UNDP RESIDENT REPRESENTATIVE

(Changes suggested by an expert and/or the Resident Representative in the training programme as requested by the Government or its candidate have been discussed and agreed upon by all parties concerned.)

Place and date _____

Title _____

Signature _____



United Nations Industrial Development Organization

FELLOWSHIP NOMINATION FORM

III. PERSONAL HISTORY AND PROPOSED TRAINING PROGRAMME

Instructions

Nomination forms are available in English, French and Spanish. They should be completed by the candidate in typewritten form in whichever of the above languages is most acceptable in the proposed country of training. Three copies are required. Each question must be answered clearly and completely. Detailed answers are required in order to make the most appropriate arrangements. If necessary, additional pages of the same size may be attached.

Please note that study tour candidates should use the one-page "Form for the Nomination of Participants".

1. Family name (surname) (underline name by which formally addressed)		First name		Other names					
2. Mailing address				3. Home address					
4. City and country of birth		Date of birth			Age	Nationality	Marital status		
		Day	Month	Year					
5. Sex <input type="checkbox"/> Male <input type="checkbox"/> Female		6. Name and address of person to be notified in case of emergency							
7. Languages A. Mother tongue B. Other languages		READ		WRITE		SPEAK		UNDERSTAND	
		Easily	Not easily	Easily	Not easily	Fluently	Not fluently	Easily	Not easily
8. Residence in foreign countries for professional or study reasons		Year		Country			Length of stay		
9. Education (start with last attended institution and work backwards)									
Name of institution and place of study				Years of study: from--to		Major fields of study		Degrees	
10. Membership in professional societies and activities in civil, public or international affairs									
11. Own publications relevant to the requested field(s) of training (do not attach)									

12. Employment record: It is important to give complete information. For each post you have occupied give details of your duties and responsibilities. Please do not use abbreviations.	
A. Title of present post	Description of duties and responsibilities
Service in that post since	
Type of organization	
Name and address of employer	
Name and title of supervisor	
B. Title of post held before A	Description of duties and responsibilities
Service in that post	
from _____ to _____	
Type of organization	
Name and address of employer	
Name and title of supervisor	Description of duties and responsibilities
C. Title of post held before B	
Service in that post	
from _____ to _____	
Type of organization	
Name and address of employer	
Name and title of supervisor	

13. Training is requested in the following field(s)*

14. Detailed description of the requested training*

*The information given should be precise; the training programme will be based on it.

15. Description of the practical use to be made of this training upon return home

16. Proposed duration of training *	
17. Proposed country(ies) of training * (If the training language is not the candidate's mother tongue or study language or official home country language, an official language certificate has to be attached.)	Proposed training institution(s) or firm(s) *
*Final decision at the discretion of UNIDO.	
18. Earliest possible starting date	
19. Any definite period(s) during which the requested training should <u>not</u> take place	
20. Fellowships or scholarships held so far (including open candidatures other than this)	
<p>I certify that my statements in answer to the foregoing questions are true, complete and correct to the best of my knowledge and belief. If selected as a Fellow, I undertake to:</p> <ol style="list-style-type: none">1. Conduct myself at all times in a manner compatible with my status as holder of a UNIDO Fellowship;2. Spend full time during the training programme in compliance with the instructions of UNIDO and my training supervisors;3. Refrain from engaging in political, commercial, or any activities other than those covered by my training programme as well as from making any political statements in the mass media or otherwise;4. Submit reports in accordance with the arrangements made by UNIDO;5. Return to my home country upon completion of my training programme.	
Date _____	Signature of candidate _____

IV. RECOMMENDATIONS OF NATIONAL SELECTING AUTHORITY

Instruction

To be completed in triplicate by the Chairman of the Committee.

1. Comments on educational qualifications, experience in the field(s) where training is requested, age, health and personality of the candidate

2. Comments on the linguistic ability of the candidate

3. Comments on proposed country(ies) of training, training institution(s) or firm(s), and duration of training

4. Comments on the use to be made of the candidate's training upon return home

Name of Chairman _____

Signature of Chairman _____

Place _____

Date _____

V. MEDICAL REPORT

Instruction

To be completed in triplicate by a registered medical practitioner after thorough clinical and laboratory examination including X-ray of chest. UNIDO reserves the right to require the candidate to undergo a further medical examination before taking up the Fellowship.

1. Name of candidate

Age

Sex

2. Is the person examined at present in good health and enjoying full working capacity?

3. Is the person examined physically and mentally able to carry on intensive training abroad?

4. Is the person examined free from infectious diseases (for example, tuberculosis or trachoma) which could present risks for both the candidate and his/her contacts during the envisaged sojourn abroad?

5. Does the person examined have any condition or defect which might require treatment during the envisaged sojourn abroad?

Examining physician's signature

Name and address

.....
(printed)

Place

Date

Annex II

LANGUAGE REQUIREMENTS IN HOST COUNTRIES

A good speaking and understanding knowledge of one of the languages indicated against each country of study is an essential prerequisite for placement. When this language is not the mother tongue or academic language of the fellow or study traveller or is not widely used in his home country, a language certificate will be required. ^{a/} Generally speaking, placement can only be attempted if the certificate shows minimum ratings in sections (1) "Ability to understand" and (2) "Ability to speak". For countries not listed, the official national language(s) or applicable UN language(s) apply.

<u>Country of study</u>	<u>Languages</u>
Australia ^{b/}	English
Austria	German, occasionally English
Belgium	French, Dutch, exceptionally English
Bulgaria	English, French, Russian
Czechoslovakia	English, French, German, Russian, Serbo-Croat
Denmark	English, occasionally German
Finland	English, occasionally German
France	French
German Dem. Rep.	German, occasionally English
Germany, Fed. Rep. of	German, occasionally English
Greece	English
Hungary	English, Russian, occasionally German
Ireland	English
Israel	English, exceptionally French or Spanish
Italy	Italian, English, French, occasionally Spanish
Japan	Japanese, occasionally English
Netherlands	Dutch, English, exceptionally French and Spanish
New Zealand	English
Norway	English, occasionally German
Poland	English, Russian, occasionally French, Serbo-Croat
Portugal	Portuguese
Romania	English, French, Russian
Spain	Spanish
Sweden	English, occasionally German
Switzerland	French, German, Italian, occasionally English

Turkey	English
United Kingdom ^{c/}	English
USA ^{d/}	English
USSR	Russian, English, Serbo-Croat, occasionally French
Yugoslavia	English, Russian

-
- a/ If no official test is required by the country of study (such as the ALIGU or Davis test), the language certificate should be issued by a recognized language institute in the home country, or at least, by a person with pertinent experience whose mother tongue is the required language.
- b/ English test only by or through Australian Mission.
- c/ ALIGU test required.
- d/ Davis test required.

administrative, financial and travel arrangements, however, should be addressed to UNIDO.

10. Final report

As distinct from individual fellowship holders, participants in group-training programmes are required to prepare their final report before the completion of the programme.

Annex III

LANGUAGE CERTIFICATE

UNITED NATIONS  NATIONS UNIES

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TECHNICAL CO-OPERATION DIVISION

LANGUAGE CERTIFICATE FOR FELLOWSHIP CANDIDATES

CERTIFICATE OF KNOWLEDGE OF _____
(language)

NAME OF CANDIDATE _____

ADDRESS OF CANDIDATE _____

Please mark appropriate line in Sections (1), (2), (3), (4).

(1) ABILITY TO UNDERSTAND

- (a) Understands without difficulty when addressed at normal rate _____
- (b) Understands almost everything, if addressed slowly and carefully _____
- (c) Requires frequent repetition and/or translation of words and phrases _____

(2) ABILITY TO SPEAK

- (a) Speaks fluently and accurately and is easily intelligible _____
- (b) Speaks intelligibly, but is not fluent or altogether accurate _____
- (c) Speaks haltingly, and is often at a loss for words and phrases _____

(3) ABILITY TO WRITE

- (a) Writes with ease and accuracy _____
- (b) Writes slowly and/or with only a moderate degree of accuracy _____
- (c) Writes with difficulty and makes frequent mistakes _____

(4) READING ABILITY AND COMPREHENSION

- (a) Reads fluently, with full comprehension _____
- (b) Reads slowly, but understands almost everything he reads _____
- (c) Reads with difficulty, and only with frequent recourse to the dictionary _____
- (d) Cannot read _____

(5) TECHNICAL LANGUAGE

Certain fellowships require a particular knowledge of specialized or technical language. In such cases, please evaluate candidate's ability with reference to paragraphs 1, 2 and 4 above.

(6) Please indicate any further facts about candidate's language knowledge which may be of value in the development of his programme.

Language test has been made by: _____

Title: _____

Address: _____

Date: _____

Remarks: _____

Annex V

STUDY TOURS NOMINATION FORM

UNITED NATIONS  NATIONS UNIES

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

FORM FOR THE NOMINATION OF PARTICIPANTS

(SEMINARS, WORKSHOPS, MEETINGS AND STUDY TOURS)

(This form in quadruplicate should be submitted to the Resident Representative of the United Nations Development Programme together with language certificate (if applicable) and completed medical report. Do not submit documents, transcripts, etc.)

Please print or type answers

The Government of _____
 nominates the below mentioned candidate to participate in:

1. NAME OF CANDIDATE <i>(underline family name)</i>			
2. DATE OF BIRTH	3. PLACE OF BIRTH	4. NATIONALITY	5. SEX <input type="checkbox"/> MALE <input type="checkbox"/> FEMALE
6. MAILING ADDRESS			
7. EDUCATION <i>(start with last attended institution and work backwards)</i>			
Name of Institution and Place of Study	Years of Study: From-To	Major Fields of Study	Degrees
8. PRESENT POSITION		EMPLOYER	
9. RELEVANT EXPERIENCE <i>(use separate sheets if necessary)</i>		PUBLICATIONS <i>(use separate sheets if necessary)</i>	
10. PROFICIENCY IN WORKING LANGUAGE OF PROGRAMME			
<input type="checkbox"/> VERY GOOD <input type="checkbox"/> GOOD <input type="checkbox"/> FAIR			
If working language of this programme is not the mother tongue or language of higher education, please submit certificate of proficiency.			

Nominee's Signature _____

Certifying Government Official's Signature _____

Date _____

Title _____

Annex VII

MODEL ACCEPTANCE FORM AND LETTERS OF TRANSMITTAL

ACCEPTANCE FORM

I accept the invitation of the United Nations Industrial Development Organization to participate in the In-Plant Group Training Programme in the Field of Cement Industry in Ankara, Turkey from 3 November to 18 December 1980.

I confirm that I undertake the following obligations:

1. To conduct myself at all times in a manner compatible with my responsibilities as a participant in a UNIDO sponsored training programme;
2. To spend full time at the training programme while it is in session and to participate fully in the programme as directed by the Project Management;
3. To refrain from engaging in political, commercial and any activities other than those governed by the programme for the duration of the programme;
4. To submit a written report as required by UNIDO;
5. To return to my home country at the end of the training programme;
6. To follow travel and payment instructions issued through UNIDO.

I am prepared to bear the cost of all medical expenses not covered by the group insurance and understand that the sponsors of the training programme assume no responsibility for death, injury or illness directly or indirectly attributed to my attendance of the training programme, nor for any medical or hospital expenses that I may incur.

Signature of Participant: _____

Name (please print): _____

Address (please print) _____

Date: _____

Ms. Irene Lorenzo
Head
Training Branch
Division of Industrial Operations
United Nations Industrial Development Organization
Vienna International Centre
P.O. Box 300
A-1400, Vienna, Austria



LETTER TO RESIDENT REPRESENTATIVE

UNIDO

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

VIENNA INTERNATIONAL CENTRE

P.O. BOX 330, A-1400 VIENNA, AUSTRIA

TELEPHONE: 26 310 TELEGRAPHIC ADDRESS: UNIDO VIENNA TELEX: 135612

REFERENCE: ID 553/176

Dear Sir,

In-Plant Group Training Programme in the Field of Cement
Industry, Ankara, Turkey, 3 November to 18 December 1980

..... We are pleased to enclose for
who has been accepted for participation in the above training
programme, the following material:

Letter of Award
Acceptance Forms
Aide-Mémoire.

..... Kindly forward the above material to the participant. We
are also enclosing an additional copy of the award letter for
your files.

Yours truly,

D.G.A. Butaev
Director
Division of Industrial Operations

LETTER TO PARTICIPANT



UNIDO

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

VIENNA INTERNATIONAL CENTRE

P.O. BOX 300, A-1400 VIENNA, AUSTRIA

TELEPHONE: 26 310 TELEGRAPHIC ADDRESS: UNIDO VIENNA TELEX: 135612

REFERENCE: ID 553/176

Dear Mr.

I have pleasure in confirming to you that the United Nations Industrial Development Organization has selected you as a participant in the In-Plant Group Training Programme in the Field of Cement Industry in Ankara, Turkey from 3 November to 18 December 1980.

..... Enclosed please find two copies of the Acceptance Form as well as one copy of the Aide-Mémoire. Please return one signed copy of the Acceptance Form to Ms. Irene Lorenzo, Head, Training Section, Industrial Operations Division, through the office of the UNDP Resident Representative in your country. The second copy is for your own records.

I would like to take this opportunity to express our pleasure at your participation in this training programme. We trust, the programme, the discussions and the exchange of information will benefit you in your work in your home country.

Yours sincerely,

D.G.A. Butaev
Director
Division of Industrial Operations

XVIII. FINANCIAL PROJECT ADMINISTRATION

A. General

All matters concerning the financial administration of UN field personnel are subject to the UN Staff Rules (200 Series). However, the 4000 series of UNDP's Policies and Procedures Manual (PPM) also applies in respect of UNDP-financed projects. Moreover, UNIDO has been issuing specific instructions on certain matters associated with the financial administration of projects. The following chapter summarizes the most important features of Financial Project Administration. Needless to re-emphasize that the UN Financial Staff Rules, UNDP's Policies and Procedures Manual and UNIDO's specific instructions take precedence over the summarized version in this Manual.

Annexes I to VII to this chapter contain information on the following subjects:

- Annex I: Sample project budget - UNDP
- Annex II: Sample project revision - UNDP
- Annex III: UNIDO codes sources of funding
- Annex IV: Budget line and component codes
- Annex V: Project indicators
- Annex VI: UNIDO programme component codes
- Annex VII: Local disbursements.

B. Project budgets and costing

1. General

The following guidelines to the costing of UNIDO projects are modelled on section 4100 of UNDP's Policies and Procedures Manual and apply to all sources of funds except where otherwise specified.

As there is no central unit responsible for reviewing approved project budgets, it is of the utmost importance that CTAs carefully monitor the project budget preparation and also maintain careful control of all budgets issued.

2. Project budgets

Authority

The Resident Representative is the ultimate signing authority for UNDP country project documents. The Resident Representative will also issue the project budgets, irrespective of whether the projects are approved under his present authority or through headquarters. However, UNDP has delegated to UNIDO the authority to approve SIS projects.

Projects financed from the Regular Programme of Technical Co-operation are approved by UNIDO's Division of Policy Co-ordination.

Projects financed from United Nations Industrial Development Fund (UNIDF) are approved by UNIDO's Programming Committee.

Trust Fund projects are approved on the basis of agreements entered into between UNIDO and donor Governments/organizations.

The basis of approval of other projects depends on the source of financing, e.g. Population Fund projects implemented by UNIDO are approved by UNFPA; Environment Fund projects by UNEP.

Flexibility

Because rigid adherence to agreed project budgets would increase paperwork and cause delays in implementation, executing agencies have been given a degree of flexibility in relation to implementation. This flexibility, which varies according to the source of financing, is applied on the total of the project (i.e., not on individual budget lines or components) but may not be used to create additional inputs not foreseen in the original project document/budget. The basic flexibility rules for UNIDO's major groups of projects are summarized below.

(a) UNDP (including SIS) projects

In accordance with the UNDP Policies and Procedures Manual (PPM), section 3450, 3.3.3.

"Executing agencies are authorized, without requiring a revised project budget, to incur project expenditure in any given year in excess of the approved budget for that year, but not exceeding \$20,000 or 4 per cent of the project budget for that year, whichever is higher, provided the total amount of excess expenditure of the Agency for that year does not exceed 2 per cent of the global total of all UNDP funds approved for expenditure by that agency for that year."

If proposed expenditure will exceed the current year's phasing by more than these limits, it is necessary to obtain the Resident Representative's approval of a budget revision. Cabled authorizations may be accepted only if they meet UNDP's requirements - (see PPM, section 3450, 4.4.3. (ii)).

(b) Regular Programme and UNIDF

Projects financed from these sources frequently contain inputs for which the funding is specified in non-convertible currency. The basic rule is that the budget may be exceeded by 15 per cent provided that neither the convertible nor the non-convertible currency budgets are exceeded by more than 15 per cent.

(c) Trust Funds

For Trust Fund projects there is no flexibility. All variations from the budget as agreed with donors require the donors' agreement in writing.

Revision/rephasing

Normally all project budgets are revised/rephased, as soon as possible after closure of the accounts for each year, to bring them into line with expected implementation for the forthcoming and subsequent years.

In the event that significant changes in inputs are planned or that additional funds, beyond those available under the above-mentioned flexibility rules, are required, ad hoc revisions are prepared and submitted for approval to Resident Representatives, donor organizations, or the Programming Committee, as appropriate.

3. Project components and budget lines

Personnel costs

(a) Experts and consultants (Budget line 11)

Each expert post, identified by a post number and a description of the post, should be recorded on a separate budget line. The number of man-months expected to be delivered under each expert post should be shown within each annual segment of the budget with appropriate proforma cost. Expert man-months and costs expected to be delivered should be totalled by year and recorded on line 11-99.

The minimum unit for the budgeting of expert services is the half-month. However, charges for man-months are made to project accounts in tenths of a month, or the closest possible unit, if different from one tenth of a month.

Services of consultants should not be budgeted by individual post, but by the aggregate number of man-months expected to be delivered each year and costed at the pro-forma rate in effect at the time of budgeting. The total (man-months and dollars) should be budgeted on line 11-50 of the project. Individual consultants are recorded on line 11-51 onwards.

It is not possible to provide in this Manual detailed instructions for costing experts' and consultants' services, as cost figures become out-of-date more rapidly than the Manual can be amended. However, the following paragraphs explain the background to the method of budgeting for, and recording the cost of, such services.

(i) UNDP

In the case of UNDP-financed projects, including those financed from the SIS programme, there are two categories of costs for experts' (as opposed to consultants') services. Category I costs (defined below) are charged to projects at the actual cost to UNIDO for the expert in question. Category II costs (also defined below) are charged to projects at the average cost per man-month to UNIDO for all experts on UNDP financed projects.

Each year UNIDO reviews the two categories of cost elements and notifies UNDP of its estimated (proforma) costs for the ensuing and future years. At the same time, for the purpose of preparing mandatory and other revisions, substantive officers are informed of the rates which should be used.

The cost category elements for experts are:

<u>Category I (charged at actual)</u>	<u>Category II (charged at average)</u>
Base salary;	All other common staff costs.
Post adjustment <u>or</u> , in the case of short-term experts, DSA;	(Note that this includes travel on appointment and repatriation, but <u>excludes</u> duty travel which is charged at actual cost to budget line 15.)
UNIDO share of pension fund contributions;	
Medical insurance subsidies;	
Rental supplements;	
Rest and recuperation leave.	

In the case of consultants on UNDP-financed projects (including SIS projects) all costs are charged at actual to the project. As for experts, each year UNIDO reviews and adjusts the estimated (proforma) costs for the ensuing and future years.

(ii) Non-UNDP

The cost of experts' and consultants' services for all projects not financed by UNDP (i.e. Regular Programme, UNIDF and Trust Fund projects) should be budgeted at estimated actual cost.

(b) OPAS Experts (Budget line 12)

OPAS experts are individuals who are engaged for service with a Government under the standard agreement between the Government and UNDP.

They serve under a contract which provides that UNIDO will pay the difference between that which would normally be payable by UNIDO and that paid by the employing Government. OPAS officers are not United Nations staff members. Through the Resident Representative UNIDO/IO/PPR ascertains the remuneration paid by the Government so as to determine the stipend which will be borne by UNIDO.

Budgeting for OPAS experts should be estimated at actual cost to UNIDO.

(c) Administrative support personnel (Budget line 13)

Provision should be made at the estimated level of actual costs, budgeted by year. Administrative support personnel include administrative assistants (as distinct from professional administrative officers), secretaries, translators, clerks and drivers. Such personnel may be recruited on an international, semi-local or local basis.

If such personnel are recruited locally they are paid according to UNDP local general service salary scales which vary from country to country and are available from UNIDO's Personnel Administration.

(d) United Nations Volunteers (Budget line 14)

The recruitment of United Nations Volunteers is handled through the United Nations Office at Geneva; locally incurred costs of Volunteers are usually paid through the appropriate local UNDP offices.

UNIDO is normally informed of the estimated annual costs for each Volunteer by the co-ordinator of the programme at Geneva; UNIDO, in turn, authorizes UNDP Resident Representatives to effect the necessary payments in local currency.

As a guide, costs should normally be budgeted with \$700 per man-month for Volunteers.

(e) Duty travel of International Experts (Budget line 15)
and Consultants

The cost of experts' duty travel is to be budgeted at estimated actual cost, or, if this cannot be estimated, at a proforma cost of \$150 per expert man-month. Duty travel excludes common staff cost travel (on appointment, briefing, debriefing, home leave, repatriation), the cost of which is included in the proforma experts costs.

(f) Other personnel costs (Budget line 16)

(i) Incentive Stipends (Budget line 16-01) (Applies only to UNDP projects)

Incentive stipends payable to national counterpart staff of least developed countries should be budgeted at estimates of actual costs. CTAs should consult UNIDO's Experts Administration Unit, Personnel Services.

(ii) Mission costs (Budget lines as below)

In the course of planning for a project, or during its execution, visits to the field by UNIDO staff, consultants, or - in the case of UNDP projects - UNDP personnel, may be necessary. These visits are defined as mission costs. Mission costs are budgeted at estimated actual costs. There are three categories of missions:

Expenditure incurred by UNIDO

(Budget line 16-11)

This may include salaries, travel and related expenses of consultants, engaged specifically for missions in connection with the investigation and appraisal of requests or visiting projects for substantive or technical work during implementation; participation in mid-project reviews; and participation in evaluation missions.

(Budget line 16-12)

This involves travel and related expenses of UNIDO headquarters' staff when participating in the investigation and appraisal of requests, visiting projects for substantive or technical work during the course of their implementation (exclusive of normal supervisory functions which are to be met from overheads), participating in mid-project reviews, and participating in evaluation missions.

Expenditure by an associated Agency (Applies only to UNDP projects)

(Budget line 16-21)

This may be salaries, travel and related expenses incurred in engaging consultants specially for missions in connection with the investigation and appraisal of requests; visiting projects for substantive or technical work during the course of their implementation; participation in mid-project reviews; and participation in evaluation missions.

(Budget line 16-22)

Salary, travel and related expenses of agency headquarters/field staff (including project staff) may also be listed under this heading when individuals concerned participate in the investigation and appraisal of requests, visit projects for substantive or technical work during the course of their implementation (exclusive of normal supervisory functions which are to be met from overheads), participate in mid-project reviews, or participate in evaluation missions.

Expenditure incurred by UNDP (Applies only to UNDP projects)

(Budget line 16-31)

This may be salaries, travel and related expenses incurred in engaging consultants for missions in connection with the investigation and appraisal of requests; visits of projects for substantive or technical work during the course of their implementation; participation in mid-project reviews; and participation in evaluation missions.

(Budget line 16-32)

Travel and related expenses of UNDP headquarters/field staff (including project staff) when participating in the investigation and appraisal of requests, visiting projects during the course of their implementation, participating in mid-project reviews, and participating in evaluation missions.

(g) Locally hired national experts (Budget line 17)
(Applies only to UNDP projects)

This budget line was introduced in 1979 to cover the employment of national (as opposed to international) experts - see UNDP/PROG/72 of 10 August 1979. Provision for the remuneration of national experts (at rates and on conditions of service that are compatible with local rates and usage) should be made on budget line 17 and actual payments made should be recorded on a separate sub-line for each expert.

Charges for national experts cannot be accepted unless funds have been reserved by means of an obligation established by UNIDO and a copy of the relevant agreement or contract is provided to UNIDO.

Subcontracts
(Budget line 29)

The total of all sub-contracts should be budgeted under this component at the estimated level of actual costs.

CTAs should contact the Purchase and Contracts Services to make sure that the services they require are really available in the country they expect to get them from; this applies particularly to services from countries where currencies are non-convertible.

Budget line 29 is also to be used where responsibility for implementation of a programme or part thereof is delegated to a non-UN or to a national agency. This covers, for instance, training programmes or studies carried out on a fee basis or where lump sum payments are made at stated intervals or on completion of certain stages of the work. All payments made in connection with such sub-contracts (including "advances") must be in accordance with agreements established between UNIDO and the agency concerned, which agreements are subject to approval by the Committee on contracts in accordance with relevant Financial Regulations and Rules.

Training
(Budget line 39)

The budget lines to be used are as follows:

	<u>UNDP</u>	<u>Non-UNDP</u>
Fellowships	31	31
Group training	32	34
Study tours	32	32
Meetings, workshops, symposia	32	35
In-service training	33	33
Consultations		35

Budgetary provisions should be made for all training which is expected to be undertaken during each year of project operations. Training includes fellowships, group training and in-service training.

1/

(a) Individual fellowships (Budget line 31)

In arriving at the budgetary provisions for fellowships, man-months of fellowship service should be costed at estimated actual costs.

The minimum unit for the budgeting of fellowships is the half month. Charges are made to project accounts on the basis of actual cost incurred.

(b) Study tours^{1/} (UNDP: budget line 32; non-UNDP: budget line 32)
and Group training (UNDP: budget line 32; non-UNDP: budget line 34)

Covers actual cost of the participants in organized programmes (mainly study tours in the case of UNDP) which are normally conducted outside the country of residence and prepared exclusively to meet the needs of a particular person or group. Such programmes are normally of short duration, not exceeding four calendar months.

(c) Meetings, workshops, symposia
(UNDP: budget line 32; non-UNDP: budget line 35)
and consultations (Non-UNDP budget line 35)

This covers the cost of travel and subsistence for participants at meetings and consultations.

(d) In-service training
(Budget line 33)

Budget line 33 covers costs for structured individual or group training of nationals within the country in connection with the activities of a project.

Budgeting for group training, study tours, meetings and in-service training should be done at an estimated level of actual costs and the latest UN issuances for subsistence rates should be referred to. UNIDO's Accounts and Payments Section will provide information on up-to-date exchange rates. For travel costs, the latest issuance on travel rates issued by UNIDO's Travel and Transportation Unit should be consulted. Also, UNIDO's Training Branch will provide general assistance.

1/ It should be noted that no obligations or expenditure will be accepted against lines 31 or 32 of a UNDP project in respect of the travel of individuals unless first cleared by UNIDO/IO/TRG in accordance with current rules applicable to fellowships and study tours.

Equipment
(Budget line 49)

This component, which should be budgeted at estimated actual cost, covers:

- (a) Expendable equipment^{2/}(Budget line 41)
- (b) Non-expendable equipment^{2/}(Budget line 42)

If non-convertible currencies are to be used to buy equipment, the following is to be ascertained:

- Is the equipment really available in the country concerned?
- Will it be available when needed?
- Are spare parts and servicing available ?
- Is it acceptable to the recipient Government?

- (c) Premises, other than housing for experts (Budget line 43)

this includes the construction cost of any premises to be provided for in the project, as well as such imported items of construction materials or heavy equipment built into the premises which would thereby lose their identity for inventory purposes.

Miscellaneous
(Budget line 59)

The following types of costs should be budgeted under the miscellaneous component:

- (i) Operation and maintenance of equipment (Budget line 51)

The costs for the operation and maintenance of project equipment and premises are borne by Governments as a counterpart contribution. In those cases where Governments cannot meet this obligation, the costs may be financed from the project and appropriate provision made against this budget line at an estimate of actual costs. Costs for the operation, maintenance, repair and insurance of local transport vehicles should be budgeted against this line at the estimated level of actual costs. Resident Representative and counterpart authorities should be consulted regarding the costing of these items since they have the necessary knowledge of local conditions.

^{2/} For a definition of these terms see chapter XXV, the glossary.

(ii) Reporting costs (Budget line 52)

Reporting costs occur when it has been agreed that a report is to be produced by UNIDO. The costs for reports which are drafted by project personnel directly recruited by UNIDO should be budgeted at standard rates, which are advised to substantive officers in January each year.

The costs for the above-mentioned types of reports, if prepared by a subcontractor, should be budgeted under the subcontract component. Preparation and reproduction of an extensive number of maps may be required for a project for reasons other than for documentary outputs (e.g., soils and geological survey maps). In such cases, the costs are charged to the "equipment" component of the project budget. When a terminal report is prepared in the field and submitted to the Government, no reporting costs should be budgeted. If local typing costs other than through employment of local staff are incurred, they should be charged to budget line 53.

(iii) Sundry (Budget line 53)

Sundry expenses include the cost of all items of a miscellaneous nature which are not covered under other components. Cables, telephone and postage charges should be included as sundry expense items. Hospitality expenses, normally established with the concurrence of UNDP and communicated to team leaders by the executing agency should also be budgeted under this item as well as local typing as indicated above.

The travel of government officials and counterpart staff is chargeable under the sundries budget line unless this travel is undertaken pursuant to a properly constituted study tour, under budget line 32, for which the proper clearances have been obtained through UNIDO/IO/TRG.

(iv) Hospitality (UNDP: budget line 53: Non-UNDP: budget line 55)

Hospitality is reimbursed at current approved rates subject to the following limitations:

Expenditure on hospitality may not be incurred unless:
Sufficient funds are available on the miscellaneous component ^{3/} of the project budget; and
Prior authorization (evidenced by the establishment of an obligation) has been obtained from UNIDO.

^{3/} In the case of non-UNDP project the provision must be specifically shown on budget line 55.

Hospitality must relate to a clearly identified function, usually marking a stage in the progress of a project or activity. Expenditure for refreshments served to visitors or for coffee and tea will not be reimbursed.

Hospitality must involve guests who have a direct relationship to the project. The number of UN personnel invited must be limited; reimbursement for group hospitality cannot be made where members of the staff (UNIDO project staff and UNDP office staff) are a majority of the entertained.

Accounts and claims for hospitality should be supported by the following documentation:

Date, occasion and nature of hospitality;

Itemized bills;

A list of the guests giving names, titles and the organizations they represent. UN personnel should be listed separately and clearly identified as such.

C. Budgeting of government cash counterpart contribution

In order for a Government to actively participate in the execution of a development project, counterpart contributions are required as an integral part of project inputs. In some cases, the Government may opt to meet all or part of such obligations through cash payments. Such contributions are considered to be cash contributions only when such funds are payable, in accordance with a payment schedule reflected in the Project Document, directly to UNDP for inclusion in its general resources.

Government cash counterpart contributions to projects may be made to UNDP-assisted projects normally in respect of large-scale projects of the following type:

- (a) A resource survey, involving a relatively high level of counterpart inputs for field expenses;
- (b) Projects involving a large sub-contract, where delay in the provision of essential local support facilities could prejudice timely implementation of the sub-contract, and possibly result in increased costs;
- (c) Projects with non-recurring activities involving counterpart expenditures of an exceptional nature.

The preparation and presentation of the budgets covering a Government's counterpart contribution in cash should follow the general guidelines established for the UNDP budget. The Government's counterpart contribution, however, will be stated on an estimated actual costs basis.

The schedule of government payments to UNDP to cover the Government's cash counterpart contribution is to be included in the work plan of the project. The amount of the initial instalment to be paid on signature of the Project Document should be sufficient to cover expenditure for at least three months beyond the date on which the next payment falls due. Subsequent instalments will usually fall due on 1 January of succeeding years.

The Government's cash counterpart budget represents an absolute ceiling on expenditure; any increase or transfer between components of the budget require prior and specific approval by the Government.

If it is expected that the agreed amount of the Government's cash counterpart contribution will be insufficient for the purposes described in the work plan and summarized in the project budget, the agency should take immediate steps to negotiate an increase in the amount with the Government. The adequacy of the Government's cash counterpart budget should also be reviewed whenever the work plan or project budget for the IPF portion is rephased or revised.

Government's cash counterpart budgets and payment schedules will normally be established in local currency, and no US dollar equivalent figures will appear in the project budget.

As a consequence, changes in an exchange rate will not directly affect the Government's cash counterpart project budget nor will they affect the authority of the agency to incur commitments and expenditures in local currency. That authority will continue to be governed by the local currency amounts in the project budget.

D. Budgeting of government cost-sharing arrangements ^{4/}

On UNDP projects budget line 101 covers government cost-sharing. From time to time, individual Governments arrange to share the costs of UNDP-assisted projects which are normally borne by UNDP. Under this cost-sharing scheme, ^{5/} a Government will make a contribution towards the overall cost of project without attribution to specific components and with the understanding that:

- (a) Each contribution is to be identified with the project for which such a contribution has been made;
- (b) Each contribution will be considered as a payment towards the total cost of the project without accountability to the Government for specific items of expenditure. The cancellation of a project or a curtailment of operations may however, result in an appropriate refund to the Government;
- (c) Payments are to be spread over the life of the project, payable in advance of the commencement of operations for any given year. Since such payments are normally intended to cover foreign currency costs, payments are therefore to be made in convertible currency (normally US dollars);
- (d) Overhead is to be deducted at a rate of 12.28 per cent on the total government contribution (for project costs and for overhead) and which is allocated to UNIDO by UNDP. Application of this percentage to the total contribution is equivalent to a rate of 14 per cent of project costs, the current rate of reimbursement for overhead.

It should be noted that since January 1977, UNDP negotiates and administers all cost-sharing contributions and apportions expenditures annually between UNDP and government cost-sharing contribution to the project.

^{4/} UNDP projects only.

^{5/} For a detailed description of this arrangement see UNDP Policies and Procedures Manual, Section 4430, "Government Cost-Sharing".

Annex I.

SAMPLE PROJECT BUDGET

UNITED NATIONS DEVELOPMENT PROGRAMME
PROJECT OF THE GOVERNMENT
OF THE PEOPLE'S REPUBLIC OF ANGOLA

Title: : Establishment of an Industrial Information Service

Number : DP/ANG/80/011/A/01/37 Estimated Starting Date July 1981

Primary Function : Institution Building Duration: 19 Months

Secondary Function : N.A. UNDP Classification: 0510 Industrial Development Support Services


Government Sector : Industry

Government Sub-sector : Industrial Services


Government Implementing Agency : Ministry of Industry

Executing Agency : United Nations Industrial Development Organization (UNIDO)


Government Inputs : 164,900 (in kind) UNDP Inputs: 200,000
(Kwanzas) (US\$)

Signed: 
on behalf of the Government

Date: 27/2/81

Signed 
on behalf of UNIDO

Date: 16/3/1981

Signed: 
on behalf of UNDP
Gunnar Asplund
Resident Representative

Date: 16/3/1981





UNIDO

PROJECT BUDGET/REVISION

3. COUNTRY ANGOLA	4. PROJECT NUMBER AND AMEND DP/ANG/80/011/A/01/37	5. SPECIFIC ACTIVITY 31.3.N
10. PROJECT TITLE Establishment of an Industrial Information Service		

15. 10.	PROJECT PERSONNEL EXPERTS / Post title	16. TOTAL		17.		18.		19.		20.	
		m/m	\$	m/m	\$	m/m	\$	m/m	\$	m/m	\$
11	Industrial Information Adviser	19	123,000	1	6,000	12	78,000	6	39,000		
11-01	Short-term Consultants	5	32,500			3	19,500	2	13,000		
02											
03											
04											
05											
06											
07											
08											
09											
10											
11											
12											
13											
14											
11-99	SUBTOTAL:	24	155,500	1	6,000	15	97,500	8	52,000		
21. REMARKS											

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UNIDO

PROJECT BUDGET/REVISION

4. PROJECT NUMBER	16. TOTAL		17. 1981		18. 1982		19. 1983	
	m/m	\$	m/m	\$	m/m	\$	m/m	\$
12.01								
13.00								
14.00								
15.00		1,500				1,000		500
16.00								
17.01								
17.02								
19.00		157,000		6,000		98,000		52,500
20.								
29.00								
30.								
31.00	12	19,200			8	12,800	4	6,400
32.00								
33.00								
34.00								
35.00								
39.00	12	19,200			8	12,800	4	6,400
40.								
49.00		22,000				22,000		
50.								
51.00								
52.00		600						600
53.00		1,200		200		500		500
55.00								
59.00		1,800		200		500		1,100
99.		200,000		6,200		133,800		60,000

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Annex II

SAMPLE PROJECT REVISION

COUNTRY: KENYA

TITLE: ASSISTANCE TO INDUSTRIAL SURVEY AND PROMOTION CENTRE

PROJECT NO: DP/KEN/74/007/H/G1/37

..... The attached budget of the above project is hereby rephased to reflect actual expenditure for the year 1980 and the consequential effect on the budgets for future years. Expert contract durations in revision "G" do not coincide with existing commitments (see attached notes).

The change to the project budget - UNDP input is as follows:

Previous UNDP input - Project budget code	\$ <u>1,778,080</u> (line 99 total)
Revised UNDP input - Project budget code	\$ <u>1,834,428</u> (line 99 total)
UNDP input - increase (decrease)	\$ <u>56,348</u>

D.G.A. Butaev, Director, DIO
Agreed on behalf of the Executing Agency

Date

Approved on behalf of the UNDP

Date

NOTES CONCERNING MANDATORY REVISION
OF PROJECT DP/KEN/74/007

- 11-01 Mr. Monteiro Carry over of 2 m/m into 1981, equivalent to detail of serving expert to Malaysia for same duration. Cost per month: \$ 6,100
- 11-02 Mr. Bohra Extension by 4 months from 31.12.80 to 31.4.81
Leave without pay from 14.11.80 to 11.10.81,
leaving balance of 3.6 m/m in 1981
Cost per month: \$ 6,700 cable misc 713-03
for add. month refers
- 11-03 Mr. Rasheed First contract 3.2.79 to 2.2.80
Second contract 3.2.80 to 2.2.81 Total 24 m/m
Existing commitment in 1981: 1.1 m/m
Cost per month \$ 6,300
- 11-04 Mr. Gill First contract 1.2.78 to 31.1.79
Second contract 1.2.79 to 31.1.80
Third contract 1.2.80 to 31.1.81 Total 36 m/m
Existing commitment in 1981: 1 m/m
Cost per month \$ 6,700
- 11-50 Consultants Total m/m amounting to 104.3 unchanged.
Unutilized allotment rephased into 1981
and cost adjusted to \$ 6,600 per month

UNIDO PROJECT BUDGET/REVISION

COUNTRY	KENYA		PROJECT NUMBER AND AMEND	OP/KEN/74/007/G	INDICATORS	C.O.B. DATE	DATE OF ISSUE	AMEND. TO PAD
PROJECT TITLE	ASSISTANCE TO INDUSTRIAL SURVEY AND PROMOTION CENTRE STRATEGY & POLICY FOR IND.		SPECIFIC ACTIVITY	31.2.A	O S	81/04/01	80-2855	
CHECKED BY			APPROVED BY DONORS:			MULTIFUND PROJECT NUMBERS		
FAS			<i>[Signature]</i>					

AUTHORITY FOR PROJECT
CABLE MISC.713-03/SFRAYADHANIA/KITCH/M
OF 23/3/81, PS REQUESTED BY HANWELTON UN
24/3/81

PROJECT NUMBER
81-0459

PROJECT PERSONNEL EXPERTS POST/TITLE	TOTAL M/M	1978 \$	M/M	1979 \$	M/M	1980 \$	M/M	1981 \$
11-01 INDUSTRIAL DEV. ADVT	36.0	172,742.00	12.0	48,886.00	12.0	59,056.00	12.0	64,800.00
11-02 INDUSTRIAL DEV. ADVISER	33.2	180,739.00	11.6	61,084.00	8.1	45,301.00	10.0	54,000.00
11-03 INDUSTRIAL DEV. ADVISER	22.9	127,639.00	35.0	6,905.00	10.9	55,930.00	12.0	64,800.00
11-04 INDUSTRIAL DEV. ADVISER	35.0	158,331.00	11.0	36,515.00	12.0	57,016.00	12.0	54,800.00
11-05 SHORT-TERM CONSULTANTS	111.3	547,271.00	25.4	97,934.00	45.4	225,834.00	28.5	153,900.00
11-XX	236.4	1186,716.00	60.0	251,329.00	88.4	443,137.00	74.5	402,300.00
13-00 SUPPORT PERSONNEL		116,431.00		19,154.00		47,777.00		40,000.00
15-00 EXPERTS TRAVEL		23,100.00		510.00		4,064.00		15,000.00
16-00 OTHER PERSONNEL COSTS		6,000.00		1,394.00		2,152.00		2,454.00
17-01 LOCALLY HIRED EXPERTS	2.0	10,000.00					2.0	10,000.00
1X-XX	240.4	1342,247.00	60.0	272,387.00	88.4	497,130.00	76.5	459,754.00
29-00 SUBCONTRACTS		45,000.00						45,000.00
31-00 FELLOWSHIPS		183,976.00		16,306.00		44,570.00		110,500.00
32-00 STUDY TOURS, ETC. (UND)	94.0	16,700.00				1,700.00		15,000.00
33-00 IN-SERVICE TRAINING		51,695.00		16,306.00		6,695.00		45,000.00
3A-XX	74.0	252,371.00				52,985.00		170,500.00
49-00 EQUIPMENT		138,099.00		38,099.00		54,924.00		45,076.00
51-00 OPERATIONS - MAINTENAN		8,798.00		183.00		4,115.00		4,500.00
52-00 REPORTS		2,300.00		1,943.00		3,695.00		1,500.00
53-00 SUPPLIES		9,615.00		2,126.00		7,810.00		3,000.00
5A-XX		20,713.00						9,000.00
TOTAL	334.4	1798,430.00	60.0	328,918.00	88.4	612,829.00	161.5	739,330.00
							24.5	117,353.00

REMARKS
PENDING RECEIPT OF SIGNED PROJECT REVISION

Annex III
UNIDO CODES FOR SOURCES OF FUNDING

<u>Fund sources - technical assistance</u>	<u>UNIDO source of fund</u>	<u>UNDP source of fund</u>	<u>Projects approved by</u>	<u>Project numbers assigned by</u>
Regular Programme	(RP)		UNIDO/PC	UNIDO/PC
UNDP				
IPFs				
Indicative Planning Figure	(DP)	01	UNDP	UNDP
Government counterpart contribution in cash	(DC)	01	UNDP	UNDP
Programme Res	(DA)	12.15	UNDP	UNDP
Special Industrial Services	(SI)	51	UNIDO/PC	UNIDO/PC
Special Measures for LDCs	(SM)	21.45	UNDP	UNDP
UNIDF				
General Fund (new projects now coded UC or UD)	(UF)		UNIDO/PC	UNIDO/PC
General Fund (convertible currency)	(UC)		UNIDO/PC	UNIDO/PC
General Fund (non-convertible currency)	(UD)		UNIDO/PC	UNIDO/PC
Special Purpose Trust Funds	(US)		UNIDO/PC	UNIDO/PC
Transfer of Technology	(TT)		TT	UNIDO/ADM/FS
General Trust Fund				
General Fund	(VC)		UNIDO/PC	UNIDO/PC
Special Purpose Trust Funds	(VS)		UNIDO/PC	UNIDO/PC
SIS Trust Fund	(TS)		UNIDO/PC	UNIDO/PC
Trust Funds				
Government cash counterpart contribution payable directly to UNIDO	(CC)		UNDP	UNDP
Trust Funds	(TF)		UNIDO/ADM/FS	UNIDO/ADM/FS
United Nations Interim Fund for Science/Technology	(ST)	71	UNDP	UNDP
United Nations Population Fund	(PF)	33	UNFPA	UNFPA
United Nations Decade for Women	(IW)	72	UNDP	UNDP
Capital Development Fund	(CD)		UNIDO/ADM/FS	UNIDO/ADM/FS
Work performed for other agencies				
UNJDO as participating agency	(DU)		UNDP	UNDP
Joint UNIDO/IBRD Co-operative Programme	(IB)		UNIDO/ADM/FS	UNIDO/ADM/FS
Work done on a reimbursable basis	(AR)		UNIDO/ADM/FS	UNIDO/ADM/FS
United Nations Environment Programme	(EP)		UNEP	UNEP

Annex IV

BUDGET LINE AND COMPONENT CODES

PAD ^{a/}	DESCRIPTION	STATUS OF ALLOTMENTS	UNIDO CODES
11-AA	International experts	11-AA	11-AA
11-99	Sub-total	INTEXPERT 11-XX	11-99
12-AA	OPAS experts	12-AA	12-AA
12-99	Sub-total	OPASEXP 12-XX	12-99
13-00	Admin support	13-00	
	Admin support personnel	ADMINSUPP 13-01	
	Sub-total	LOCALSTAFF 13-XX	13
14-00	UN Volunteers	14-00	
	sub-total	VOLUNTEERS 14-XX	14
15-00	Project travel	15-00	
	Sub-total	TRAVEL 15-XX	15
16-00	Other personnel costs	16-00	
	Incentive stipends	INCENTIVE 16-01	
	Mission costs (UNIDO consultants)	MISSION - C 16-11	
	Mission costs (UNIDO staff)	MISSION - S 16-12	
	Participating agency - consultants	AGENCY - C 16-21	
	Participating agency - staff	AGENCY - S 16-22	
	UNDP direct costs (consultants)	DIRECT - C 16-31	
	UNDP direct costs (travel)	DIRECT - T 16-32	
	Sub-total	OTHER PERS 16-XX	16
17-AA	Locally hired national experts	17-AA	
17-99	Sub-total	LOC EXPERT 17-XX	17
19-00	Component total	PERSONNEL 1X-XX	19
	Subcontracts		
29-00	Component total	CONTRACTS 2X-XX	29
	Fellowships		
31-00	Sub-total	31-3B FELLOWS 31-XX	31
	Group training, study tours and (non-UNIDF) meetings	32-00	
32-00	Sub-total	STUDYTOUR 32-XX	32
	In-service training	33-00	
33-00	Sub-total	INSERVICE 33-XX	33
34-00	Group Training (non-UNDP)	34-00	
	Sub-total	GROUPTRG 34-XX	(N/A)
35-00	Meetings and consultations (non-UNDP)	35-00	
	Sub-total	MEETINGS 35-XX	(N/A)
39-00	Component total	TRAINING 3X-XX	39
	Equipment - expendable	EXPENDABLE 41-00	
	Equipment - non-expendable	NON-EXPEND 42-00	
	Premises	PREMISES 43-00	
49-00	Component total	EQUIPMENT 4X-XX	49

PAD	DESCRIPTION	STATUS OF ALLOTMENTS	UNIDO CODES
	Miscellaneous		
	Maintenance of vehicles	VEHICLES 51-00	
	Reporting Costs	REPORTS 52-00	
	Sundries	SUNDRIES 53-00	
	UNDP direct costs (prior 1974)	DIRECT 74 54-00	
	Hospitality (non-UNDP)	HOSPITALITY 55-00	
59-00	<u>Component total</u>	MISCOSTS 5X-XX	59
99-00	<u>Project total</u>	XX-XX	99

AA = Expert post number

BB = Fellowship number

CC = Study tour number

Annex V

PROJECT INDICATORS

Each projects is identified by a project status indicator in computer data base. These indicators permit UNIDO to monitor the progress of a project through its various stages from commencement of operations to final completion. The indicators also facilitate the provision to managers and other users of selective information e.g., of projects which carry the O indicator only; this is particularly important for substantive officers, who are not normally concerned with projects which are operationally completed. The following listed project indicators apply:

<u>Status</u>	<u>UNIDO project indicator</u>
Projects approved in the current year (A project approved in 1981 would be coded 'N' in 1981. On 1 January 1982 it would be converted to 'O').	N
On-going (operational) projects	O
Operationally-complete projects (Operational projects on which planned implementation has been completed)	C
Financially complete projects (Pending acceptance of final revision)	F
Financially complete projects (Final revision approved)	G
Cancelled projects (Projects on which there has been no implementation and on which there will be no implementation)	B

To meet the requirements the Industrial Development Board, every Regular Programme project must carry a field of activity indicator.

<u>Field of activity</u>	<u>Indicator</u>
Training programmes	Z
Fellowships (all regions)	Y
Special activities for LDCs	X
Regional advisers	W
Interregional advisers	V
Co-operation among developing countries	T
Consultations with Governments	R

Every UNIDF project must carry a field of activity/priority indicator.

<u>Field of activity</u>	<u>Abbreviation</u>	<u>Computer indicator</u>
<u>Programme component</u>		
<u>UNIDF priority areas</u>		
Special measures for the least developed, land-locked and island developing countries	LDC	L
Development and transfer of industrial technology and industrial information	TEC	I
Economic co-operation among developing countries	ECDC	E
Training programmes and strengthening industrial training institutions in developing countries	TRG	H
Industrial institutional infrastructure	INFR	J
Industries processing local natural resources, including export-oriented industries	NR	K
Industries satisfying basic needs and support to rural industries	BNRI	Q
Promotional activities	PROM	U
Other activities	OTH	A

Annex VI

PROGRAMME COMPONENT CODES

01	Policy-making organs
	IDB/PC
	Others
11	Executive Director
11.1	Executive Director's Office
11.2	Energy-related Industrial Technology
11.3	Co-ordination Unit for the Industrial Development Decade for Africa
11.4	Financing Group
11.5	Geneva
30	Division of Policy Co-ordination
30.8	Director's Office
30.1	Programme Development and Evaluation
30.2	Inter-Agency Programme Co-ordination
30.4	Field Reports
30.5	Non-Governmental Organizations
30.6	Least Developed Countries
30.9	Economic Co-operation among Developing Countries
30.3	Continuing Consultations
30.7	New York Liaison Office
31/32	Operations Division of Industrial
32.4	Director's Office
32.4	Interregional Advisers
31.2	Industrial Planning
31.3	Institutional Infrastructure
31.4	Factory Establishment and Management
31.5	Training
31.6	Feasibility Studies
31.7	Agro-Industries
31.8	Metallurgical Industries
31.9	Engineering Industries
32.1	Chemical Industries
32.2	Project Personnel Recruitment (Vienna) Outposted staff (NY) Outposted staff (Geneva)
32.3	Purchase and Contract Service
31.1	Investment Co-operative Programme
62	Division for Industrial Studies
62.6	Director's Office
62.1	Global and Conceptual Studies
62.2	Regional and Country Studies
62.3	Sectoral Studies
62.4	Development and Transfer of Technology
62.5	Industrial Information

- 70/71 Division of Conference Services, Public Information
and External Relations
- 70.1 Director's Office
- 70.2 Secretariat of IDB
- 71.0 Conference Services
- 70.4 Public Information
- 70.3 Relations with Governments and Intergovernmental Organizations

- 80 Division of Administration
- 80.1 Director's Office
- 80.1 Legal Liaison Office
- 80.1 Electronic Data Processing
- 80.3 Financial Service
- 80.4 Personnel Service
- 80.5 General Services

Annex VII

LOCAL DISBURSEMENTS

Each September, UNIDO's Financial Service asks CTA's to provide estimates of probable disbursements in local currency for the forthcoming calendar year.

These estimates are reviewed by the relevant substantive section in UNIDO and by Financial Management Section and the final amount approved is made known to the CTA concerned in December. As mentioned in the "Guide to Project Costing" these disbursements can then either be effected on the CTA's behalf by the Resident Representative, or by the CTA himself out of a petty cash account set up for him by the Resident Representative.

Estimates of disbursements in local currency should not include expenditure on the following which are subject to specific authorization by UNIDO:

- (a) International experts' services - dealt with by UNIDO/IO/PPR;
- (b) International travel of experts - subject to prior approval by substantive officers and specific financial authorization by UNIDO/ADM/FS;
- (c) Locally-hired national experts' services - subject to prior approval by substantive officers and specific financial authorization by UNIDO/ADM/FS;
- (d) Fellowships and study tours - dealt with by UNIDO/IO/TRG;
- (e) Sub-contracts - dealt with by UNIDO/IO/PAC;
- (f) Equipment costing more than \$500 per item - subject to prior approval by UNIDO/IO/PAC and specific financial authorization by UNIDO/ADM/FS;
- (g) Equipment to be imported under Field Purchase Authorization - requires prior approval by substantive officers and authorization by UNIDO/ADM/FS;
- (h) Hospitality - subject to approval by substantive officers and specific financial authorization by UNIDO/ADM/FS.

Charges incurred in the field pursuant to Letters of Authorization are transferred to UNIDO by means of the IOV system. UNIDO frequently receives queries about the lack of agreement between records of expenditure maintained in the field and the expenditure recorded in UNIDO's financial records. It should be borne in mind that, although every effort is made to ensure that proposed expenditures are covered by obligations, due to delays inherent in the IOV system actual field expenditures will not be recorded in UNIDO's accounts until at least one month has elapsed.

The following pages contain samples of documentation relating to estimates of local disbursements.

UNIDO

MOD 13 - 1 -
(2 - 10)

TO: PROJECT MANAGER: _____ (66 - _____)

PROJECT TITLE: _____

PROJECT NO.: _____

FROM: CHIEF, FINANCIAL MANAGEMENT SECTION

SUBJECT: LETTER OF AUTHORIZATION -
Allotments for Field Expenditures - 198

You are hereby authorized, as certifying officer, to expend during the year 198 the following amounts in connection with the above-mentioned project:

Budget line (40-44)	Purpose of expenditure	US Dollars (20-2)
13-01-	Secretarial assistance (incl. driver and/or any other locally recruited personnel)	\$
15-01-	Local travel of international experts	
41-01-	Consumable equipment and supplies, spare parts, periodicals, books Minor equipment (not exceeding a unit value of \$500.00)	
51-01-	Miscellaneous: Operation and maintenance of transportation equipment (project vehicle)	
53-02-	Sundry (excluding hospitality)	
TOTAL:		_____

Note

- a) The Resident Representative is authorized, if in his opinion it is necessary, to provide the Project Manager/Project Co-ordinator with petty cash advance up to 2 months estimated average expenditure to be incurred by him.
- b) Items of equipment to be imported under Field Purchase Authorization are not covered by this Letter. Please refer to chapter XIX, of the Chief Technical Advisers' Manual which also sets out the rules
- c) The amounts you are authorized to spend on this authorization will be disbursed in your local currency.

Certified: _____
Chief
Financial Management Section

Date: _____

XIX. ADMINISTRATION OF EQUIPMENT AND SUPPLIES

A. General

During their initial stay at UNIDO headquarters, Chief Technical Advisers will be fully briefed on rules applying to their responsibilities regarding the acquisition, use and disposal of equipment and supplies. The following sections are an abstract of these policies and rules; they focus on subject areas which may be of immediate concern to CTAs upon arrival at the project site. For details regarding specific points, CTAs should write to the Chief, Purchase and Contract Services, through UNIDO's substantive section concerned. Throughout it must be remembered that contracts or financial commitments may only be made by authorized officers in accordance with Rule 110.16 of the United Nations Financial Rules and Regulations. ^{1/}

B. Requisitioning

1. General

The initiation of all procurement and contracting transactions is based upon a properly completed, cleared, approved and certified requisition (form IO. 12; see sample in annex I). The preparation of the requisition is normally the responsibility of the Chief Technical Adviser. In specific cases, for instance in his absence, or for subcontracting, the requisitions may be prepared by UNIDO's substantive section. All requisitions (original and five copies) should be forwarded to UNIDO, Chief, PAC, through the substantive section concerned. PAC is responsible within UNIDO and vis-à-vis the field for all requisitions and related documents and correspondence. Cable requests for the procurement of supplies and equipment should also be addressed to PAC. Information copies of such requests are being distributed at the secretariat to the substantive (i.e. backstopping) section concerned. The substantive section is kept informed of the progress of procurement and subcontracting by information copies of all correspondence transmitted by PAC to the CTA and by copies of requisitions, purchase orders and contracts.

Requisitions for supplies and equipment should be submitted to headquarters as early as possible and normally at least six months in advance of the target delivery date to the project site. For major items of equipment, a longer period of time should be allotted.

2. Procedures for requisitioning equipment and supplies

Requisition form IO.12 must be completed and submitted in an original and five (5) copies to UNIDO, attention PAC, through the substantive section concerned, for action. Copy no. 6 should be retained by the originator. Only such items which are specified in the Project Document (and revisions) may be requisitioned. Reference to the appropriate chapter, paragraph, annex or table of the Project Document should be made under "description". Procurement is normally made by PAC, in which case the box "Headquarters purchase" should be marked accordingly.

^{1/} A copy of these Rules is available in the Resident Representative's office or upon request from UNIDO headquarters.

Under certain conditions, PAC may authorize field staff to effect local procurement. When local procurement authority is requested, the appropriate box should be checked and proforma invoices should be attached to indicate local duty-free prices and delivery times. Requisitions are not required by UNIDO headquarters for publications, spare parts and minor equipment up to \$200 unit value, covered by current approved Letters of Authorization issued by UNIDO's Financial Services. Requisitions must be numbered consecutively, starting with the year, e.g. 73/1 through say 86, then 79/1 etc. Indicate the page number and total number of pages included in the requisition. Show full project title and correct project number in the spaces provided.

The requisition must be legibly signed by the CTA or requesting officer.

Non-expendable items (budget line 42-01), expendable items (budget line 41-01), as well as publications must be covered by separate requisitions. Check whether expendable or non-expendable in the appropriate box.

A single requisition should normally not cover more than 25 items and should contain like items; e.g. vehicles, office equipment and laboratory instruments should not be on the same requisition. Each item must be consecutively numbered in each requisition. Should a requisition be required for more than 25 items in a specific category (e.g. chemicals for a laboratory), it should be referred to in the requisition as "various chemicals - see list attached", and a complete list of the items (numbered) should be appended to the requisition. The requisition must be legibly signed by the requesting officer.

Please note that quantities must always be given and units clearly specified (e.g. each, meter, set, dozen, liter etc.).

To identify the items on subsequent documentation, a brief description of no more than 40 letters and spaces should appear first, in capital letters, followed by any details required to ensure proper procurement. A detailed description, specifications, and purpose of the item should be included as a guide to determine the adequacy or "over adequacy" of the equipment, such as:

- (a) Manufacturers brand names and/or catalogue numbers as additional identifications; however, they will serve only as a guide for the provision of equivalent items, unless detailed justification for favouring a specific make or brand is provided in the requisition;
- (b) Range, accuracy, tolerance of instruments, colour, finish, style, metric or other scale, portable or fixed installation, voltage and cycle requirements;
- (c) Makes of vehicles conforming to UNDP standardization policy. Vehicle specifications should state whether left- or right-hand drive, kilometer or mile speedometer, two- or four-wheel drive, modifications and optional equipment are required.

Requisitioning officers may recommend suppliers, but are urged to give alternative sources, in view of the necessity for purchasing on the basis of competitive bidding. After-sales service (representation of the vendor in the area), repairs and availability of spare parts should be a prime factor when recommending a make or a brand name. Advertising will normally take place for items or related items covered by a single requisition or series of requisitions costing \$5,000 or more unless detailed justification is given for a waiver of competitive bidding.

Estimated costs must be shown in the appropriate column in US dollars at the current official UN rate of exchange. Surface transportation will normally be used for shipments. Air shipment will only be made in exceptional cases and will require detailed justification. As a rule, equipment and supplies should be ordered far enough in advance to avoid air transport.

When completing the box "Shipping instructions" it should be noted that:

- (a) The shipping address must contain the title of the project (not the name of the Chief Technical Adviser or a member of his or the national staff), and the address in full. The equipment is usually shipped to the Resident Representative of the UNDP unless special reasons to the contrary exist;
- (b) When shipment is to be made through an intermediate country, or when onward shipment to the project site from the Resident Representative's office is required detailed instructions for on-forwarding should be given.

Target dates should be realistic. A definite date should be indicated (not "as soon as possible" or "urgent") allowing sufficient time for the processing of the requisition, the advertising and evaluation of offers or bids, placing and filling the order and shipment.

The box marked "Special instructions" is to be used when multiple copies of invoices, bills of lading and shipping documents are required. When special packing is necessary because of expected rough handling or shipping, the requisitioning officer should include this information, or any other specific request or instruction.

3. Requisitioning of publications and documents

United Nations publications and documents may be requested by letter to UNIDO. Document symbols and sales numbers, where applicable, should be indicated. Specialized agency publications should be ordered directly from the agency concerned.

4. Shipment of technical supplies and equipment

A complete set of documents (i.e. shipping documents, commercial invoice and packing list) is sent directly to the Resident Representative by the vendor on instructions of PAC. It is the responsibility of the Resident Representative's office, in all but a few countries, to secure customs clearance and to ensure, in co-operation with the Chief Technical Adviser that the goods are routed directly to the office or project site from port of entry.

In addition, PAC sends two copies of the Shipping Advice (form IO.42 - see sample in annex II) to the Chief Technical Adviser in order to give him advance information that shipment has been made.

On receipt of the negotiable bill of lading and other documents sent by the vendors to the Resident Representative, the CTA in co-operation with the Resident Representative's office, should immediately contact a local forwarder and make timely arrangements for collecting and re-forwarding of the goods to the final point of destination. A transit time of two months by sea or two weeks by air should be considered as maximum time.

C. Local purchase and field purchase of equipment, supplies and publications

1. Local purchases

Each September, project managers are requested by the Chief, Financial Management Section, UNIDO, to submit estimates of probable disbursements in local currency for the forthcoming calendar year.

These estimates are reviewed by the relevant Substantive Section in UNIDO, and authorization is given by way of a "Letter of Authorization" certified by the Chief, Financial Management Section and covering, where appropriate, other budget lines in addition to equipment and supplies.

The procurement of equipment and supplies thus authorized is limited to an amount not exceeding the equivalent of \$500 per item or series of related items, for large scale projects only, whilst for small projects authorization should be obtained from PAC for purchases under \$500. It is not necessary to submit requisitions to headquarters for purchases thus authorized.

The accounting for local purchases is set out in chapter XVIII, annex VII.

The acquisition by local purchase of non-expendable equipment must be reported to PAC on the monthly report form TCD/2. For local purchases exceeding the equivalent of \$500, the procedures for requisitioning equipment and supplies under B2 above, apply.

2. Field purchases

This refers to a new form of purchase introduced in January 1981 whereby Chief Technical Advisers may effect purchases up to \$3,000 per purchase, with an overall limit of \$10,000, based on a "miscellaneous obligation document" (MOD).

Field purchase in this context means that the purchase order is placed with a firm outside the country of assignment. Bonded warehouses or firms selling goods duty-free are considered extraterritorial even if located within the country of assignment.

(a) Equipment and supplies

Orders are to be placed on the Field Purchase Order form (form IO.52 - see sample in annex III) which may be obtained from PAC. However, this form must not be used for local purchases described under section B2, above. The Field Purchase Order Form comprises six parts:

- A white (original) and a second white (confirmation) copy, both of which are forwarded to the vendor;
- A yellow copy (duplicate) forwarded to the vendor;
- A blue copy (triplicate) forwarded to the vendor;
- A green copy (quadruplicate) forwarded directly to the backstopping officer in IO, UNIDO; and
- A green copy (quintruplicate) retained by the originator.

The supplier is required to return the second white (confirmation) copy to the originators of the order, thus confirming his acceptance of the order. The supplier is also required to forward to UNIDO headquarters the duplicate (yellow) copy and the triplicate (blue) copy together with his invoice and supporting documents.

The officer placing the order must ensure that the requirements of the country in which he is serving are fully satisfied, so far as the provision of documentation is concerned, by the terms set out in the "Terms of Payment and required Documents" on the back of the Field Purchase Order. If they are not, he must inform the supplier accordingly.

The officer signing the order is responsible for ensuring that the cost, including freight, does not exceed the limit of \$3,000 or equivalent. The Field Purchase Order Form must be completed carefully and in detail. The vendor must be given precise instructions as to shipping marks and the address to which the goods and the documents are to be sent. (See sample letter in annex IV.)

All Purchase Order forms are pre-numbered. In the space marked "project code" indicate:

- (i) Project code number (e.g. DP/MEX/77/008); and
- (ii) MOD number as quoted on the Letter of Authorization issued by Chief, Financial Management Section, UNIDO.

The letter under cover of which the Field Purchase Order is sent to the vendor must make it clear that:

- (i) There can only be one delivery and only one invoice;
- (ii) Any goods not supplied on the first delivery are considered cancelled; and

- (iii) All correspondence on the subject of Field Purchase Orders must be addressed to the originators.

As pointed out in the sample letter to suppliers (annex IV), payment for goods supplied against filled Purchase Orders will be effected by UNIDO headquarters.

Before ordering typewriters or other office equipment CTAs should ascertain from the Resident Representative whether such equipment is in custody from other UNDP projects and could be used instead of purchasing new items.

(b) Purchase of books and subscriptions to periodicals

Field Purchase Orders used for ordering books or subscribing to periodicals must be completed with the same meticulous care as those for equipment. As for equipment and supplies the individual Field Purchase Order must not exceed \$3,000 in value, including freight.

For books and subscriptions to journals or periodicals separate order forms should be used. In case of subscription, each Field Purchase Order must not contain more than one subscription. State precisely the period to be covered by the subscription and point out that renewals cannot be expected automatically but will be ordered, if necessary, in due course.

CTAs or other authorized project personnel should order books or purchase subscriptions to periodicals directly from any of the firms listed below:

B.H. Blackwell Ltd.
Broad Street
Oxford OX1 3BQW
United Kingdom

Blackwell North America
Ringweg 1
D-7800 Freiburg-Opfingen
Federal Republic of Germany

Heffers Booksellers
20 Trinity Street
Cambridge CB2 3NG
United Kingdom

Musgaard Export and Subscription Service
35 Norre Sogade
D-1370 Copenhagen K
Denmark

CTAs must ensure that books are ordered from a supplier located nearest to the country of assignment, in order to economize on postage or freight. Obviously, only books with direct reference to project activities should be purchased. The same applies to subscriptions to periodicals.

It is advisable not to order too many books with one Purchase Order since in most cases the bookseller will not have all titles ordered in stock but must obtain them from publishers. The condition that there must only be one invoice for each Field Purchase Order could create delays. In some cases a bookseller might instruct publishers to send books directly to the project, but billing the bookseller who will submit a consolidated invoice to UNIDO for settlement. This method is chosen whenever it is the more economical way with regard to freight and postage which otherwise would have to be paid twice, once from the publishers to the bookseller and from there to the project.

Another deviation from the described procedure for field purchase is accepted when using Field Purchase Orders for subscriptions to periodicals. It is normal practice that in such cases payment will be effected by UNIDO upon receipt of the invoice, although delivery of the periodicals to the project will take place whenever they are published. Also, different periodicals will not be collected and sent in one consignment.

The authorized officer ordering books or subscriptions to periodicals is expected to handle all correspondence with suppliers or publishers himself without involving UNIDO headquarters.

Information on scientific articles, standards, United Nations documents, research reports etc. may be obtained from the Industrial Information Section, DIS, UNIDO.

(c) Accounting procedures for field purchases

Initially, CTAs should review their financial requirements for purchase of equipment and for books or periodicals and apply to Financial Management Section, UNIDO, through their respective branch, Division of Industrial Operations, UNIDO, for the necessary authorization, not exceeding \$10,000. Following agreement by the Division of Industrial Operations, financial authorization will be cabled by the Head, Financial Service to the field office, and the project will be charged with the amount authorized, by way of a Miscellaneous Obligation Document (MOD) raised by the Financial Management Section.

When authorized funds have been largely utilized, further authorization may be applied for.

CTAs are responsible for recording all Field Purchase Orders against the amount authorized in the Letter of Authorization and to ensure that total commitments in Field Purchase Orders do not exceed the authorized amount.

All non-expendable equipment purchased locally or abroad under cover of a Field Purchase Order or from local imprest account must be entered on the Non-expendable Property Control Record (form AD.40/Rev.2). Details including serial numbers must be reported to PAC, UNIDO on form TCD.2 as explained above

D. Property control

1. General

Property is defined as including all tangible and movable installations, equipment, supplies, materials, tools, spare parts etc. acquired for a project. Non-expendable property is considered to be such property, the normal life in use of which is at least five years and its value \$250 or more. It may include special items under \$250 but over \$25 that are particularly "attractive", e.g. cameras, other photographic and recording equipment, technical instruments etc. The condition that the item should be movable does not exclude items which are bolted down but does exclude items built into the premises which could not be moved if the premises were vacated. All property not pertaining to the above definition is considered to be expendable property.

2. Property value

The property value is the estimated cost of the property, and should be stated in United States dollars. Normally the price given in the Purchase Order (exclusive of freight and insurance) shall be indicated as the property value. For items acquired locally, the CTA or Accountable Officer shall indicate the actual cost price (equivalent in US dollars) as the property value. For items provided by the Government in kind, an estimated value based on the local purchase price and the US dollar equivalent shall be indicated as the property value.

3. Inventories

Physical inventory means a listing of items taken at a specified date for the purpose of verifying the existence and location of all property (including stocks-in-hand). Stock or stocks-in-hand cover all property received by the CTA or Accountable Officer but not yet put into use. Taken on charge means property received and recorded in the records of the project for which the CTA or Accountable Officer is in charge.

The CTA or Accountable Officer shall acknowledge receipt of equipment and supplies by returning one signed copy of the Shipping Advice (form IO.42, see annex II) to UNIDO headquarters, Vienna, attention PAC. The CTA or Accountable Officer is directly responsible for the custody and care of all property at the project site for which he has acknowledged receipt. Besides headquarters inventories, separate inventories shall be kept at the project for expendable and non-expendable items. The record shall indicate the source of acquisition, whether received from headquarters, in kind from the Government, or through local purchase (Property Record Card, form AD.22). A monthly report (form TCD.2) covering non-expendable property acquired by local purchase, on loan from other projects or loaned to other projects shall be submitted to PAC on the last working day of the month in which the transaction took place.

In December of each year, PAC will provide the CTA or Accountable Officer with copies of the Non-expandable Property Control Record form showing all property purchased by headquarters as well as that property purchased locally from UNIDO funds which has been reported to PAC. As of 31 December or the closest practicable working day thereto, a physical inventory should be taken of all project property, in accordance with detailed instructions accompanying the Property Control Records. The completed forms should be returned to PAC not later than 31 January of the following year.

Non-expendable property may only be disposed of after receipt of specific authorization from PAC. In the event that non-expendable property is lost, damaged, or worn out to the extent that it would require repairs costing more than would be economical, the CTA or Accountable Officer should report to PAC. The report should include the purchase order and item number, description, value, pertinent serial or model numbers, and also a statement of the circumstances surrounding the lost or damaged property and/or an estimate of the repair costs. It should indicate who is responsible and recommend any action to be taken. PAC will immediately inform the UNIDO Property Survey Board and will assist in carrying out the decision of the Board as appropriate.

Where a CTA or Accountable Officer leaves a project before its completion, or before the equipment charged to the project is transferred or otherwise disposed of, he should first take a complete physical inventory, and then transfer accountability to the new officer-in-charge, or in the absence of such an officer to the Resident Representative, retaining in his possession a receipt for the transfer. Transfer of accountability forms are supplied by PAC.

Since in most cases project equipment will be turned over to the Government for continued use on the project after UNDP assistance ceases, the Government must receive at the time of transfer complete inventory records relating to the transferred balances, including an adequate supply of spare parts.

E. Disposal of United Nations property

1. Authority

Property which becomes surplus during the operational life of the project or unserviceable through obsolescence or normal wear and tear, shall be reported by the CTA to PAC, UNIDO, after agreement with the Resident

Representative has been reached. The Resident Representative should give to PAC in writing his approval of the proposed mode of disposal of surplus property.

The CTA should consult with the Resident Representative before recommending disposal. Material should be carefully inspected by the CTA in person before reported surplus or unserviceable. PAC will submit the declaration to the UNIDO Property Survey Board. Surplus items are normally transferred to other projects, but under no circumstances are transfers to be made without UNIDO headquarter's approval. Headquarters will only give that approval after it has obtained UNDP agreement.

2. Declaration of surplus and inspection

A declaration of surplus and inspection addressed to PAC, should include:

- (a) A complete description of the property including catalogue number, serial number when applicable, inventory value and quantity;
- (b) Circumstances under which the property became surplus to operating requirements, obsolete or worn; and
- (c) Recommendation as to method of disposal.

3. Sale of surplus property

Following a recommendation by the UNIDO Property Survey Board, sales of surplus property shall normally be made after competitive bidding. Exceptions to competitive bidding may be made:

- (a) When the estimated sales value of the property is, in the opinion of the UNIDO Property Survey Board, less than \$1,000;
- (b) When the best interests of the United Nations will be served by sale at fixed unit prices approved by the UNIDO Property Survey Board;
- (c) When the exchange of surplus property in partial or full payment for new equipment or supplies will, in the opinion of the Board, afford an advantage to the United Nations over the surplus property and separate purchase of new articles (trade-in);
- (d) When the destruction of the surplus or unserviceable material so warrants;
- (e) When the best interests of the United Nations will be served by disposal by gift or sale at nominal prices to a Government, government agency or to a non-profit making organization.

Sales of United Nations property shall be made on a cash basis payable on or before delivery. The Chief of Financial Management Section (FMS), UNIDO, may make exceptions to this rule when he deems it in the interests of the United Nations to do so. Such exceptions shall be recorded in writing.

4. Methods of sale or disposal

Competitive bidding

If UNIDO's Property Survey Board concurs in the local sale of such property and equipment, the procedure is as follows:

Advertisements will be placed in at least two local newspapers offering the items for sale and requesting sealed bids to be submitted by a prescribed date. The advertisement should carry a description of the items and should further state the equipment is to be bid and sold on an "as is - where is" basis; UNIDO reserves the right to reject any and all bids. The advertisements should contain a reminder that the successful bidder must satisfy the Government as to any import or sales taxes due against the item and that payment for the item must be made in cash before delivery. (In countries where such taxes must be paid in advance of the sale, the amount of tax due should be included in the advertisement. Payment of the tax in advance may be made from the imprest account, charging accounts recoverable locally (ARL). When the sale is made, the ARL is repaid and the balance of the receipts is credited to the appropriate account.)

The sealed bids should be carefully recorded as to date and time of receipt. No bids should be accepted after the closing time specified in the advertisement and bids received later should be returned, unopened, to the sender, unless circumstances warrant other action, as approved by the CTA. The bids should be opened in the presence of at least two responsible staff members, including one international. Names of bidders and amounts of bids should be listed, with the award made to the highest bidder. This list and the name of the successful bidder should be included in the report to headquarters, with proper reference to the case number.

In the following instances, all bids should be rejected and the sale re-advertised:

- (a) When there is a tie bid and written agreement to the toss of a coin cannot be obtained from the two bidders;
- (b) When the highest bid is not sufficient to cover any taxes which may have been paid in advance by the CTA; or
- (c) When, in the opinion of the CTA, the highest bid does not represent a fair value of the item offered for sale.

Contract

In competitive bidding it could be of advantage to establish a contract with the highest bidder for the continuing sale of material such as waste paper over a period of time (e.g. one year). Each sale should be covered by form TCD.10, Notice of Sale, a sample of which is given in annex V.

Negotiation or "spot sales"

This method applies when the estimated value of the property is less than \$1,000 and bidding will not provide the most practical results. Prospective buyers are usually approached by telephone, letter, or in person, and after inspecting the property they will submit informal bids to the CTA either by phone, in writing, or in person. A date and time limit will be set on such bids as in formal bidding. Sales will be covered by Notice of Sale (form TCD.10).

Sale by fixed price

Sale by fixed price must be recommended by the Property Survey Board which also approves the prices set. This method ensures a minimum and fair return to the United Nations on property for sale, as the price will have been set after careful consideration of the value of the property in question. The value can be stated in advertising to prospective commercial buyers; however, it may be more advantageous to indicate that it is a minimum price and that the highest offer will be accepted. The fixed price method may be used in sales restricted to members of the project provided the price ensures a minimum and fair return and is approved by the Property Survey Board. All such sales must be covered by Notice of Sale (form TCD.10). Project personnel may reply to all offers of sales.

Trade-in

When this is an advantage over disposing by separate sale, disposal will be covered by Notice of Sale (form TCD.10).

Destruction

When destruction of surplus or unserviceable property proves more economical or practical because of useless condition, requirement by law or because of confidential nature, disposal will be covered by Notice of Sale (form TCD.10).

Gift or nominal price

When recommended by the Property Survey Board, such disposal will be covered by Notice of Sale (form TCD.10).

5. Display

To identify surplus property for sale purposes, each piece should be tagged with a number corresponding to the item number on the surplus list or bid. This will facilitate inspection by prospective buyers and final awards.

6. Notice of award and billing

It is the responsibility of the CTA, or the Resident Representative acting on his behalf, to send a notice of award to the successful bidders to bill them for sales.

7. Terms and conditions of bids

To prevent possible misunderstanding or legal difficulties, it should always be clearly indicated if the property is damaged, used, serviceable, or in need of repair, when it is advertised. Equally important is the inclusion, if possible, of such statement as "while no warrantee is given or implied, equipment is believed to be in usable condition".

It is customary to request a deposit of not less than 10 per cent of the amount bid. If it is a large sum, a certified cheque is required. Deposits will be returned to unsuccessful bidders with a letter of explanation. After a bid has been accepted (and a contract of sale thus established), the deposit becomes United Nations property and it may not be returned to the bidder except with the approval of FMS.

It is important that the exact location of surplus property be described in surplus lists and the condition under which property is being sold; "as is, and where is, and without recourse" should be included. Buyers should be urged to inspect the property before submitting bids. A limited time should be allowed following the sale for the removal of property, usually five days.

8. Notice of Sale - Bill of Sale (form TCD.10, annex V)

Purpose

This form serves as the one action document for the execution of approved recommendations of the Property Survey Board on the disposal of surplus United Nations property. Its use and issue are based on the approved minutes of the Board. Each set of forms is numbered and issued by PAC upon request of the CTA whenever a sale or disposal has been approved by the Property Survey Board.

Distribution of copies

The form consists of a pre-numbered set of eight copies, i.e.: an original (unnumbered) and seven copies (numbered 1-7). Except in the case of disposal of property as a gift, by destruction, loss or notification of action taken away from headquarters, the eight copies should be distributed as described below:

- (a) Original (Bill of Sale) - Purchaser. The original is the "Bill of Sale". Upon receipt of full payment, the CTA completes and signs the form to this effect. The completed original copy constitutes a formal acknowledgement of receipt of payment and the authority for the purchaser to claim the material bought. It constitutes, in fact, a transfer of title from the United Nations to the buyer;
- (b) Copy no. 1 - Notice of Award - Purchaser. This copy is sent to the purchaser as a notice that the material will be sold to him. It shows receipt of deposit paid and balance due. The buyer is advised that, upon receipt of payment in full, a "Bill of Sale" (original copy) will be issued, authorizing removal of the material purchased;
- (c) Copy no. 2 - UNIDO Property Control, PAC. By this copy, the Property Control Unit is advised of the completion of sale and removal of material. This copy is their authority to make necessary adjustments in the inventory records;
- (d) Copy no. 3 - UNIDO, Financial Service. By this copy, the Financial Service is informed that a sale has been effected and the amount received is indicated;
- (e) Copy no. 4 - UNIDO, FMS. By this copy, the Financial Management Section is advised of the completion of the sale and the receipt of full payment. This copy constitutes authority to make necessary adjustment to the records;
- (f) Copy no. 5 - UNIDO, Sales File - Property Survey Board. By this copy, the Secretary of the UNIDO Property Survey Board is advised that the sale has been completed in accordance with the approved recommendations of the Board;
- (g) Copy no. 6 - Chief Technical Adviser. This copy is retained by the CTA and is his authority to adjust his inventory records;
- (h) Copy no. 7 - Property Pass. Authority for the purchaser to remove the property from the premises.

Procedure for disposal as gift, by destruction and notification of loss or action taken away from headquarters

The form is completed and signed by the CTA as described before, only that the acquisition cost of the item is entered this time, except for gifts.

For disposal as gift distribution is made as follows:

- (a) Original - forwarded to recipient, as notification;
- (b) Copies no. 1 and 3 - destroyed;
- (c) Copies no. 2, 4, 5 and 7 - sent to PAC, UNIDO;
- (d) Copy no. 6 - retained by the CTA.

In the case of destruction of property, loss or action taken away from headquarters, the copies of the Bill of Sale are distributed as follows:

- (a) Original and copies no. 1, 3 and 7 - destroyed (unless extra copies are required);
- (b) Copies no. 2, 4 and 5 - sent to PAC, UNIDO;
- (c) Copy no. 6 - retained by the CTA.

Only when property is disposed of by destruction, the form should bear a note reading "witnessed destruction" and this statement should be signed by a senior member of the project personnel.

9. Proceeds of sales

Proceeds of sales in local currency obtained by the CTA through competitive bidding will be deposited with the Resident Representative and will be credited to UNIDO, Vienna, by IOV.

On receipt of the IOV by UNIDO, the Chief of FMS, will advise the Chief of Financial Service to credit the project account accordingly.

F. Insurance of equipment and supplies in transit

1. General

All shipments of technical assistance equipment and supplies covered by a purchase order and exceeding \$250 in value, excluding CIF, are insured with the American Motorists Insurance Company, New York, under Open Cargo Policy OM50606 and War Risk Policy DM50606. The insurance commences from the time the equipment or supplies leave the factory or store and terminates upon delivery or the expiry of 15 days after discharge at port of destination, or 30 days if the final destination is outside port limits, or 60 days in South America, or 90 days via the Magdalena River, whichever first occurs. Coverage is automatically extended in the event of deviation, delay or stoppage in transit short of final destination if due to circumstances beyond control. If interruption in transit becomes known, PAC should be notified promptly. The following information will be needed: (a) cause of delay; (b) date of arrival; (c) particulars of storage; (d) duration of storage.

2. Concealed damage

UNIDO retains the right to claim for loss or damage found upon opening of the packages or cases after arrival at final destination, but not exceeding 360 days from date of delivery to job site and solely under the condition that no immediate inspection can be carried out

due to non-availability of testing facilities.^{2/}

3. Claims against carrier

Sea Shipments

- (a) Damage or loss. Notice in writing on the general nature of damage or loss must be given to the ocean carrier or his agent at the port of discharge before or at the time of removal of the shipment into the custody of the consignee or the appointed agent entitled to delivery thereof, or if damage or loss is not apparent, within three days. It is important to obtain an "exception" from the carrier when taking possession of an obviously damaged or pilfered shipment. Clearing or forwarding agents have to be instructed to fully comply with these provisions.
- (b) Non-delivery. In the event of a shipment not arriving at the port of destination within two months from the date of issue of the bill of lading, the carrier or his agent should be contacted in order to ascertain the cause of the delay. On losses involving an entire shipment or part thereof a confirmation of non-delivery (loss) has to be obtained from the responsible party, i.e. carrier, customs etc. for any or all cases short-landed, stolen or destroyed.
- (c) General average. The master or owners of a vessel declare general average whenever, for the common good in the time of danger, an international sacrifice of ship or cargo has been made, or an extraordinary expenditure has been incurred. In actual practice, general average results mainly from strandings, fires, collisions and from engaging salvage assistance or putting into a port of refuge following a machinery breakdown or other peril. Security is required by the agent of the vessel in the shape of a cash deposit or underwriter's guarantee; the following information will be needed: date, place and type of casualty vessel suffered; name and address of owners or average adjuster; owner's agreement to accept guarantee in lieu of cash deposit which must be posted and the general average deposit receipt should be forwarded to PAC at the first available opportunity.

Air shipments

Notation has to be made on the delivery receipt when there are visible signs of damage or loss, and a claim notice in writing has to be given to all air carriers involved within seven days after release of the shipment from the custody of the air carrier. This applies also to damage or loss discovered after a clean receipt was given to the air carrier.

^{2/} Externally damaged packages or cases must be opened immediately for examination of the contents. All delivery receipts have to be retained until inspection of contents shows that no damage or loss in transit has occurred. Loss or damage occurring while in storage at final destination is not recoverable under the Transit Policy.

Non-delivery. Claim for non-delivery must be filed in writing against all air carriers involved within 120 days from the date of issue of the airway bill and a confirmation of non-delivery (loss) has to be obtained from the responsible party; i.e. carrier, customs etc. for any or all packages missing, stolen or destroyed.

Rail or truck shipment

- (a) Damage or loss. Notice in writing has to be given to the carrier when taking possession of an obviously damaged or pilfered shipment and a statement of damage or loss has to be obtained from the railroad authorities of the trucker's company respectively. The extent of damage or loss should also be indicated on any receipts that are signed by the consignee.

Note that it is important to secure information on the date of expiration of suit time from the responsible carrier and to protect the rights of recovery by extensions which would allow claims to be made in good time;

- (b) Non-delivery. Same procedure as outlined under sea shipments (transit time four weeks).

Air or surface parcel post

- (a) Damage or loss. In case of damage or loss the same procedure applies as outlined under rail or truck shipments. Claim to be filed with the receiving post office;
- (b) Non-delivery. In the event of a parcel not arriving within reasonable time, PAC should be requested to file a tracer with the dispatching post office.

4. Documents to be forwarded to PAC for settlement of claims

Damage or pilferage

An original survey report is required when the claim exceeds \$200. It is obtainable from one of the agents registered either with the Resident Representative's office, UNIDO's PAC, the nearest representative of Lloyd's of London, or the American Institute of Marine Underwriters. In areas where no authorized agent or representative is available the survey report may be prepared by an accredited governmental agency. The survey fee is part of the claim. Underwriters make compensations in accordance with statements enclosed in the survey report, therefore, it is important that these statements fully coincide with UNIDO's CTA's findings on damage or loss.

The consignee's statement should contain the following:

- (a) An exact description of the damaged or pilfered items or damaged integral parts of machinery;

- (b) A copy of claim against the carrier;
- (c) The carrier's reply or acknowledgement of claim;
- (d) Customs or Port Authority's certificate;
- (e) A weight certificate (this applies when the weight differs from the one indicated on the B/L);
- (f) Delivery receipt (copy);
- (g) Packing list(s);
- (h) Repair bill or estimate of repairs;
- (i) Replacement bill (applies only when parts are purchased locally).

Non-delivery

In case of non-delivery no survey report is required, but the following documents:

- (a) Original of confirmation of loss or a short-landing or non-delivery certificate issued by the responsible part;
- (b) All original (negotiable) bills of lading (required when the total number of cases indicated on the pertinent bill of lading is missing);
- (c) Consignee's statement of loss.

A listing of the agent(s) of the insurance company concerned may be obtained in the Resident Representative's office.

G. Project vehicles

1. General

There are two categories of project vehicles: those provided for the operational requirement of a project and those provided for the local transport of project personnel. Vehicles may be supplied by project funds or by the Government in kind. 3/

(a) Operational vehicles supplied under the UNDP contribution

Such vehicles are generally of specialized design to perform special function: e.g. trucks, jeeps, tractors, trailers, earth-moving equipment etc. Their costs of operation and maintenance are usually considered part of the Government counterpart contribution and will appear as a separate item in the counterpart project budget. Their use should be controlled by the CTA to ensure efficient project performance. The Project Document should specify the extent of control which the CTA will exercise over the use of operational vehicles. Depending on the extent to which project direction has passed over to the Government, the selection of drivers, the payment of operating and maintenance costs, insurance and registration, and full utilization of the vehicles should be done in consultation with the CTA. Upon completion of the project, operational vehicles will normally be handed over to the Government.

(b) Vehicles for local transport supplied under the UNDP contribution

These vehicles are as a rule provided in **strictly limited numbers**. Their cost of operation should normally be provided by the Government from its counterpart contribution. However, the CTA should retain full control of the use of these vehicles. In some cases, the operation and maintenance of these vehicles are specified in the Project Document as part of the UNDP contribution. Upon completion of the project, title to the vehicles will not normally be transferred to the Government - as a rule, they will be assigned to other projects or sold. The Resident Representative will make recommendations to UNIDO.

(c) Registration of project vehicles

All vehicles provided as part of the UNDP contribution should be registered in the **country** of assignment in the name of UNDP. The Resident Representative is in a position to provide the necessary assistance in this respect.

(d) Marking of project vehicles

All UNDP vehicles should be marked (10-inch decals are available from UNIDO HQ) as being the property of UNDP, and such

3/ Vehicles provided in kind by the Government are not covered by the following rules.

markings should be clearly and readily visible. The markings may include other appropriate information such as the designation of the project.

2. Vehicle standardization

The vehicles provided - operational vehicles as well as vehicles for local transport - shall be the most economic and best suited for their purpose, roads and climatic conditions. After-sales service, representation of the vendor in the area and availability of spare parts are also prime factors for selection of a particular make or type. A standardization for each country has therefore been decided upon, giving for each main type of vehicle a recommended make or type and in most cases one or two alternatives. No requisition will be processed and no local purchase will be authorized unless this standardization is adhered to, or proper justification is given why none of the standardized makes or types will serve the purpose, unless the deviation from the standardization is endorsed by the Resident Representative.

The CTA will ascertain from the Resident Representative's office which makes or types are standardized for the project area. The standardization will be revised when appropriate. Requisitions for vehicles are to be issued (in accordance with the Project Document) in the same manner as for all other kinds of equipment. Special accessories such as air-conditioning will be provided only on the basis of the Resident Representative's endorsement.

3. Vehicle insurance

In accordance with the Project Document (and the basic agreement between UNDP and the recipient Government) it is the responsibility of the Government to keep all United Nations property including vehicles insured against damage and loss. The CTA must check that the Government fulfils this responsibility and, if necessary, request through the Resident Representative that this be done.

All project vehicles whether owned by or loaned to UNDP or UNIDO are covered against third-party liability under a Global Policy No. 7777-6930 with the Great Northern Insurance Company, (Chubb and Son). The insurance becomes effective immediately upon arrival of each vehicle in the country in which the project is being executed. In the case of vehicles not shipped into the country but procured locally, the insurance becomes effective when title is passed to UNDP or UNIDO. The insurance also covers vehicles loaned to UNDP or UNIDO.

It is essential that the CTA submits the following information to PAC as soon as possible after receipt of a vehicle so that the data may be passed on to the insurance company:

- (a) Date of receipt
- (b) Make and type
- (c) Engine number
- (d) Chassis number
- (e) Local registration number

The insurance remains in effect as long as the title remains vested in UNDP or UNIDO or as long as the vehicle remains loaned to UNDP or UNIDO, and will automatically be terminated by UNIDO HQ if and when the vehicle is sold, transferred to the Government or removed from the country. Therefore, the CTA shall immediately report when the loan of a vehicle is terminated, or when a vehicle is stolen or damaged beyond repair so that the insurance coverage may be terminated.

For some countries the United Nations Global Policy will not satisfy the requirements of local road acts or other forms of automobile liability insurance required by local laws. In such cases, the Policy cannot be used as evidence of such compliance, either for registration or in the case of accident. If the host country has such statutory requirements to which the United Nations must conform, a local policy should be purchased for the minimum limit of liability. The purchase of local insurance covering damage or loss to an automobile owned by or loaned to UNDP or UNIDO (i.e. fully comprehensive insurance) should, in general, not be necessary. In cases where it is the policy of UNDP to purchase local insurance, or where the Resident Representative specifically endorses the purchase of such insurance, it may be bought and paid for from project funds.

Payment for the insurance under the Global third-party liability insurance is made from the UNDP contribution. Payment of local insurance policies, if any, shall be made from the government counterpart contribution in kind or cash. The UNDP contribution may be used for this purpose only after the prior authorization from the Resident Representative. Under the Global third-party liability insurance the vehicle will be covered (additional to any local policy as mentioned above) up to \$300,000 per occurrence. The Global third-party liability insurance also covers employees of the United Nations and UNDP against third-party claims arising as a result of their driving an automobile owned by or loaned to UNDP or UNIDO.

Moreover, third-party claims against any person not an employee of the United Nations or UNDP also come within the policy protection, provided that at the time of the accident they were driving with the permission of a UN or UNDP official authorized to give such permission. To illustrate, an employee of a contractor of the United Nations or of a recipient Government, who is involved in an accident while driving an automobile owned by or loaned to the United Nations or UNDP, would be protected by the insurance policy against any claim for personal injuries, death or damage of property asserted by a third party, if he or she had been duly authorized to drive the automobile.

(If the driver of an insured automobile is not an employee of the United Nations but was driving with the permission of a United Nations or UNDP official authorized to give such permission, and can support a claim that injuries arose as a result of the negligence of the United Nations, the insurance company will compensate him or her for injuries.) Resident Representatives and CTAs are deemed to possess the authority to give such permission. Whether or not any other official on their staff will also be deemed to have such authority will depend upon the powers delegated to them by the Resident Representative or the CTA. The insurance policy does not require that the permission to drive an insured automobile be expressed in writing.

However, the insurance provided by HQ, in no way applies to automobiles rented locally. It is, therefore, essential that the written agreement signed by a CTA for the rental of an automobile expressly stipulates that, the United Nations, UNCP and the driver are insured against third-party claims for personal injury, death or damage to property.

Since an automobile is usually rented for a short period of time, the cost of insuring it against damage is relatively small, and the CTA may, if deemed advisable also include a provision for such insurance in the rental agreement.

In accordance with Resolution 22(1) of the 31st Plenary Meeting of the General Assembly, all United Nations staff (including international, local and semi-local personnel) who own or drive automobiles are required to carry insurance in an amount adequate to insure them against claims arising from injury or death to other persons, or from damage to the property of others caused by their automobiles. In cases where the Resident Representative considers that project vehicles may be used for passengers who are not already adequately covered by insurance, he or she may authorize the purchase of special passenger insurance, and may authorize that the insurance be paid from project funds.

4. Control and use of vehicles

The CTA shall control the use of all project vehicles, their storage, operation, repairs, maintenance and insurance and shall control the drivers of the vehicles. He or she may designate an officer to be in charge of transport (OIC Transport). When vehicles are dispersed over several sites, the Team Leader must designate an officer at each site to be in charge of transport at the site. Safe parking and storage must be provided for all vehicles. Vehicles should be garaged whenever possible. When several vehicles are assigned to any one site they should be kept in a central garage or compound with proper security under the control of the OIC Transport. Vehicles must always be kept locked when they are not in use and their keys turned in to the OIC Transport.

A trip ticket should be issued by the CTA or OIC Transport each time a vehicle is issued. (For model see annex VI.) Trip tickets should be reproduced locally. The trip ticket may be issued for either a single trip involving more than one day, for a day or for a series of related trips of short duration. Drivers should return the trip ticket with their section properly completed and signed by driver and passenger, along with the keys to the vehicle on completion of the trip or at the end of the day, as appropriate.

A log-book (annex VII) should be maintained for each vehicle. Log-book forms should be reproduced locally. Entries must be made for fuel issued, mileage driven and periodic averages of fuel consumed (miles per gallon or kilometres per litre). Substantial deviations from test mileage or from a previous period must be fully explained. Normal maintenance following the manufacturer's recommendations or required by local conditions must be recorded as well as breakdowns, accidents, repairs or thefts of parts etc. The CTA and OIC Transport should periodically check all log-books to ensure that proper servicing and normal fuel consumption is maintained.

To ensure safe and efficient operation, it is the driver's **responsibility** to examine the vehicle before each trip, adhering to the check list on the trip ticket. Any faults must be corrected before the vehicle is used.

It is essential that the CTA has full control over all vehicles purchased with UNDP funds. The CTA or the counterpart should normally also control vehicles provided as part of the Government's in-kind contribution to ensure that they are properly utilized for project purposes. Except in cases of emergency, vehicles shall be driven only by persons authorized to do so by the CTA. Wherever practicable, particularly when a vehicle is being used for purposes not obviously directly **connected** with the expert's duties, it should be driven by the project driver.

Drivers for operational vehicles are normally provided by the Government. Drivers for local transport vehicles are normally hired by the CTA and their salaries charged to the miscellaneous component of the UNDP contribution to the project when the Government does not pay these costs. A driver shall normally be assigned to each vehicle and only this driver should be authorized to operate this vehicle. International staff may exceptionally be authorized to drive project vehicles when it is, in the opinion of the CTA, in the best interests of the project. The CTA will ensure that such staff are qualified to drive the vehicle, and that they hold a licence valid in the host country.

Vehicles are provided for the purpose of facilitating the transport of project personnel in the performance of their

duties and to provide certain essential facilities for project staff and their families where no adequate means of public transportation exists. Subject to the CTA's establishment of any necessary priorities, their use is specifically authorized for the following:

- (a) Transport on arrival and departure of experts and members of their families from the airport or other public transport station to the place of work or their residence, or vice versa;
- (b) Transport of visiting UNIDO officials or other official visitors and members of their families from the airport or other public transport station to the place of work that they are visiting or their residence, or vice versa;
- (c) Transport of an expert to and from social functions to which he or she has been invited in his or her official capacity. Experts may be accompanied by their husbands or wives and other members of their families invited to the same function;
- (d) Entertainment of official visitors when such travel is advisable from a technical or public relations point of view;
- (e) Transport of experts or members of their families when car breakdowns or other emergencies temporarily deprive them of any other suitable means of transport (public or private) to and from their place of work;
- (f) Transport of experts, their husbands or wives and members of their families from the duty station to major towns in a vehicle making the journey for the purpose of repairs or maintenance to the vehicle or to procure or collect project supplies. Such transport is subject to the condition that it does not interfere with the availability of the vehicle for other official purposes, or involve additional expenditure to the project or the Government;
- (g) Any other use in line with the essential purpose for which the vehicles are supplied, which may be expressly authorized by the Resident Representative. In particular, where a duty station has been recognized as a particularly difficult one from the point of view of living conditions and where a journey for the official purposes described above is required less than once in any two weeks, the Resident Representative may authorize the use of the vehicle for not more than two days

in any two weeks for the transport of experts or members of their families to major towns for medical, shopping or other purposes: in such cases, and in any other case where the Resident Representative may so decide, such transport is subject to reimbursement.

Vehicles may not be used for journeys or to make extensive detours; the principal purpose of cars is to transport experts and members of their families commuting between residence and place of employment or return, except in certain isolated and exceptional cases where local conditions would result in an unreasonably heavy burden for an expert. Permission may be granted by UNIDO HQ on the recommendation of the Resident Representative.

A project car and driver are normally available on a full time basis during normal working hours only to the CTA or, in his absence, the Acting CTA or officer-in-charge. Other project vehicles are made available to the staff of the project as required for their official duty.

When circumstances warrant, and consistent with the best interests of the project, the CTA may grant permission to use project transportation for non-project purposes. The same procedure as that followed by the Resident Representative for his staff should be followed. A vehicle approved for non-project purposes should, as far as reasonably practicable, be driven by a locally recruited project driver. In each such instance the CTA will determine the cost to be charged to the user. The user should be informed that when a project vehicle is damaged while being used for non-project purposes due to an accident or negligence on his or her part, he or she is subject to an assessment for any or all of the costs. The extent of an assessment will be determined by the UNIDO Property Survey Board, based on the circumstances and the recommendations of the CTA.

It shall be the responsibility of the CTA when travel is subject to reimbursement by an expert, as outlined above, to ensure that reimbursement is made by the expert. The sums concerned may be shown as receipts in the Team Leader's imprest account, where one exists, or be transmitted to the Resident Representative for the credit of the appropriate UNIDO account: the CTA shall certify on the daily transport log-sheet that this has been done. Reimbursement will be made on the basis of the mileage rate applicable at the duty station, the cost of the drivers salary and of any overtime payments to the driver which may become necessary on account of the journey. The CTA according to the character of the journey, may decide that no or only partial reimbursement shall be made. In case of doubt, the question should be referred to the Resident Representative for suitable guidelines. However, reimbursement may be waived by the CTA in cases where he considers that the amount to be reimbursed is unlikely to offset the administrative costs involved. In most circumstances, charges in excess of \$5 per expert per month should be collected.

In cases where project personnel have to use a private vehicle for official duties, they may claim reimbursement at the applicable rate. Official duties include visits to factories, ministries etc., but not normal travel between the expert's home and the office.

Operating costs are, if possible, left to the Government concerned as part of its counterpart contribution, but if the Government is unwilling to bear the costs without prejudice to the CTA's control of the vehicles, the relevant expenditure is charged to the project budget.

5. Vehicle accidents

If a vehicle is stolen or damaged in a way which does not include any possibility of third-party liability, the CTA shall report the theft or damage to the local police, and act in accordance with the instructions given by the insurance company through which the Government has covered the vehicle. Upon the occurrence of an accident involving an insured vehicle, the CTA shall also submit a report to the Resident Representative of the Great Northern Insurance Company. A list of the names and addresses of claim agents is available in the Resident Representative's office. The report, a copy of which shall be submitted by the CTA to UNIDO, attention PAC, shall set forth all the facts pertinent to the accident. In any case, it is advisable to contact the UNDP office if a project vehicle is involved in an accident.

Attached to the accident report shall be a completed 'Automobile Accident Loss Report' on the form issued by the American International Underwriters. Copies of this form may be requested from the company's local agent. The fact that additional data or documentation may be required to complete the account of the accident should not delay the prompt submission of the report.

On receipt of the report from the CTA, the insurance company will take all appropriate measures for the disposition of claims arising from the accident.

The procedure set forth above applies only where the insurance company has a representative in the country. Where there is no such representative, and, in addition, the United Nations is clearly at fault for the accident, the CTA is authorized to negotiate a settlement up to the equivalent of \$200 without prior approval by UNIDO HQ. The settlement may be paid by the CTA only on signature of a release (as shown in annex VIII).



UNIDO

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

VIENNA INTERNATIONAL CENTRE
P.O. BOX 300, A-1400 VIENNA, AUSTRIA
TELEPHONE: 20 310 TELEGRAPHIC ADDRESS: UNIDO VIENNA TELEX: 138612

SHIPPING ADVICE

PURCHASE AND CONTRACTS SERVICES SECTION (PAC)

SHIPPER/EXPORTER	IN REPLY REFER TO SHIPPING ADVICE: _____	NUMBER AND DATE
	REQUISITION NUMBER	
CONSIGNEE RESIDENT REPRESENTATIVE UNDP	PURCHASE ORDER NUMBER	
	ACCOUNT AND/OR MOD NUMBER	
ULTIMATE CONSIGNEE	BILL OF LADING/AIRWAY BILL NUMBER <small>(Original Bill of Lading is required for Customs clearance)</small>	
	DEPARTURE DATE	
	INSURANCE NUMBER	
EXPORTING CARRIER (Vessel/Airline)	PORT OF LOADING	INSURED VALUE
AIR/SEA PORT OF DISCHARGE	FOR TRANSSHIPMENT TO	INVOICE VALUE

LOSS OR DAMAGE: RETURN SIGNED FORM; FOLLOW INSTRUCTIONS ON REVERSE SIDE.

MARKS AND NUMBERS	NO. OF PKGS	DESCRIPTION OF PACKAGES AND GOODS	GROSS WEIGHT	MEASUREMENT

APPROVED BY: _____

IMPORTANT: If an acknowledgement of receipt of the goods by the consignee or the recipient has not reached this office within 60 days from the date of dispatch for air/rail/truck shipments, or 90 days for sea shipments, they shall be considered for all purposes as having been received in complete and good condition. Promptly notify PAC in case of non-delivery.

REMARKS:

URGENT	CONSIGNEE SIGN THIS FORM AND RETURN TO ADDRESS A2 SHOWN AT TOP OF PAGE.	I certify that this shipment has been received. DATE _____ SIGNATURE _____	<input type="checkbox"/> IF LOSS OR DAMAGE HAS OCCURRED, PUT AN X IN THIS BOX
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IMPORTANT: PLEASE READ THESE INSTRUCTIONS CAREFULLY

A. INSURANCE COVERAGE IN TRANSIT

Shipments of Organizational property bearing a value of \$US 250 or less are not insured.

Shipping Advises prepared at UNIDO, Vienna, will contain an insurance number and the insured value to indicate that transit insurance coverage, which ceases upon delivery to the final destination, has been obtained against all risks of physical loss or damage from any external cause (including war risks). The insurance coverage has been arranged by UNIDO with the American Motorists Insurance Company through the insurance brokerage firm of Marsh and McLennan under open policy OM 50606.

B. INSURANCE COVERAGE IN STORAGE

If the consignment has to be stored prior to shipment or at an intermediate or final destination, extension of insurance must be requested through UNIDO, Vienna, Austria by cable giving dates in and out of storage and name and location of warehouse.

C. PROCEDURE UPON DELIVERY

Make arrangements to expedite clearance and delivery, and inspect the shipment immediately upon receipt for possible loss or damage.

If you suspect or discover loss or damage:

(1) Note the loss or damage on the delivery receipt before signing it, and file written claims against all carriers IMMEDIATELY. On an air shipment the claim against the airline should be filed within seven days from the date of release of the shipment by the airline. Failure to FILE CLAIMS, AGAINST ALL CARRIERS immediately upon receipt may render a claim unacceptable.

(2) If it appears that the carrier has lost part of the shipment as described on the reverse side of this form, request in writing a "short landing" certificate when you file your claim against the carrier. If the complete shipment is lost request a "non-delivery" certificate.

(3) Contact the nearest agent listed below, advise him that the shipment is insured with the above mentioned insurance company, and provide him with details of the claim. If the claim exceeds \$US 200 request the agent to carry out a survey.

(4) If no agent is listed below and the claim exceeds \$US 200 have the survey carried out by a representative of the American Institute of Marine Underwriters, or Lloyd's of London, or a government agency that provides the service of surveying loss or damage to shipments.

(5) Preserve containers and contents in condition received until survey is held, unless further damage would result.

(6) Pay for the survey. If the claim is valid, the charges for the survey are reimbursable by the insurance company as part of the claim.

(7) If the claim is for \$US 200 or less a survey report is not necessary, but you should obtain repair or replacement estimates on the letterhead of a recognized firm.

(8) Send copies of claims against all carriers of the shipment, copies of shipping documents, delivery receipt, "short-landing" or "non-delivery" certificate, survey report (if the claim is for more than \$US 200), repair/replacement estimates to UNIDO, Vienna, Austria. PAC will file the claim with the insurance company and will advise you of settlement.

D. PAYMENT OF CLAIMS

1. Claims are payable at the rate of exchange in effect at the time of settlement.

2. Payments in connexion with an insurance claim may be received from a carrier. In all cases where payments are received from a carrier, the insurance company must be notified through UNIDO or the insurance company's agent that processed the claim, so that the amount of the insurance settlement may be adjusted to reflect the payment received and avoid duplication.

3. If duplicate payments are received, reimbursement must be made to the insurance company.

INSURANCE COMPANY AGENTS

(Asterisk * indicates agents authorized to settle claims locally)

AGENTS OF AMERICAN MOTORISTS INSURANCE COMPANY

*ARGENTINA, Buenos Aires - J. B. O'Grady and Cia
*AUSTRALIA, Sydney - AFA Worldwide Insurance
*BAHAMAS, Nassau - R. H. Curry and Co. Ltd.
BELGIUM, Antwerp - Van Peborgh and Co.
*BRAZIL, Rio de Janeiro - AFA do Brasil S.A.
*CHILE, Santiago - Hanna and Co. Ltd.
*COLOMBIA, Barranquilla - AFA Colombiana SRI
*COLOMBIA, Bogota - AFA Colombiana SRI
*COLOMBIA, Cali - AFA Colombiana SRI
DENMARK, Copenhagen - Hecksher and Son Sucers
*DOMINICAN REPUBLIC, Santo Domingo - Frederic Schad Inc.
FINLAND, Helsinki - A. B. Lars Krogius and Co.
FRANCE, Dunkirk - J. A. Bourbonnand
FRANCE, Le Havre - Paul Gablain
FRANCE, Marseilles - George Croisy and Pierre Croze
FRANCE, Paris - Tophis and Harding
GERMANY, Cologne - Gert Kossinger
GERMANY, Hamburg - Carl Rieck
GERMANY, Bremen - J. Reck and Co.
*GHANA, Accra - P. J. Eserett and Co. Ltd.
GIBRALTAR - Smith, Imossi and Co.
GREECE, Athens - (See Piraeus)
GREECE, Piraeus - Lambert Miller Ltd.
*GUYANA, Georgetown - Georgetown Agencies
*HAITI, Port au Prince - J. B. Vital and Co. Sucers
HONG KONG, Hong Kong - AFA Worldwide Insurance
*INDIA, Bombay - AFA Finance Corp.
*INDIA, Calcutta - AFA Finance Corp.
IRELAND, Belfast - W. McCalla and Co.
IRELAND, Cobh (Fife) - Clyde Shipping Co. Ltd.
IRELAND, Dublin - Thomas Moon and Sons
ITALY, Genoa - Amministrazione Mackenzie
ITALY, Naples - Amministrazione Mackenzie
ITALY, Trieste - Edgar H. Greenham and Co.
*JAMAICA, Kingston - Fletcher and Co. Ltd.
*JAPAN, Tokyo - AFA Finance Corp.
KOREA, Seoul - American Foreign Insurance Assn.
LEBANON, Tripoli - J. V. Delbourgo and Son

LEBANON, Beirut - J. V. Delbourgo and Son
MALAYSIA, Kuala Lumpur - AFA Worldwide Ins.
MALTA, O. F. Galleher and Sons
NETHERLANDS, Amsterdam - DeVos and Zoon
*NETHERLANDS, Rotterdam - John Hudig and Son
*NETHERLANDS, The Hague - John Hudig and Son
NEW ZEALAND, Wellington - Hartford Fire Insurance Co.
*NICARAGUA, Managua - Adan Boza and Cia.
NIGERIA, Apapa - Interostra Ltd.
NORWAY, Oslo - Wesman's Havaribureau A.S.
*PAKISTAN, Karachi - AFA Worldwide Insurance
*PERU, Lima - H. M. Beausire and Co. S.A.
*PHILIPPINES, Manila - F. J. Eber Inc.
PORTUGAL, Lisbon - James Rawes and Co. Ltd.
PORTUGAL, Oporto - Rawes and Co. Ltd.
SCOTLAND, Dundee - James Logie and Co.
SCOTLAND, Leith - Furness Withy and Co. Ltd.
*SINGAPORE, Singapore - AFA Worldwide Insurance
SOUTH AFRICA, Johannesburg - AFA Worldwide Insurance
SPAIN, Barcelona - Mac Andrews and Co. Ltd.
SPAIN, Bilbao - Suc. de J. Innes.
SPAIN, Madrid - Mac Andrews and Co. Ltd.
SPAIN, Malaga - Mac Andrews and Co. Ltd.
SPAIN, Valencia - Mac Andrews and Co. Ltd.
SWEDEN, Gothenburg - Lindahl and Collin A. B.
SWEDEN, Malmo - Frick and Frick Ltd.
SWEDEN, Stockholm - A. B. Olson and Wright
SWITZERLAND, Neuchatel - Commissariat d'Avaries
*THAILAND, Bangkok - The Borneo Co. Ltd.
*TRINIDAD AND TOBAGO, Port of Spain - N. J. Gransaul and Co. Ltd.
UNITED KINGDOM, Bristol - Mark Whitwill and Son Ltd.
UNITED KINGDOM, Hull - Brown, Atkinson and Co. Ltd.
*UNITED KINGDOM, Liverpool - Broderick, Leitch and Kendall Ltd.
*UNITED KINGDOM, London - Joseph Hadley (Ins.) Ltd.
UNITED KINGDOM, Newcastle - Brian A. Brown
*USA, New York - Kemper Insurance Group
*VENEZUELA, Caracas - Inversiones La Libertad C.A.
WEST INDIES, St. Kitts - Delisle Walwyn and Co. Ltd.

Annex III



UNIDO

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

VIENNA INTERNATIONAL CENTRE

P.O. BOX 300, A-1400 VIENNA, AUSTRIA

TELEPHONE 26 310 TELEGRAPHIC ADDRESS UNIDO VIENNA TELELEX 136612

FIELD PURCHASE ORDER

IMPORTANT

All correspondence, all documents, each case, each crate, each parcel etc. must show Project Code and P.O. Number

PROJECT CODE	P.O. NUMBER
--------------	-------------

TO

FROM

SHIP BY

Air Freight Surface Freight Air Parcel Post (Reg'd) Reg'd Parcel Post

TERMS OF PAYMENT (SEE REVERSE SIDE)

INSURANCE TO FINAL DESTINATION TO BE ARRANGED BY UNIDO

FREIGHT MUST BE PROVIDED ONLY TO THE PORT OF ENTRY AND PRE-PAID BY SUPPLIER

SHIPMENT TO BE MADE TO

TERMS OF DELIVERY

COST, INCLUDING FREIGHT, NOT TO EXCEED \$ 3,000 OR EQUIVALENT IN OTHER CURRENCIES

ITEM NO.	DESCRIPTION	UNIT	QTY.	UNIT PRICE	AMOUNT
<p>CONFIRMATION COPY</p> <p>PLEASE SIGN FOR ACCEPTANCE AND RETURN</p>					

<p>TO VALIDATE THIS ORDER THIS COPY MUST BE RETURNED, SIGNED, WITHIN 15 DAYS OF RECEIPT TO THE ORIGINATOR</p>	TOTAL
	FREIGHT

Date	Signature of supplier	GRAND TOTAL
		Not to exceed \$ 3,000 or equivalent

DATE OF ORDER	M.O.D. NUMBER	SIGNATURE OF AUTHORIZED OFFICER
---------------	---------------	---------------------------------

Annex IV

SAMPLE LETTER TO SUPPLIER

Mailing address of project

Dear Sirs,

Attached is UNIDO Field Purchase Order No..... requesting the supply of the listed goods for this project. These goods are purchased on behalf of the United Nations Industrial Development Organization with headquarters at Vienna, Austria. This Organization enjoys diplomatic privileges, e.g. exemption from customs duties, taxes, and import restrictions.

The goods requested should be despatched by..... (state mode of despatch) as indicated on the Field Purchase Order. Particular care should be taken to ensure that the goods are consigned and marked as specified on the Field Purchase Order. It is essential that all correspondence, invoices or documentation relating to this order bear the full reference number (Project Code and Purchase Order Number) of the form and that the total cost including freight to port of entry does not exceed US\$ 3,000 or equivalent.

If you cannot completely fulfill the order at this juncture, please supply those items which are available and consider the balance of the order to be cancelled, i.e. there should only be one consignment against this order. It is absolutely essential that this point be strictly observed and that UNIDO headquarters in Vienna receive only one invoice for this order.

Four copies of the Field Purchase Order form are enclosed. The white original is to be retained by you; the first white copy (confirmation copy) is to be returned by you to the undersigned within 15 days of receipt as confirmation of your acceptance of the order.

Both the yellow and the blue copies (duplicate and triplicate) must be forwarded together with the documents specified on the back of the order form to:

Head,
Purchase and Contract Service
UNIDO
P.O. Box 300
A-1400 Vienna, AUSTRIA

This Organization does not issue Letters of Credit or make advance payments. Payment will be made by headquarters at Vienna in the currency of your country.

Please ensure that freight or postage is prepaid by you and invoiced at actual cost (freight bill from forwarders or postal receipt to be attached); your invoice will be settled by UNIDO headquarters, Vienna upon receipt.

Please do not insure the consignment as this is arranged by UNIDO headquarters.

It is essential that a copy of the invoice with original shipping documents be sent to the undersigned by registered mail so that they are available for clearing purposes upon arrival of the consignment.

Any correspondence with regard to this Field Purchase Order, should be addressed to the undersigned and not to UNIDO headquarters.

Yours faithfully,

(Signature, name and title
of officer placing the order)

Form/TCD.10 (3.69)

UNITED NATIONS  NATIONS UNIES
UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

VIENNA

NO UNIDO
N° 66

NOTICE OF SALE
BILL OF SALE

Sale Number: _____

Date: _____

To:

Your bid to purchase UNIDO property, as specified on the sale number stated above and detailed below, has been accepted. Payment of the balance due (if any) indicated below must be effected and the property removed within the..... day period specified in your bid. Terms and conditions of sale are as noted on the sale number above.

ITEM NUMBER	DESCRIPTION	AMOUNT OF BID	DEPOSIT	BALANCE DUE ^{a/}
Received payment in full:		TOTALS		

Signature: _____

Title: _____

Date: _____

Number of Receipt Voucher: _____

UNIDO

By: _____

Name: _____

Title: _____

This notice of sale, signed above as being paid in full, is your authority to remove the material purchased and constitutes a Bill of Sale.

ORIGINAL: PURCHASER.

^{a/} If the deposit is greater than the amount of the bid accepted, change "Balance due" to "Refund due".

Annex VI

TRIP TICKET

Project No. _____

Date: _____ Hour: _____

Vehicle No: _____ Driver: _____

Mileage reading out: _____

Authorization is granted for the use of this vehicle as follows:

Official: Non-official:

From: _____ (Place) To: _____ (Destination)

Names of passengers:

1. _____
2. _____
3. _____
4. _____

Signed: _____
(P.O. or OIC Transport)

TO BE COMPLETED BY DRIVER

Date: _____ Hour: _____ Mileage reading in: _____

Note any malfunctions or difficulties encountered:

Signed: _____ (Driver) Signed: _____ (Passenger)

Annex VIII

R E L E A S E

For and in consideration of _____ () paid to _____
(me, us)

_____ by UNIDO, _____ hereby
(Corporation etc.) (Name of individual or corporation etc.)

releases UNDP, UNIDO, and their respective employees from all manner of
action or actions

that either _____ or _____
(Name of individual, corporation etc.) (his, her, their etc.)

heirs or assignees has or may have as a result of an accident on _____
(Date)

at _____
(Place)

by _____
(Vehicle No. etc.)

Signature: _____

Date: _____

Witness: _____

XX. PROJECT EVALUATION

A. Coverage and approach

Project evaluation should be a continuing and important part of the responsibility of the project management. Ensuring that regular and systematic evaluation of the project through all phases of its life is carried out by the appropriate parties is an essential part of management's function. Detailed procedures and guidelines for undertaking systematic self-evaluation of field projects, as part of UNIDO's comprehensive internal evaluation system, have not yet been finalized. When they have been approved, their implications for field project management will be spelt out and relevant instructions will complement the contents of this chapter. ^{1/} For the time being, only one major aspect of this evaluation system is outlined, namely, the conducting of in-depth on-going and terminal evaluations, through the fielding of tripartite evaluation teams. This procedure, too, will be subject to revision depending upon changes in UNDP requirements now under consideration. ^{2/}

Depending on the magnitude and duration of a project, during and sometimes after UNIDO's involvement in it, a tripartite team will evaluate the progress made in producing project outputs and the success in achieving the project's immediate objective. These evaluations may be conducted under tripartite auspices or as a part of UNIDO's system of internal evaluation. In Project Documents for large-scale assistance, extending over several years, or in the case of particularly innovative projects, an in-depth evaluation should be preseen:

- (a) At or near the mid-point of implementation;
- (b) At a time which marks the end of one stage of the project and the beginning of another;
- (c) At any time where evaluative data is necessary for decision-making;
- (d) At or near the end of implementation, when a proposal has been made for a substantial extension of the project's duration or for a successor project.

As indicated above the project management will necessarily become substantially involved in all phases of such exercises. For this reason it is useful to understand the principles and procedures which will be applied in evaluating project effectiveness and significance. To gain the necessary understanding, Chief Technical Advisers will receive instructions and guidelines on evaluation from the central evaluation staff at UNIDO headquarters before taking up their assignments.

^{1/} The guidelines included in this chapter refer primarily to "performance" or in-depth evaluations of on-going projects in which project management plays a supporting role. In the self-evaluation component now being designed and tested by UNIDO, Chief Technical Advisers will be involved to a great extent.

^{2/} See DP/558 (dated 23 February 1981), paras 33-42, on proposed modifications in the Resident Representative's office.

One of the most important reasons for such orientation is that the drafting of the Project Document, i.e. developing the project design, can do much to facilitate evaluation. Since evaluation measures output and progress made towards achievement of objectives, it follows that the evaluator's task is made easier if he finds clear statements of the development objective being addressed; the project function and immediate objective; specified outputs (i.e., intended project results); progress indicators, including targets and milestone events; end-of-project status indicators; critical assumptions; and appropriate baseline data in the project and supporting documentation. Therefore, the CTA may make his first contribution to evaluation if he is involved in drafting the Project Document or in subsequent revisions and in the setting-up of the work programme based on the major design elements.

During implementation of the project, management can also assist subsequent evaluation by clearly recording substantive progress and identifying impediments in terms of producing the outputs rather than the simple monitoring of input deliveries and administrative events. At the time of an evaluation exercise the project management can make such information readily available. It can also arrange for members of the evaluation team to meet project staff, observe project activities, visit project sites and talk with the intended beneficiaries and end-users of project results.

B. Purpose and requirements ^{3/}

Normally an evaluation team will comprise representatives of the Government, UNDP and UNIDO, assisted perhaps by consultants, who have not been directly concerned with the formulation and implementation of the project. Because of their dissociation they will need to receive relevant information to enable them to carry out a performance evaluation with the aim to:

- (a) Review the relevance, logic and design of the project;
- (b) Assess progress in producing outputs and in achieving the project's immediate objective (effectiveness);
- (c) Identify and analyze the factors (internal and external) which impede or facilitate the achievement of project results;
- (d) Assess the extent to which the actual or projected results of the project have been or will be used and will contribute towards realisation of the relevant development objective (verification of development hypothesis and probable impact).

The CTA will assist the evaluation team by preparing the information it needs in a readily understandable form. This information is likely to include:

- (a) The Project Document and supporting attachments, including baseline data;

^{3/} Detailed procedures are available in Chapter 3400 of the UNDP Manual of Policies and Procedures. Instructions and guidelines of internal evaluation are being developed by UNIDO.

- (b) Output-related work plans, including event- and target-oriented schedules and project staff activities/tasks;
- (c) Status summaries of project activities by major outputs and their results to date, including explanation of impediments to progress and proposals for surmounting them;
- (d) Status of current assumptions (or actions) necessary for producing outputs but outside control of project management;
- (e) Major deviations from project design and work plan, together with causes and corrective action proposed or taken.

C. Interviews and issues

With particular reference to the purpose and requirements of an evaluation exercise, the CTA will assist the Resident Representative, SIDFA and Government in developing appropriate substantive issues for review, i.e., questions, problems, alternatives etc. which the parties particularly wish addressed by the evaluation team. When UNIDO headquarters staff are to be involved, these suggested issues should be presented to the Secretariat at least six weeks before the scheduled evaluation mission.

The members of the evaluation team will want to supplement documentary evidence by discussions with those carrying out, participating in, and benefiting from project activities. They may also want to visit project installations.

Before the evaluation exercise, the CTA in agreement with the SIDFA and the Resident Representative, should draw up a preliminary programme including interviews with:

- (a) The Resident Representative and SIDFA;
- (b) Officials of the government co-ordinating and implementing agencies;
- (c) The international project staff;
- (d) The national project staff;
- (e) The intended beneficiaries of project activities, e.g. directors of factories;

- (f) Any other objective persons who are likely to have informed opinions about project activities and/ or its likely success and impact.

Adjustments in the programme and schedules will be made by the evaluation team upon their arrival based on their work priorities, needs, availability of interviewees, relevance to major issues etc.

D. Administrative support

The project management will assist the Resident Representative and the SIDFA who have primary responsibility for administrative support. In seeing to it that the evaluation team's needs are met in respect of residential accommodation, office accommodation, transportation, secretarial services and communications.

E. Response to needs of the evaluation team

The CTA and the National Team Leader should hold themselves available throughout the evaluation exercise. They should also ensure that professional and support staff of the project are ready to respond to the requests of the evaluation team.

As the evaluation proceeds and the team gathers and analyzes project information, it will probably need some clarifications and additional data. Project staff should be available to supply whatever information is needed. As the team perceives trends and problems, it may consider it advisable to change its approach. This may involve changes in the administrative, transport and communication services. The team management should be ready to assist.

In the closing stages, particularly during drafting of the report, the evaluation team's need for secretarial and duplicating services is likely to require overtime and special arrangements. All project staff should be prepared to give every possible assistance.

F. Exposition of project progress

The CTA presumably knows more about the project than anyone else. He owes it to himself and his colleagues to make a full exposure to the evaluation team of project plans, achievements, shortfalls, operational environment, opinions etc. in a carefully prepared presentation under circumstances which permit full and free disclosure. It is best given early in the programme, preferable immediately after initial introductions to government officials, and before any other interviews.

In the self-evaluation component of UNIDO's internal evaluation system currently under design and testing, at the completion of small-scale assistance projects, and annually for multi-year, large-scale projects, CTAs will be required to provide SIDFAs and headquarters backstopping officers with information necessary to prepare and review Project Evaluation Reports (PERs).

G. Implementing recommendations and follow-up

Unless there are objections or restricted portions, the Resident Representative will give a copy of the evaluation team's report to the CTA. The report will usually propose recommendations and remedial actions for overcoming factors adversely affecting the project's effectiveness. Working with the SIDFA, they will study the report and discuss its recommendations with co-ordinating and implementing agencies, usually through the mechanism of a tripartite review. When necessary or appropriate, recommendations will be forwarded to UNIDO for comment and action.

After agreement, appropriate actions will be taken to implement those recommendations which the tripartite parties accept. Such actions may include:

- (a) Total or partial redesign of the project;
- (b) Revision of the project work plan and schedules;
- (c) Changes in proposed linkages, critical assumptions, outside actions;
- (d) Accomodation of increased, reduced or different inputs.

Sometimes the report may recommend an extension of the project or a new phase. If it does, the SIDFA, with the assistance of the project staff, will draw up plans for the extended period, and the project management will repeat the cycle of reformulation and implementation performed in the previous phase of the project. In particular, they will take steps to procure the new inputs scheduled for delivery during the extension. This will probably entail requests

for extensions of contracts of existing project staff, submission of candidates for fellowships and/or procurement of (additional) equipment and co-ordination with government inputs.

Monitoring of follow-up actions should take place at least quarterly with a formal review on the status of such actions to be scheduled for the next annual tripartite review.

XXI. PROJECT REVISION

A. General

A project revision is required if changes are to be made in the design of, or financial provisions for, an ongoing UNDP-assisted project. If the critical assumptions concerning conditions surrounding a project, on which the project's success is dependent, undergo substantial change, it is likely to lead to changes in a project's basic design and, possibly, even of its immediate objectives. In general, therefore, when amendments have to be made to any or a combination of a project's development objectives, immediate objectives and outputs, as well as to associated work plans and inputs, a project revision should be made in timely fashion. Identification and agreement of the need for a project revision may result from trinitite reviews undertaken jointly by the Government, UNIDO and UNDP. Steps to undertake a project revision may be initiated by any one of the three parties that feels the need in the first place. If, in the latter case, the Government, UNIDO or UNDP, either separately or jointly, are of the opinion that a project revision is required, the Resident Representative, after having been informed of the need for a revision, should co-ordinate consultations to be undertaken at the country level and UNIDO's backstopping unit. Besides these revisions, a mandatory revision is required when end-of-year detailed project delivery information becomes available to reflect actual delivery during the preceding year; these are normally prepared at UNIDO headquarters.

Revisions should ensure that project inputs are kept up-to-date as much as possible, taking into account any substantive reasons, changed circumstances or slippage so that project expenditures remain as close as possible to approved project budgets.

The revision of a Project Document will in many cases also require changes in the Work Plan and possibly in the other annexes to the project documents, but periodic up-dating of these annexes should not be construed as a project revision. Changes in the Work Plan etc., may be carried out independently of any project revision.

Further assistance to help in producing additional outputs in order to attain a new (high-priority) immediate objective would not normally be provided through a project revision. In such a case a project would enter a new (second or subsequent) phase as a further step in attaining a development objective. This new phase would constitute a new project with new objectives and new activities and, most likely, new inputs and require a new Project Document.

1/ This chapter is an abstract of section 3450 of UNDP's Policies and Procedures Manual to brief new personnel on what is involved in a general way in project modifications. When project revisions become necessary, CTAs should carefully study section 3450.

B. Financial ceilings

UNDP's Administrator will establish, sufficiently in advance ^{2/} to allow effective project planning and programming of the use of country programme resources, annual financial ceilings for each country (country ceilings), taking into consideration the level of the country IPF approved by the Governing Council.

The Resident Representative, in agreement with the Government and the executing agencies concerned, should establish annual financial ceilings for the entire duration of each project (project ceilings). Approved annual project budgets included in a signed project document or revision thereof will constitute the annual ceilings for that project. The total of approved project budgets for any given year should not exceed the annual country ceiling established for the country for that particular year.

Within the annual ceilings of a project, executing agencies, in this case UNIDO, are authorized to enter into commitments and make expenditures for the delivery of project inputs as specified in the approved Project Document or revisions thereof and covering the duration of the project. In those cases where the cost of approved project inputs is higher than anticipated, advice in the next paragraph will apply.

C. Executing agency expenditure flexibility

The executing agency, i.e. UNIDO, is authorized, without requiring a revised project budget, to incur project expenditures in any given year above the project ceiling for that year but not exceeding 2 per cent of that ceiling, provided the aggregate of excess expenditures does not exceed 1 per cent of the global total of all project ceilings communicated to UNIDO for that year.

Additional project expenditures incurred by UNIDO within the financial limits set above, should not exceed for each component \$10,000 or 3 per cent, whichever is less, of the total amount budgeted for that component.

^{2/} Suggested ceilings as indicators for longer-term planning covering at least the entire IPF cycle are established and adjusted from time to time by the Administrator. Initial ceilings for a particular year will be communicated to Resident Representatives in May of the previous year and the final ceiling for that same year will be established after the annual pledging conference.

At the first opportunity, expenditure in excess of the budget resulting from application of the afore-mentioned flexibility provision should be reflected in a revision. In the event that a revision is not undertaken before receipt by the Resident Representative of the end-of-year detailed project delivery report, the excess expenditure should be reflected in the revised budget prepared on the basis of that report.

D. Mandatory annual revision of projects and project budgets

As soon as actual project expenditure at year-end is known, but not later than by the end of March the following year, UNIDO would begin preparing for each project executed, a draft of a revised project budget which should reflect actual expenditure by the end of the year for that project as recorded by UNIDO, and the annualized expenditure estimates for current and following years, taking into consideration the rephasing of the delivery of project inputs made necessary by delays in planned delivery or changes in work plans.

Resident Representatives, upon receipt from UNIDO of the end-of-year project delivery reports and drafts of revised project budgets should finalize the required revision documents with a view to have them approved and fully signed as soon as possible, but not later than 10 June.

For the purpose of finalizing the mandatory annual revisions within the prescribed time limit, the revision document should reflect, without change, prior-year expenditure as reported by UNIDO in the end-of-year delivery reports. In the case of discrepancy between this report and UNIDO's draft of the revised budget, the information contained in the delivery report should be used. Discrepancies between UNIDO's end-of-year delivery reports and the Resident Representative's records should be brought to the notice of UNIDO and the regional bureau by the Resident Representative and their clarification pursued. After reconciliation of available data, to be carried out expeditiously by the Resident Representative and UNIDO, rectification, if in order, should be reflected in the current year's budget of a subsequent project revision.

Annualized expenditure estimates covering the delivery of project inputs for current and future years included in UNIDO's draft budget revisions should normally be used for the finalization of revisions within the financial ceilings set for those years and in accordance with the evolving needs of the projects.

E. Documentation

A project revision should be prepared in the form of a document which should contain:

- (a) A cover page prepared in accordance with the format given in the annex to this chapter;
- (b) Justification for the revision;
- (c) The amended text of the sections or parts of sections of the Project Document, with proper reference to page and paragraph number; and
- (d) The revised project budgets.

Whenever a project revision includes a change in the project budget, a new designation should be given within the project number for the project budget code, e.g., from "A" to "B" to "C" and so forth.

The budget included in a revision document should show the same detail as the preceding budgets, providing comprehensive information at the line and component levels, and thus permitting each revised budget to supersede the previous one as a self-contained instrument for financial control. Prior year(s) expenditure should be shown by year at the line level up to and including the final year of an IPF cycle. After the mandatory revision showing actual expenditure for the last year of the IPF cycle all further revisions should show expenditure during the previous IPF cycle cumulatively in a single column entitled "prior years".

F. Preparation and submission of revisions

A project revision should be prepared in close consultation between the Government, UNIDO and the Resident Representative. UNIDO, where possible, delegates authority to discuss project revisions on their behalf to its personnel in the field.

The Resident Representative is responsible for the finalization of project revisions in accordance with the procedures set out below. The UNDP budget to be included in a project revision should normally be prepared by UNIDO or its designated official in the field, in consultation with the Resident Representative and the Government.

G. Appraisal of revision

The responsibility for the appraisal of a draft project revision rests with the Administrator or on his behalf with the Assistant Administrator, Director of the Regional Bureau concerned, or with the Resident Representative, according to who exercises the authority to approve the revision. The appraisal should focus on changes in project design and resulting implications and to the extent applicable be similar to the one required for the approval of full assistance to a project. The appraisal may lead to approval of the revisions or to recommendations for changes in the revision document before its signature on behalf of UNDP, or to a revision and re-submission of the document for further consideration by UNDP. It may also lead to UNDP's rejection of the proposed revision. Procedures for project appraisal including the preparation of an approval memorandum, if applicable, and information of the Regional Bureau by the Resident Representative on appraisal of projects carried out on behalf of the Administrator apply as appropriate.

The Resident Representative, after having obtained the draft project revision, sends three copies each, together with his comments and recommendations, to the Government and UNIDO and, in those cases where appraisal and approval should be carried out by the Administrator, to the Regional Bureau. In the latter case, the Resident Representative informs the Government and UNIDO simultaneously of the arrangements for the appraisal and approval of the revision document.

After signature of the revision document the Resident Representative sends one signed copy of each to the Government, the Regional Bureau and UNIDO, retaining one for the field office's own record. The Administrator may authorize the Resident Representative to approve the revision on the Administrator's behalf if he agrees in principle with the proposed revision and is of the opinion that involvement of UNDP headquarters in its finalization will not be required.

H. Signature of revision document

The revision document should be signed by the Government, by UNIDO and by the Resident Representative on behalf of UNDP. However, UNIDO may authorize the Resident Representative, or a designated official in the field, to sign on its behalf.

Revisions which do not involve significant changes in the immediate objectives, outputs or activities of a project, but are confined to the rearrangement of the timing of inputs already agreed to or to changes in expert or other cost increases due to inflation, require only the signature of the Resident

Representative following appropriate consultation with UNIDO and the Government, provided they have no objections. Mandatory annual revisions which rephrase the delivery of agreed project inputs or increased expert or other costs due to inflation or take into account UNIDO's expenditure flexibility also require only the signature of the Resident Representative.

I. Procedures

Whenever a project revision is required, the initiating party or parties so inform the Resident Representative, who arranges with the Government and UNIDO, and if necessary the Regional Bureau, for the consultations and preparation of a draft revision document for consideration by all concerned. When the revision results from a project review, the draft revision document is prepared in accordance with the recommendations of the reviewing parties and preferably by them. If the review is carried out by or with the participation of a visiting mission, the leader of the mission submits to the Resident Representative, preferably together with the draft of the mission's report but at any rate before the mission's departure from the field, a copy of the draft revision document.

The Resident Representative, after having obtained the draft project revision, sends three copies each, together with his comments and recommendations, to the Government and UNIDO and, in those cases where appraisal and approval should be carried out by the Administrator, to the Regional Bureau. In the latter case, the Resident Representative informs the Government and UNIDO simultaneously of the arrangements for the appraisal and approval of the revision document.

J. Appraisal and approval by Resident Representative

In the case of the Resident Representative being authorized to appraise and approve the revision document, UNIDO informs the Resident Representative whether it has any comments on the draft project revision, specifying proposed changes, if any.

The Resident Representative, after having discussed with the Government and if necessary, UNIDO, any changes proposed by him and/or UNIDO and modified the document accordingly arranges for its signature in accordance with the instructions given.

The Resident Representative distributes one signed document to the Government, UNIDO and the Regional Bureau, and keeps one copy for the records of the field office.

K. Appraisal and approval by Administrator

If appraisal and approval of the revision document is to be carried out by the Administrator, UNIDO communicates to the Regional Bureau concerned, with a copy to the Resident Representative, its comments on the draft project revision, including proposed changes, if any.

The Regional Bureau appraises the draft project revision, taking into consideration the Resident Representative's comments as well as those received from UNIDO. Upon completion of the appraisal, the Regional Bureau informs the Resident Representative of the Administrator's decision which can be:

- (a) Approval of the project revision without changes;
- (b) Approval of the project revision subject to certain changes to be made in the document; or
- (c) The withholding of approval of the project revision as presented in the document, requiring submission of a revised document which takes into account any comments made by UNDP headquarters ^{3/}.

L. Advance authorization

The Resident Representative after having ascertained that the Government and UNIDO agree to the nature and scope of a revision, may authorize UNIDO, prior to the signing of a project revision document by the parties concerned, to enter into commitments and incur expenditures in accordance with the requirements of the proposed project revision document. Revisions falling outside the scope of the Resident Representative's approval authority require UNDP headquarters approval before advance authorization may be extended.

Unlike an advance authorization for a new project, which should be identical to the budget in the agreed Project Document pending its full signature, advance authorization in case of a project revision may be used to allocate funds for indispensable inputs required to maintain project momentum, pending the finalization and formal approval of the revision document. While the budget changes authorized by an advance authorization thus need not be identical to the budget changes in the ensuing project revision document, they cannot exceed the latter. Advance authorization should be replaced within 60 days by a fully signed project revision document.

M. Rephasing of newly-approved projects

As soon as a project document is approved, UNIDO is required within 45 days of the receipt of the signed document, to provide to the Resident Representative updated budget information for the rephasing of the project's budget so that it reflects the likely schedule of delivery of inputs for the current and following years of the project.

^{3/} See PPM for steps to be taken for each of these three possibilities.

Annex

UNITED NATIONS DEVELOPMENT PROGRAMME

ADVANCE AUTHORIZATION DOCUMENT

COUNTRY: _____

TITLE: _____

PROJECT NO: _____

The United Nations Industrial Development Organization executing agency for the above project, is hereby authorized to enter into commitments and incur expenditure in accordance with the attached revised project budget.

This advance authorization will be superseded by the Project Document after its full signature which should be accomplished within 60 days of the date of this authorization.

Resident Representative

Date

XXII. PROMOTION OF INDUSTRIAL INVESTMENT PROJECTS

A. General

Throughout UNIDO and elsewhere in this Manual the term "project" is generally connected with technical assistance. When the term "project" is used in the context of the work of the Investment Co-operative Programme Branch (ICPB) it has a completely different meaning and is therefore usually prefaced by the words "industrial investment" in order to avoid confusion.

An industrial investment project is a proposal to create a new unit of economic activity, usually in the manufacturing sector. The pre-investment events which culminate in the realization of the project include, first and foremost, the identification and formulation of the project, the execution of feasibility, marketing and other studies and the harnessing of such resources as finance, technology and managerial and other skills.

One of the main functions of ICPB is to assist developing countries in their efforts to promote industrial investment projects. ICPB acts both as a catalyst and a matchmaker, that is to say, it stimulates and guides would-be project promoters and sponsors in the early stages of defining their industrial needs, and then follows through up to the stage of finding suitable potential partners in industrialized and advanced developing countries for these projects. What follows therefore is an explanation of how ICPB operates and how Technical Advisers can benefit from ICPB's efforts.

B. Pre-investment services

The first step in these promotional activities is the identification of suitable industrial investment projects. This may be done by private or public firms or institutions in developing countries. ICPB may, through the fielding of missions of individual staff members or teams of experts, help in the identification of suitable projects. There are a number of factors which may lead to the consideration of a project, such as for example the initial processing or further processing of materials which had previously been

exported in an unprocessed or semi-processed state, thereby increasing locally added value; the size of the local or a neighbouring market for goods which had been imported from distant sources; the bridging of a vertical gap in a specific sector, thereby making it more rational; favourable manufacturing costs; and so on.

Basic information on a project is compiled on an industrial investment project questionnaire, a specimen copy of which appears in the annex I at the end of this chapter. As may be seen from this questionnaire only the bare facts of the project are recorded in it. Further consideration to the project in the form of pre-feasibility or feasibility studies or marketing or other studies would have to be conducted separately. This questionnaire is used extensively by ICPB in promoting projects. It should therefore be filled in carefully, with an eye on accuracy and completeness. Technical Advisers wishing to make use of this questionnaire should either reproduce the specimen given in this Manual or write to ICPB at Vienna for additional copies.

Although ICPB does not have the resources to conduct feasibility or other studies, it is able to summon such resources either from the appropriate branch within UNIDO or by resorting to outside expertise. Such studies may only, however, be undertaken if an official request is made through the UNDP Resident Representative.

C. Identification of partners

The ability of institutions in developing countries to identify industrial investment projects and to prepare them for presentation depends to a great extent on the stage of industrialization attained by the country and the corresponding availability of experienced and suitably-trained personnel. The services of ICPB may therefore not always be required at this early stage.

It is the next stage which generally presents difficulties, that of finding the right resources to bring the project to fruition. These resources vary according to the project and may take the form of joint venture partnership, cash investment, supply of technology, provision of management expertise etc. These resources are best obtained from public and private enterprise in industrialized and advanced developing countries which are interested in participating in appropriate industrial

investment projects in developing countries. The difficulties, compounded by distance, which developing countries have in bringing their projects to the notice of potential partners is well known. Some developing countries do have their own offices in industrialized countries to promote their projects, but such offices are costly to run and often represent a drain on qualified personnel who could be usefully deployed at home.

In this area of identifying potential partners ICPB can be of valuable help. ICPB brings projects to the attention of suitable entrepreneurs in three ways.

Firstly, UNIDO maintains Investment Promotion Services in seven cities, namely Brussels, Cologne, New York, Paris, Tokyo, Vienna and Zurich. The role of these services is to provide a direct link with the enterprises in the countries in which they are located. The services are staffed by nationals of the countries themselves who are therefore not only able to converse in the same language but who are also familiar with the industrial structure of the country. Project proposals which reach UNIDO headquarters are automatically sent to all Investment Promotion Services for promotion in the countries concerned. UNIDO is planning to open similar offices in four more countries.

The second way in which ICPB promotes industrial investment projects is at Investment Promotion Meetings. The purpose of these meetings is to bring project promoters and sponsors face to face with potential partners. In this way, during the course of the meetings, the maximum amount of dialogue can be generated in a minimum amount of time. Meetings are usually organized either on a sectoral or a geographical basis. At sectoral meetings projects belonging to one or more specific industrial sectors are presented; at geographical meetings projects originating in selected developing countries are promoted, irrespective of industrial sector. ICPB runs a full programme of investment promotion meetings each year.

The third way in which ICPB promotes industrial investment projects is by direct contact from headquarters with those enterprises, known to be potential partners, which are located in countries where UNIDO does not have investment promotion services. Over the years, as a result of efforts made by ICPB as well as approaches made by interested firms, ICPB has built up a dossier of many hundreds of firms, classified according to their industrial activity, which are suitable and willing to participate on a long-term basis in projects in developing countries. ICPB is therefore often able to send a newly-received project straight to one or more potential partners selected from this dossier.

D. Promotion tools

In order to help it carry out its work, ICPB issues five publications which it calls promotion tools. Some of these tools are intended for use by potential partners in industrialized countries, others by project promoters or sponsors in developing countries. The scope of the tools is uniform, namely to assist in the investment promotion process by disseminating as much information as possible and thereby bridging the communication gap. The five tools are listed below.

1. Industrial Investment Project Proposals. This is a list containing a summary of the projects which ICPB is actively promoting. The list is in country order and is cross-indexed by industrial classification. The information contained on each project usually includes a detailed project description, proposed location and markets, total project cost, foreign co-operation sought and ownership structure. This list is published once or twice a year and is distributed to potential partners through the Investment Promotion Services and directly from headquarters. Special lists are prepared for each investment promotion meeting.

2. Industrial Investment Profiles. ICPB has issued a series of six-page profiles of developing countries written specially with the potential investor in mind. The profiles contain general country and economic data, a summary of government economic policy, regulations on private and public foreign investment, comparative advantages of the manufacturing sector, examples of existing manufacturing enterprises in the country and further sources of industrial investment information. These profiles come in a handy loose-leaf binder for easy up-dating.

3. Financial Resources for Industrial Projects in Developing Countries. This publication, which at present runs to two extensive volumes, is a valuable aid to both project promoters and potential partners. It contains comprehensive information on institutions all over the world which may finance projects in developing countries. The institutions are classified according to their scope, i.e. whether they are national, regional, international etc.

4. Manufacturing Ideas. The problem which is often faced by institutions in developing countries, especially ministries of industry, investment banks, development corporations and other bodies which are entrusted with or involved in the industrial development of the country, is to visualize what could be realistically manufactured and what such a project would look like. In order to help such institutions to come to grips with this problem, ICPB is issuing a series of ideas which covers a modest range of medium-sized manufacturing units. Each leaflet contains a brief description of the manufacturing process involved, the necessary machinery, an indication of cost etc. It does not, of course, go into the profitability of such a project nor is it a replacement for a feasibility study. It is merely a stimulus for project promoters and sponsors in developing countries and a means to help them in identifying suitable products for manufacture at home.

5. Roster of Resources. This publication is a means of informing institutions responsible for setting up projects in developing countries which resources (joint venture partnership, cash investment, transfer of technology etc.) are available for their projects from known sources in industrialized and advanced developing countries. The roster consists of a list of products, grouped by industrial sector. Against each product appears the enterprise (represented by a code number) willing to offer resources for the manufacture of the product together with the type of resources which the enterprise will consider contributing. An extract from this publication appears in annex II, at the end of this chapter. The Roster of Resources is updated once or twice a year and is distributed widely among hundreds of suitable institutions in developing countries.

ICPB is setting up a computer data bank of information on industrial investment projects and potential partners. This information system, called INPRIS, will be accessible to both UNIDO headquarters as well as the Investment Promotion Services abroad. This means that entrepreneurs seeking investment opportunities will be able to retrieve up-to-date information on projects of interest to them while project promoters and sponsors will be able to search the data bank for suitable potential partners for their projects.

E. ICPB's services

ICPB's services to promote industrial investment projects are available free of charge on request. CTAs who are involved in setting up new projects in developing countries and who require assistance in any of the stages of project creation, from identification to implementation, are invited to contact the Director, ICPB, at UNIDO headquarters. ICPB would also be pleased to mail copies of any of the publications described earlier.

It may not be inappropriate to end this chapter with a note of caution. In the experience of ICPB, one of the biggest drawbacks in the setting up of new projects in developing countries is the lack of a suitable counterpart or responsible person entrusted with the project. Too often projects reach ICPB which give no indication of the existence of a company or institution in the developing country, much less a designated individual, at the back of the project. In other words such projects are merely projects thought by someone in the country to be desirable but for which no one is willing to take risk or responsibility. Such projects are very difficult to promote since the first reaction of a potential partner is to want to know the status of the promoter of the project; if there is no promoter, interest usually fizzles out immediately. It also does little to alleviate the fears and apprehensions which a potential partner may have about a new venture in a new country when the project is being promoted more or less anonymously.

Another sore point in the promotion of industrial investment projects is the delay in receiving replies to correspondence with the promoters or sponsors of such projects. In some cases it takes a succession of mailed or cabled reminders to obtain a response, if any is obtained at all. This unbusinesslike condition not only causes unnecessary work to ICPB and to potential partners, but is hardly likely to inspire confidence in either the project itself or the institution promoting or sponsoring it. A short reply, even if only an interim one, sets the mind of the correspondent at rest and stops him from wondering whether his letter has reached its destination at all.

In addition to utilizing ICPB's services, CTAs are also invited to contribute to ICPB in the form of project information or follow-up work sent to ICPB in the area of investment promotion.

Annex I
INDUSTRIAL INVESTMENT PROJECT QUESTIONNAIRE

Country: _____ Project No: _____

ISIC: _____ Submission date: _____

Project title:

Foreign contribution desired:

Project study available: Pre-feasibility
 Feasibility
 Other
 None

FOR INTERNAL USE ONLY

Name of project sponsor/promoter:

Address:

Telephone number:

Cable address:

Telex number:

Name and title of person who can be contacted for further information:

Government agency/ministry or other organization backing up or supporting this project:

Note

One of the principal tasks of UNIDO's Investment Co-operative Programme Office (ICPO) is the identification and subsequent promotion of industrial projects to be located in developing countries.

The purpose of this form is to present sufficient information on a proposed project to enable a potential partner to decide whether it is of interest to him or not. It is important therefore that the form be completed with as much detail as possible.

If insufficient space has been provided for certain answers or if a particular aspect of relevance to the project is not covered by the form, please attach additional sheets.

Please indicate which part of the information, if any, you would like to have treated confidentially.

Any correspondence concerning this proposed project (and any other matters connected with industrial investments in developing countries) should be addressed to:

The Director
Investment Co-operative Programme Office
UNIDO
P.O. Box 300
A-1400 Vienna
Austria
Telephone: (0222) 26 31 0
Telex: 135612

1. Information concerning the proponent
Describe briefly your current business activity and, in particular, the products you are manufacturing or trading (quantity - quality):

2. Description of the project
 - 2.1 Is this project a new enterprise or expansion/modernization of an existing one?

 - 2.2 Specify quality, size and other important specifications of each product to be manufactured:

 - 2.3 Specify plant capacity and annual production programme for each finished product to be manufactured (in case of expansion/modernization, present and projected):

 - 2.4 Number of working days per annum and number of shifts per day required to implement the production programme (in case of expansion/modernization, present and projected):

 - 2.5 Describe briefly the production process which you plan to employ:

 - 2.6 Licences and/or know-how considered or negotiated:

 - 2.7 If you are proposing to expand/modernize your existing industry, please state the reasons:

3. Raw materials and other inputs

3.1 Raw materials

What raw materials will be needed in the proposed enterprise?

3.1.1 Are they readily available in adequate quality and quantity from local sources?

3.1.2 For materials which have to be imported, indicate customary sources and specify import duties, where applicable:

3.2 Utilities

3.2.1 Indicate quantities required and unit prices for the following utilities:

Quantity Unit price

- Fuel (oil, gas, coal, etc.)
- Electricity
- Water
- Other

3.3 Manpower

Indicate estimated personnel requirements and average monthly wages inclusive of all allowances and benefits (in case of expansion/modernization: present and projected figures):

	<u>Number</u>	<u>Available</u> <u>yes/no</u>	<u>Training</u> <u>needed</u> <u>yes/no</u>	<u>Monthly</u> <u>salary/</u> <u>person</u>
Management			
Clerical			
Technical supervision			
Skilled labour			
Semi-skilled labour			
Unskilled labour			
Seasonal labour			

4. Market */
- 4.1 What is the total demand for the products in the country or in a given region to be supplied by the project?
- 4.2 How is the demand presently met (by local production or by imports)?
- 4.3 Current price and trend projection for the products sold locally (C.I.F. price in case of imports):
- 4.4 If the products now on the market are imported, will protection be available to the locally-made products (for example by restricting or licensing imports, high import duties etc.)?
- 4.5 Expected annual sales to foreign markets with indication of major markets:
- 4.6 Are there regional agreements covering market outlets (e.g. ASEAN, CACM, ECOWAS, LAFTA)?
- 4.7 Proposed distribution channels:

*/ If a market study has been made, please attach.

5. Site and infrastructure

5.1 Site

5.1.1 Where is the plant to be built or expanded?

5.1.2 Is land readily available?

5.1.3 Indicate size of land required:

5.2 Infrastructure

5.2.1 Is there adequate access to site (road, rail, waterway) and waste disposal facilities?

5.2.2 Are electric power and process water available in adequate quantities (transmission line and water pipe)?

5.2.3 Are communication facilities available (post and telecommunications)?

5.2.4 Are banking facilities available?

5.3 Is there any additional investment needed to provide or secure utilities supply?

5.4 What are the environmental impacts of the project?

5.5 Housing

Is the plant site near established centres of population or are new housing facilities required?

6. Investment cost and financing

6.1 Estimate of investment cost:

	<u>Local currency component (in US\$)</u>	<u>Foreign currency component (in US\$)</u>	<u>Total (in US\$)</u>
Fixed investment:			
Land			
Buildings			
Machinery and equipment			
Working capital			
Pre-operational expenses			
Interest during construction			
Provision for contingencies	_____	_____	_____
Total	=====	=====	=====

6.2 Sources of finance

	<u>Local sources (in US\$)</u>	<u>Foreign sources (in US\$)</u>	<u>Total (in US\$)</u>
Equity			
Long-term loans			
Short- and medium-term loans	_____	_____	_____
Total	=====	=====	=====

7. What ownership structure is foreseen for the project?
Check or delete whichever is appropriate:

- _____ % local (private)
- _____ % local (state)
- _____ % foreign

8. Foreign contribution desired:

Indicate whichever is needed among the following:

- equity participation (maximum percentage ... %)
- loan
- technology (licensing, patents etc.)
- management
- market access
- services (engineering, product development etc.)
- training

9. Give a tentative timetable for the implementation of the project (from the time of the preparatory studies to the commercial operation of the plant):

10. Further information of possible interest:

11. If a project study is available, where?

Prepared by:

Year of completion:

12. Currency exchange rate used:

Date:

Rate: US\$ 1 =

Annex II
ROSTER OF RESOURCES
(Extract)

What is it?

The Roster of Resources is a publication issued at regular intervals by the UNIDO Investment Co-operative Programme (ICP). It is one of the tools that ICP uses to stimulate the creation of industrial investment projects in developing countries.

Whom does it serve?

One of the problems that face promoters or sponsors of industrial investment projects in developing countries is finding suitable partners for those projects. ICP therefore started systematically approaching public and private enterprises in selected industrialized countries in order to find out whether they would be willing to participate on a long-term basis in manufacturing projects in developing countries. The information provided by the firms that responded positively to ICP's enquiries is summarized in the Roster. The Roster therefore serves project sponsors or promoters to identify potential partners for their projects.

What does it contain?

The Roster is essentially a list of products and the resources offered by potential partners if they were to participate in projects to manufacture these products. In the tables that follow, the first column gives the International Standard Industrial Classification (ISIC) of products, which are listed in the second column. The third column shows those firms, whose names are replaced here by code numbers in order to save space, that could be partners in projects to manufacture the products listed in the previous column. The remaining columns, numbered 1 to 11, show the resources, or possible forms of participation, offered by the potential partners. The numbers have the following significance:

- | | | |
|--------------------|------------------------|-------------------------|
| 1. Cash investment | 5. Technology transfer | 8. Management expertise |
| 2. Joint venture | 6. Turnkey project | 9. Technical expertise |
| 3. Subcontracting | 7. Equipment supply | 10. Training expertise |
| 4. Licensing | | 11. Marketing expertise |

How does it work?

Let us say that an entrepreneur in a developing country wishes to manufacture cement. Let us assume too that he would like the project to be set up on a turnkey basis and that he would like to acquire the expertise to market cement. He would first search for ISIC 3692 under the first column, which corresponds to cement. He would then see which enterprises include "turnkey project" and "marketing expertise" among the resources they offer. This would be shown by an "x" in columns 6 and 11 under "Resources Offered". As may be seen in this case, three firms (DK20, GB52, IN45) offer the two resources sought. The entrepreneur would then complete the project proposal form on the inside back cover of the Roster, taking care to insert the code numbers of the suitable firms in the appropriate box at the bottom of the form. He would then send the completed form to ICP, which in turn would transmit it to the firms in question with a request that they contact the entrepreneur with a view to setting up the desired cement project.

ISIC	PRODUCT	Code No.	Resources Offered																			
			1	2	3	4	5	6	7	8	9	10	11									
<u>ISIC 356: Plastic products</u>																						
3560	Plastic containers, bins, pallets, form-elements and crates	GH79				x	x			x	x	x	x	x								
3560	Plastic sheets	F61		x		x	x			x												
3560	Plastic products	F68	?		x	x	x				x				x	x						
3560	Flexible polyurethane and latex foams, foam products for bedding, furniture, automotive industries and special applications	GB55		x		x	x	x		x	x	x	x	x	x	x						
3560	Plastic chairs	J77		x					x	x												
3560	Injection moulded, blow moulded and extruded articles	IN33			x					x			x									
3560	Polyvinyl chloride water pipes	NLS1	x	x	x	x	x	x	x	x	x	x	x	x	x	x						
3560	Plastic products	SF33		x	x	x	x	x	x					x	x							
3560	Plastic and laminated tubes	US4				x	x			x	x			x	x							
3560	Exterior wall and insulation systems for building industry	US6		x		x	x			x				x								
<u>ISIC 361: Pottery, china and earthenware</u>																						
3610	Prefabricated sanitary units	I90		x	x			x				x										
3610	Sanitary ware, jars	IN47		x				x				x		x	x							
3610	Crockery, sanitary ware, ceramic ware	IN76	x	x	x				x	x	x	x	x									
3610	Ceramic sanitary ware	IN77	x	x		x	x	x				x		x	x							
<u>ISIC 362: Glass and glass products</u>																						
3620	Glass bottles	IN8		x	x	x	x	x	x	x	x	x	x	x	x	x						
3620	Glass bottles in flint and amber colours, plain and printed pressed tumblers	IN46		x					x	x				x								
3620	Glass ware	IN76	x	x	x				x	x	x			x								
3620	Glass containers	IN78		x					x				x		x							
<u>ISIC 369: Other mineral products</u>																						
3691	Structural clay products, ceramic, mosaic and terrazzo tiles	E5						x	x	x	x	x	x	x	x							
3691	Refractory materials for standard and continuous casting	I236		x		x																
3691	Refractories	IN47		x				x				x		x	x							
3691	Refractories, glazed tiles	IN76	x	x	x				x	x	x	x	x									
3691	Glazed wall tiles	IN77	x	x		x	x	x					x	x	x							
3692	Cement	DK20		?	?	?	x	x	x	x	x	x	x	x	x							
3692	Cement	E14		x	x		x	x	x					x								
3692	Cement and related products	GB52	x	x	x		x	x					x	x	x							
3692	Cement	IN45		x	x	x	x	x	x	x	x	x	x	x	x							

XXIII. INDUSTRIAL AND TECHNOLOGICAL INFORMATION SERVICES

A. General

Through its Industrial Information Section, UNIDO provides its field personnel with industrial and technological information which might be more difficult to obtain on site. Conversely, the Industrial Information Section is very much dependent upon UNIDO's field personnel for all types of information on the local industrial development situation needed at headquarters for carrying out UNIDO's operations and studies.

B. Vienna International Centre (VIC) Library

The International Atomic Energy Agency operates a Library for all organizations located at the VIC. During their briefing at Vienna, Chief Technical Advisers are invited to use the VIC Library. They can also register for two services offered for field staff:

- 1) Library Acquisitions lists the latest publications received in the Library (there is no loan service to the field but the publications can be ordered through established channels).
- 2) Current Awareness Bulletins give tables of contents of recent issues of selected journals received in the Library (photocopies of articles in the Bulletins are provided by the Library on request).

C. UNIDO Newsletter

UNIDO issues a periodical newsletter. CTAs should have their names on the mailing list of the UNIDO Newsletter, which is computerized in order to facilitate retrieval of short lists of readers with specific areas of interest. The questionnaire to be filled out in order to be included in this mailing list also contains points of relevance to specific sectors of interest for the purpose of a selective dissemination of other publications of a specialized nature.

Printouts from the computerized mailing list can also be sent on request to CTAs. These printouts may serve as an opening for direct contact with institutions and individuals in the country of assignment.

Indications of names to be deleted and names to be added will be particularly welcomed by UNIDO's officer in charge of the publication of the Newsletter, who will gladly make available to CTAs questionnaires to be completed by potential Newsletter readers.

D. Industrial Development Abstracts

The abstracts of UNIDO publications, reports and documents covering every conceivable area of interest to industrial development, are published in the chronological order of their issuance in the Industrial Development Abstracts series. They are added systematically to a computerized data base, which makes up UNIDO's institutional memory. CTAs may not wish to keep a full collection of the printed abstracts, as it may be simpler for them to request a printout on a particular topic when the need arises. They may wish to have a copy of the UNIDO Thesaurus which provides the keywords used to index the documents, but it is not necessary to use the Thesaurus terminology in submitting a query.

Availability of the documents and publications thus abstracted is also advertised in the Newsletter. They can be sent upon request. This is a service of which CTAs can avail themselves; they are also welcome to offer it to institutions and enterprisers in their countries of assignment.

E. The Industrial Inquiry Service and Industrial and Technological Information Bank (INTIB)

UNIDO's Industrial Inquiry Service is now being operated in conjunction with the Industrial and Technological Information Bank (INTIB) and geared to serve its purpose. The Industrial Inquiry Service is advertised as "mail order technical assistance" and basically provides answers to questions of relevance to industrial development received from developing countries in every sector of industry and at every level of concern. Answers are provided by drawing on various sources of information such as UNIDO documents, the contents of subject files developed within UNIDO, the VIC Library, the expertise of individual UNIDO staff members and numerous sources of information world-wide. This service is essentially to serve local industrial planners, managers and engineers and to provide them with an additional source to which they can turn for information.

The target group of information users for INTIB is placed at that level of advisory or decision-making responsibility where the selection of technologies from alternatives at the stage preceding actual investments can only be exercised on a comprehensive, reliable and independent information base. This is a comparatively new operation relating to 20 industrial sectors listed in the INTIB promotion pamphlet. Provision of answers to questions related to the choice of technology is effected by the Industrial Inquiry Service but based on a more in-depth analysis from a broader range of sources of information. INTIB also provides information on alternative technologies through the preparation of industrial profiles. UNIDO is exerting considerable efforts to link INTIB with its users through national focal points and relays such as industrial information centres, development banks, technological institutes, research and development centres etc. INTIB is also promoting linkage between these institutions at the national,

regional and international levels. In particular, the services of INTIB are of relevance to the work at the national and regional levels of industrial information facilities, a directory of which in developing countries is available. Pamphlets on both INTIB and the Industrial Inquiry Service are likewise available.

Industrial and technological inquiries should be addressed to INTIB either by using the form "Request for Information" or simply by writing a letter based on the guidelines "How to Use the Request Form". INTIB services can only be improved by guidance of its users, and comments of CTAs on the usefulness of the information provided are of great importance.

F. Industrial Film News Notes

Industrial Film News Notes is a monthly mimeographed bulletin relating to availability on loan of audio-visual features illustrating and explaining a variety of industrial operations. Interested CTAs may wish to inquire into the availability of the films and keep an eye on new titles coming up in this series.

G. Guides to Information Sources

UNIDO has compiled Guides to Information Sources pertaining to 37 sectors of industry as an instrument for the development of international professional contacts. CTAs can be provided on request with copies of the Guides of relevance to their own field of endeavour: they are welcome to ask for additional Guides of interest to whatever professional contacts they will have developed in their countries of assignment.

H. Directory of Industrial Information Services and Systems in Developing Countries

A Directory of Industrial Information Services and Systems in Developing Countries has been compiled. Assistance in completing it will be welcome as will efforts on the part of CTAs to promote association between such services in their area and INTIB.

I. Roster of consultant firms

UNIDO keeps a computerized roster of consultant firms. There is a general policy to promote exchange of consulting services between developing countries, and CTAs are encouraged to draw on this resource.

J. How to apply for information services

On the following pages, various blank forms are reproduced which are to assist UNIDO's field personnel with their requests for information services. A supply of these forms may be obtained by writing to UNIDO's Industrial Information Section.

HOW TO USE THE REQUEST FORM

Fill in the REQUEST FOR INFORMATION and send it to the following UNIDO address:

Industrial and Technological Information Bank (INTIB)
Industrial Information Section
UNIDO
Vienna International Centre
P.O. Box 300
A-1400 Vienna, Austria

DESCRIBE YOUR PROBLEM as completely as possible, giving precise details. Keep in mind that our answer to your inquiry depends very much on the quality of the inquiry.

WELL FORMULATED INQUIRIES SHOULD

INCLUDE The Subject or Field of Application - please limit to one product, service, process, activity etc. on each form.

The Type of Information Wanted - what do you want to know - technological processes, vendors, markets, costs, sources, adaptation, manpower and training. etc.

INDICATE Desired Form of Replies - do you want bibliographies, documents, articles, statistical reports, brief surveys, catalogues, reports, industrial profiles, expert advice and/or recommendations, addresses etc.

STATE The Basic Data - include the qualitative and quantitative data needed to understand your problem, such as raw materials availability, production capacity, initial capital investment etc. If necessary, include explanatory notes and documents on technical, economic and social factors involved.

INDICATE The Reason - why you are asking the question and what you hope the answer will do for you.

STATE Other Sources - you have already contacted or have readily available to you.

INDUSTRIAL AND TECHNOLOGICAL INFORMATION BANK (ITIB)

REQUEST FOR INFORMATION

Your Ref.:

Name: :

Address:

EXACT STATEMENT OF YOUR QUESTION

Subject matter or field of application

.....
.....
.....
.....
.....
.....

Type(s) of information wanted

.....
.....
.....
.....
.....

Desired form(s) of reply(ies)

.....
.....
.....
.....

Basic data for the problem

.....
.....
.....
.....
.....

The aim of the question and the result(s) you hope to achieve

.....
.....
.....
.....
.....

Other source(s) of information already contacted

.....
.....
.....

Date: Signature:

DIRECTORY OF INDUSTRIAL INFORMATION SYSTEMS AND SERVICES

IN THE DEVELOPING COUNTRIES

QUESTIONNAIRE

SECTION 1 : IDENTIFICATION OF THE SYSTEM/SERVICE		
1.1 Name of information centre, service or system	Acronym:	
1.2 Parent organization	Acronym:	
Mailing address:		
Telephone:	Cable:	Telex:
1.3 Type of system/service: (please mark as appropriate)		
<input type="checkbox"/> Bibliographic		
<input type="checkbox"/> Information analysis service		
<input type="checkbox"/> Data bank		
<input type="checkbox"/> Referral		
<input type="checkbox"/> Clearing house		
<input type="checkbox"/> Library		
<input type="checkbox"/> Other -----		

SECTION 2 : DESCRIPTION OF THE SYSTEM/SERVICE

2.1 Subject scope: (subjects on which system provides information)

2.2 Geographic coverage: (countries or areas on which information is collected)

2.3 Users: (type of users the system is designed to serve)

2.4 Working language(s):

2.5 Indexing / classification tools used:

Do you use	yes	no
- the UNIDO Thesaurus of Industrial Development Terms? Would you like to receive a copy?	—	—
- UNIDO Guides to Information Sources? Would you like to receive a list of the Guides?	—	—

SECTION 3 : SERVICES PROVIDED

- ___ Loans of documents
- ___ Audio-visual services
- ___ Question and answer
- ___ Bibliographic searches on request
- ___ Current awareness - SDI
- ___ Access to machine readable data base(s)
- ___ Advisory services
- ___ Training of information officers, users
- ___ Reprographic services
 - Do you have a microfiche reader? yes no
- ___ Translations on request
- ___ Other -----

SECTION 4 : PRINTED PRODUCTS

4.1 Periodical publications: (title, frequency, language(s))

4.2 Other publications (including descriptions of your service) produced in the last three years.

If you have a brochure describing your service, and/or a list of your publications, please attach.

XXIV. ENERGY PROJECTS

A. General

The number of energy-related projects in country and inter-country programmes is steadily increasing and this trend is expected to continue as the supply of energy has a steadily growing influence on the development process. Similarly, other funds under UNDP jurisdiction are also experiencing an increase in the number of requests received for assistance in the field of energy. Annex I to this chapter provides a description of the different sources of financing available to UNDP which, in principle, can be used for assisting developing countries in their energy sector.

In addition to UNIDO, many of the participating and executing agencies of UNDP have legitimate interests in the execution of energy projects in accordance with their specific mandates, although a good deal of overlap has been noted. UNDP is exerting considerable efforts to oversee and manage activities in the field of energy funded by the Indicative Planning Figures (IPFs) or other funds under UNDP jurisdiction, in such a way as to ensure the most effective and efficient use of these resources in the service of the developing countries. It is essential to avoid unnecessary duplication and replication of effort; to facilitate proper consultation among the agencies concerned, in particular when decisions on project execution are made; and to provide for full exchange of information and feedback of results. Internal consistency of approach is also required in relations with bilateral donors.

A mechanism has been established at UNDP Headquarters to ensure that projects in the energy sector financed from the different sources available to UNDP are dealt with in a coherent and co-ordinated manner. Moreover, an Energy Policy Group under the chairmanship of the Deputy Administrator was set up together with a subsidiary Energy Project Review Committee. The purpose and membership of the Energy Policy Group are described in annex II to this chapter.

B. Procedures

To facilitate the work of UNDP's Energy Policy Group and the Energy Projects Review Committee, the following procedures should be observed by all concerned:

- (a) Summaries of project proposals should be prepared for all energy projects, regardless of cost or source of funding, as soon as a project idea can be formulated:
- (b) Summaries of project proposals, Resident Representatives' project appraisals (for projects approved under delegated authority) and draft project documents should be transmitted, as and when prepared, directly to the following officers at Headquarters:
 - (i) The Assistant Administrator and the Director of the Regional Bureau concerned, Chief, Unit for Europe (UFE), and the Senior Director, Division for Global and Inter-regional Projects (DGIP) as the case might be;
 - (ii) The Director of the specific source of funding if the source of funding is other than the Indicative Planning Figures (IPFs) or the special measures fund;
 - (iii) The Deputy Assistant Administrator, Bureau for Programme Policy and Evaluation (BPPE).

These procedures apply mutatis mutandis to inter-country projects.

The above procedures are intended to permit the Energy Projects Review Committee to consider energy projects without delay, and hence to make proposals to facilitate coherent and co-ordinated action of all projects assisted by UNDP notwithstanding the source of funding.

C. UNIDO's activities in the field of energy

The importance of energy and energy-related technologies to the industrial development of the developing countries and to the achievement of the industrialization target for the year 2000 set in the Lima Declaration and Plan of Action was reflected in the New Delhi Declaration and Plan of Action. Their significance was subsequently reaffirmed by UNIDO's Board at its fourteenth session which attached priority to the effective implementation by UNIDO of a programme of work in the field of energy-related industrial technology when following up the decisions and recommendations of the Third General Conference.

Consequently, a Special Advisory Group on Energy was established with the basic aim of defining and co-ordinating an expanded, comprehensive and balanced UNIDO energy programme which would extend into subsequent biennia. Documents UNIDO/OED.130 and OED.131 contain information on UNIDO's activities and on the conceptual framework which should serve as a basis for identification of the UNIDO energy-related programme of work: studies, technical assistance, technology development etc. The UNIDO energy programme will be devoted to three main areas: energy for industry; industry for energy; and industrial energy management.

1. Energy for industry

This issue has to do with the correlation between the pattern of energy availability (type, quantity, location, timing, cost, environmental impact) and the corresponding industrial pattern that can be established (sectors, factors, size, processes, products, location, export potential, environmental impact etc.). In particular, it has to do with the role of new and renewable sources of energy (NRSE) and their potential contribution to industrial operations and industrial development. Processes and products will have to be selected or developed (after research and pilot plant work) to fit particular energy patterns, especially those in which NRSE play an important role. This will require an unprecedented technological, industrial and financial effort by developing countries and developed countries. It is important to identify the industries, processes and products which best lend themselves to development on the basis of NRSE, especially in developing countries.

The development of energy-efficient consumer products is also important because of the energy savings which

may result. The example of the automotive industry is conspicuous since the industry responded effectively with fuel efficient cars and with 100 per cent ethanol cars, as in Brazil.

2. Industry for energy

This issue has to do with the development of the capital goods industry and of the industrial engineering services necessary for the development of NRSE in general. In other words, it has to do with the development of a full technological and industrial capability, in developing countries, to do research, design, produce and service a varied spectrum of capital goods and engineering services.

It can be roughly estimated that all such equipment for harnessing and application of NRSE in developing countries, in the period 1980-2000, will be worth no less than \$1,200 billion (in 1980 dollars). Even if lower estimates are considered, it is still clear that development of NRSE will require an extraordinary effort, by developing countries, to establish or expand their capital goods industry, even if one considers only the requirements of the NRSE sector.

The corresponding effort in terms of technology, trained manpower and finance will have unprecedented dimensions.

3. Industrial energy management

Good energy management has always been a problem in industrial development and operations. The problem has become acute in recent years, with the scope and urgency of such programmes being increased in the point where it is receiving the closest attention from industry and Governments and both, at the plant level and on a national scale.

The pre-occupations with "energy management" now include, inter-alia, such aspects as:

- (a) National energy planning;
- (b) The optimization and improvement of plant energy balances, with special attention to: energy conservation, energy substitution etc.
- (c) The optimization and improvement of energy-related planning and use in urban areas, with special attention to requirements of industry, transportation and commerce; and
- (d) Planning, programmes and actions relating to the means required to achieve the above results such as manpower, technology and finance.

Steps have already been taken to expand and co-ordinate UNIDO's energy-related activities. All programmes have contributed to the submission of various projects of direct relevance to developing countries including technical assistance, studies, meetings etc.

In the technical assistance (DIO - Division of Industrial Operations) area some 40 energy-related projects are being implemented in respect of such varied areas as: coal conversion; rational utilization of energy in the sugar-cane industry; technical training related to the use of energy in industry.

To complement the technical assistance delivery structure the Executive Director established an Industrial Energy Engineering Unit inside DIO, which will deal with projects and aspects not covered by other sections of DIO. Work has also been scheduled, within the biennium, covering: studies, technological development, consultations etc. It is to be expected that UNIDO's energy-related technical assistance projects will increase markedly in the near future in view of the importance being assigned by developing countries to energy problems and opportunities.

The schedule of studies of UNIDO's Industrial Studies and Research Programme (DIO - Division of Industrial Operations) for the current biennium provides not only for the elaboration of an energy-specific typology for the developing countries and the assessment of demand for energy in those countries, but also for the elaboration of scenarios related to energy and studies on energy supply potentials and their implications for industrialization. As part of the studies conducted in respect of individual industrial branches, assessments are made of the current and projected energy requirements of those branches. This research, together with such studies as those on energy consumption in selected developing countries or the resource surveys of selected least developed countries, will contribute to the collection of data essential for a realistic assessment of the industrial energy requirements of the developing countries.

Regarding technological aspects, a great deal of attention is being devoted by the Technology Group to the assessment of technological developments and innovations in the energy sector and their impact on industry.

Further energy-related activities and projects are being planned by COOP (DIO-Investment Co-operative Programme Branch) and in the System of Consultations (DPC-Negotiations Branch).

Annex I

UNDP SOURCES OF FINANCE FOR ENERGY PROJECTS

1. This note has been prepared in order to provide information to Resident Representatives, governments of developing countries, the organizations of the United Nations System including the World Bank and the Regional Development Banks, and others concerned with the identification, preparation and financing of energy programmes and projects on the range of financial programmes available to developing countries through UNDP for carrying out activities in the energy field. In selecting the appropriate projects for financing by UNDP, it should be noted that UNDP is primarily an organization for financing technical co-operation and pre-investment programmes and projects.

2. In addition to being responsible and accountable for the utilization of the resources of UNDP, the Administrator has been assigned the responsibility for the management and operation of the following programmes which have as part of their mandate the funding of activities in the field of energy:

- (i) The United Nations Revolving Fund for Natural Resources Exploration (UNRFNRE);
- (ii) The United Nations Interim Fund for Science and Technology for Development (UNIPSTD);
- (iii) The UNDP Energy Account (Approved at the 27th session of the UNDP Governing Council in June 1980);
- (iv) The United Nations Capital Development Fund (UNCDF); and
- (v) Other Funds.

The United Nations Development Programme (UNDP)

3. The guiding principles of UNDP provide that it should furnish, at their request, assistance to governments of developing countries for programmes and projects directed towards accelerating their economic and social development and the promotion of self-reliance in the country or countries concerned, including assistance in facilitating the investment of new capital. In particular, projects may be submitted for financing under the country "indicative planning figure" (IPF), or regional and interregional and global IPFs. The following are illustrative of the types of activities in the energy field which are eligible for assistance:

- (i) The identification of potential sites for the development of hydro-power;
- (ii) Exploration and development of coal, uranium, geothermal energy, petroleum and natural gas (because of the high risk and cost involved, UNDP will not support exploratory drilling for petroleum);
- (iii) Studies aimed at assessing the potential of various energy resources, e.g. thermal, hydro, nuclear, geothermal, woodfuel, wind and tidal power, etc.;

- (iv) Assistance in the development and preparation of comprehensive energy planning and enabling legislation, including provision of advisory and consultant services as well as providing training of the necessary personnel in order to carry out such energy programmes;
- (v) Support towards research and development of various new and renewable energy supplies such as wind, solar, biogas and ocean energy, etc. Activities of a global nature involving Research and Development may be eligible for assistance under the global IPP;
- (vi) Assistance to the establishment or strengthening of various institutions for research, development, production and testing of power and transmission equipment, etc.;
- (vii) Regional studies aimed at the integrated development of the energy resources of a region or subregion including assessments of individual country requirements;
- (viii) Assistance to the planning and development of rural electrification and the development or promotion of small and low-cost energy resources at the village level;
- (ix) Regional and interregional training seminars, symposia and training institutions;
- (x) Integrated river basin development involving riparian countries for overall utilization of hydro-power potential.

4. This list is not all inclusive and projects may consist of a combination of activities. The normal provisions for the endorsement of at least two governments is required for regional or interregional projects. Project documents for national, intercountry and global projects should be prepared in accordance with Chapters 3400 and 3500 of the Policies and Procedures Manual.

The United Nations Revolving Fund for Natural Resources Exploration (UNRFNRE)

5. The Fund's basic legislation defines the scope of its assistance in exploration activities as covering "mineral, water and energy resources" and the types of assistance as covering (i) preparation of requests; (ii) exploration of natural resources; and (iii) pre-investment studies, including feasibility studies. The Fund's operational mandate, as approved by the Governing Council in 1975, recognizes that all types of natural resources may be included within the scope of the Fund's activities, but, because of its limited resources, limits it to exploration for solid minerals, including solid energy minerals, during the initial stages.

6. Under UNRFNRE, the recipient government is expected to reimburse the Fund at a rate of 2% of the annual value of commodities produced as a result of the Fund's exploration activities and shall be payable at that rate for a period of 15 years up to a ceiling of 15 times the original expenditure by the Fund.

7. In June 1979, the Governing Council of UNDP at its 26th session, was invited by the Administrator to examine the feasibility of extending the mandate of the

Revolving Fund to include exploration of geothermal energy. The Council did not pronounce itself on this issue and for the present time the Revolving Fund has limited its operations in the energy field to the exploration for coal and uranium.

8. A Working Group of Government Experts has recently examined the activities of the Fund including the replenishment system. Its report will be considered by the Governing Council at its 28th session and subsequently by ECOSOC. The Fund's position on energy will become clearer after this Review is completed.

The United Nations Interim Fund for Science and Technology for Development (UNIFSTD)

9. The United Nations Interim Fund for Science and Technology for Development was established for a period of two years, 1980 and 1981, as a result of the United Nations Conference on Science and Technology for Development held at Vienna in August 1979 and was approved by the United Nations General Assembly at its thirty-fourth session. The Interim Fund is to provide technical and capital assistance in response to requests from governments and groups of governments for projects in the field of science and technology for development. The three broad objectives of the Fund are to support the efforts of the developing countries in strengthening their indigenous, scientific and technological capacities, to promote international co-operation in science and technology and, pending the establishment of a new financing system, to support activities which are needed to prepare for strengthened efforts in science and technology for development in the future.

10. The activities to be carried out by the Fund are specified in the Annex to General Assembly Resolution 34/218 and include activities in research, development, training, pilot production and demonstration in a number of fields including new and renewable sources of energy. The Interim Fund is to operate in accordance with general principles established by the General Assembly and with policy guidelines decided by the Intergovernmental Committee on Science and Technology for Development. So far, around \$50 million has been pledged to the Interim Fund and initiatives are underway to increase the available resources.

11. The Fund has received to date over 700 requests covering a wide range of activities in the area of science and technology including a number of projects concerning research and development into new energy sources and their application, pilot and demonstration projects, training, information dissemination and related activities. Requests should be prepared according to the procedures established by the Interim Fund which do, in general, follow the approach of the UNDP Policies and Procedures Manual. The Interim Fund works closely with other United Nations organizations. As an identifiable and support fund focussed on the science and technology demonstration of development, it makes maximum use of the existing facilities of the U.N. Technical co-operation system.

The United Nations Capital Development Fund (UNCDF)

12. The United Nations Capital Development Fund, established by General Assembly Resolution 2186 (XXI), provides capital financing for development projects designed to produce direct benefits to low-income and other vulnerable groups in the least-developed (LDCs). ^{a/} Assistance is provided in the form of outright grants though

^{a/} While the Fund's original mandate provides for assistance to all developing countries, the General Assembly decided in 1973 that the Fund should concentrate on the LDCs.

it is also mandated to provide easy-term loans or credits.

13. The bulk of the Fund's assistance (about 30%) is devoted to development activities in the rural sector where the lowest income groups are usually concentrated. Among the criteria for UNCDF financing are:

- (a) projects should be technically and economically sound, provide direct, short-term benefits to low-income and other vulnerable groups;
- (b) projects should meet basic needs preferably identified by local communities and should normally contain a self-help element;
- (c) total UNCDF assistance per project should not normally exceed \$2 million;
- (d) the recipient government must demonstrate its ability to meet recurring expenditure after completion of CDF assistance;
- (e) use of local resources, human and material, as well as of appropriate technology.

Projects financed by the Fund are implemented by the Governments concerned. In some cases, a co-operating agency may be designated to assist or advise the Government in project implementation.

14. Examples of energy-related projects eligible for financing by UNCDF include:

- small-scale hydro-plants;
- wind and solar power;
- biogas;
- rural electrification networks.

UNDP Energy Account

15. At its twenty-seventh session in Geneva in June 1980, the Governing Council authorized the Administrator, on an interim basis, to seek and accept voluntary contributions in cash or in kind, to undertake specific programmes and projects designed to meet urgent needs for assistance to developing countries, especially the poorest among them, in the energy sector without prejudice to future arrangements which may result from the review of UNRWFRE and from the UN Conference on New and Renewable Sources of Energy. The Council emphasized the importance and desirability of utilizing such voluntary contributions to complement activities in the field of energy within country and intercountry programmes funded from the Indicative Planning Figures (IPFs) and other sources. The approval by the Council of this new Energy Account was a recognition of the fact that governments of the poorest countries sometimes have urgent and pressing needs for financing frequently high-risk capital-intensive projects in the field of energy development which, because of already heavy actual and planned commitments against IPFs, they are unable to meet. The Council concluded that there was a clear and identifiable

need within UNDP for a facility to assist governments of developing countries in project identification as well as, in carrying out pre-investment and feasibility studies which may subsequently lead to World Bank capital financing.

- (i) It is expected that the resources of the Account will be used for financing projects in petroleum and natural gas exploration, including heavy crudes and tar sands, although not involving, the more capital-intensive exploration drilling; survey of hydro-power sites; geothermal exploration; wind, tidal and solar power, including small pilot and demonstration plants for small-scale hydro, etc. The above listing is not exhaustive but is meant to be illustrative of the type of activities which will be financed from the Account.
- (ii) The existing administrative and technical services of UNDP and the Specialized Agencies will be utilized in the appraisal and implementation of projects to be funded by the Energy Account.
- (iii) In the implementation of projects special attention will be given to the use of consulting organizations and institutions, specializing in energy development.
- (iv) The activities to be financed under the Account are expected to complement those of the World Bank, which would consider follow-up investment especially of energy projects in the area of high-risk petroleum exploration in the poorest of the developing countries and for regional projects.

Other Funds

16. The Administrator is responsible for the administration of various funds, e.g. Special Measures Fund for Least-Developed Countries, the United Nations Sudano-Sahelian Office. The general conditions governing submission of requests for assistance from UNDP applies for these funds.

Choice of Programme for financing of energy projects and other considerations

17. The above indicates the range of programmes available through UNDP for financing of energy projects. The choice will depend to a large degree on the current status of commitments under the national and intercountry IPFs, and the type of activity for which financing is required from UNDP. In deciding whether a project is eligible for financing, a primary consideration should be that the project leads to early investment and that the government is prepared to devote the necessary resources to adequate planning and to the follow-up and dissemination of the results.

Annex II

GUIDELINES FOR THE ENERGY POLICY GROUP
AT UNDP HEADQUARTERS

1. The Administrator has established at UNDP Headquarters an Energy Policy Group in order to ensure that there is consistency in the approach and co-ordination of activities in the programmes and projects financed by UNDP in the energy field. This includes activities financed by country, regional, interregional and global IPFs, as well as other UNDP-managed resources, e.g. United Nations Capital Development Fund (UNCDF), The United Nations Revolving Fund for Natural Resources Exploration (UNRFNRE), The United Nations Interim Fund for Science and Technology for Development (UNIFSTD), the Energy Account, and other funds.
2. Membership of the Group shall consist of representatives from BPPE, BSA, DGIP, UNIFSTD, Regional Bureaux and UFE, and will meet under the chairmanship of the Deputy Administrator. The membership may be expanded where additional participation is desirable or required for specific purposes. The Deputy Assistant Administrator of BPPE will serve as the Secretary of the Group.
3. The Group has an advisory role within UNDP for all activities concerned with energy development including providing policy guidance to the Regional Bureaux, Unit for Europe, DGIP and other units involved in the financing of energy development.
4. For the purposes of the specific role of this Group, an energy project is defined as a set of activities concerned with the conversion of a natural resource into a form of energy which can be applied to heating, cooking, drying, etc., or to an industrial application and is found available as a conventional, new or renewable resource; also, projects involving energy planning, policy and pricing, energy institution strengthening and energy conservation are included.
5. The Group will also advise the Administrator through EMC on policies regarding the United Nations Conference on New and Renewable Sources of Energy.
6. In addition, a subsidiary Energy Projects Review Committee is established. The membership of this Committee will consist of:
 - a) the Deputy Assistant Administrator of BPPE (Chairman);
 - b) the Division Chief of the concerned Regional Bureau, Unit for Europe, or DGIP, as the case might be;
 - c) a representative of the source of funding if not the IPF;
 - d) the technical adviser in BPPE responsible for the appraisal of the project, and;
 - e) other participants, as required.

The Committee will meet periodically to review and to ensure consistency and coherency of approach of all projects in the field of energy approved by UNDP Headquarters or by Resident Representatives under their delegated approval authority, including those financed under the various UNDP-managed funds. At the same time the Committee will monitor the operation of all projects which are approved in order to ensure that there is a cross-fertilization of important results achieved by the various projects. The Committee will report to the Energy Policy Group.

XXV. GLOSSARY

BACKSTOPPING (non-technical)

Refers to such matters as:

- (a) Administrative support not requiring technical knowledge of the project or the country;
- (b) Administrative aspects of expert selection, recruitment, extension, transfer and separation;
- (c) Administrative of fellowships;
- (d) Briefing regarding administrative and
- (e) Maintenance of accounting and equipment records;
- (f) Procurement of equipment;
- (g) Disposal of equipment and supplies.

BACKSTOPPING (technical)

Refers to such matters as:

- (a) Technical advice in preparing Project Document;
- (b) Technical advice on and supervision of project activities;
- (c) Technical briefing and counselling of experts and fellows;
- (d) Job descriptions for project personnel, non-administrative aspects of selection and recruitment;
- (e) Technical monitoring of individual and group fellowships;
- (f) Development of manuals and training aids directly in support of projects;
- (g) Advice on technical aspects of subcontracting;
- (h) Advice on technical selection of equipment and establishment of equipment list;
- (i) Finalizing technical, terminal and ad hoc reports.

BASELINE DATA

Baseline data refers to the conditions or situations which exist at the start of a project, programme or process against which progress will be monitored and measured.

BUDGET (Regular)

Financial resources covering the activities of an organization for which funds have been appropriated by its legislative body and which are financed by assessed contributions and other income, as distinguished from activities financed by other sources (e.g., UNDP).

CAPITAL INVESTMENT ASSISTANCE

Within the UN system, capital investment assistance is provided almost exclusively by the World Bank (IBRD) and to a very small extent by the UN Capital Development Fund.

CHIEF TECHNICAL ADVISER

The senior individual on UNIDO's international staff is usually called the Chief Technical Adviser. Formerly, this individual may have been called Project Manager or International Team Leader, and in projects which have been in existence for a number of years, these earlier titles may be still in use.

COST EFFECTIVENESS

Cost effectiveness refers to the type of analysis which seeks to determine the cost in relation to the effectiveness of a given project, programme or process, or to compare alternative courses of action (e.g., a different project approach or design) to determine the related degree to which they will achieve the desired objective(s). (It is the ratio between the cost of inputs and the value obtained, measured on the same basis, through anticipated achievement of project, programme or process objectives.) The preferred action or alternative is that which requires the least cost to produce a given level of effectiveness or provide the maximum effectiveness for a given level of cost. (Thus, cost-effectiveness analysis combines both efficiency and effectiveness considerations, attempting to assess both the quality and expenses of a project's implementation and its success in achieving its objective(s).)

COST MEASUREMENT SYSTEM

A Cost Measurement System has been established under CCAQ auspices by all Organizations in the UN system to assess the real costs of servicing technical co-operation projects financed by UNDP, for which UNDP has so far been providing "overhead funds"

at fixed percentage rates of the total cost of the projects (varying according to the type of project).

CONTRIBUTOR (net)

A country whose voluntary contributions to UNDP are equal to or greater than the amount of its Indicative Planning Figure (IPF).

COSTS (direct)

The expenditures incurred directly by the Administrator for a specific project. (UNDP Headquarters retains direct control of and responsibility for these costs.)

COSTS (Overhead or administrative)

The costs incurred by executing agencies in the provision of services to or on behalf of UNDP which are not directly and wholly attributable to or incurred in the implementation of a given project. Currently, UNDP reimburses agencies such as UNIDO at a rate of 13 per cent of the actual costs of projects.

COSTS (programme support)

The charge made by agencies towards UNDP or Governments to defray partly or fully the costs incurred in carrying out projects on their behalf.

COST SHARING (Government)

A formal arrangement with certain Governments which provides for the sharing of the costs of UNDP-assisted projects normally borne by the UNDP. (Under a cost-sharing arrangement, Governments make a contribution towards the overall cost of a project, without attribution to specific lines of the project budget. Government contributions are considered a payment towards the total foreign currency costs of the project without accountability to the Government for specific items of expenditure.)

COSTS (standard)

Rates established by UNDP for budgeting and charging specified services to be rendered under UNDP projects. They should not be confused with "pro for budgeting (not charging) the services mentioned above.

COUNTRY PROGRAMME

The list of UNDP projects foreseen for a given country. UNDP Country Programming involves the identification in advance, for a period of three to five years, of the use of UNDP inputs in relation to the country's development objectives and within the limit of the IPF. (The assistance to be provided to a group of

countries on a sub-regional, regional or interregional basis is called "Intercountry Programme".)

DEVELOPMENT OBJECTIVE

In the context of a UNDP-assisted project, the development objective is the broader sectoral or multi-sectoral development objective which the project is expected to help attain through the achievement of its immediate objective. It is usually beyond the range of the project to achieve by itself. A project could have more than one development objective.

DIRECT SUPPORT PROJECTS

These have the primary function of either :

- (a) Preparing feasibility studies, final engineering studies and other investment oriented studies; or
- (b) Carrying out resource surveys and inventories; or
- (c) Preparing development strategies, plans, programmes and projects; or
- (d) Providing substantive technical advice, usually through the assignment of international personnel for less than one year; or
- (e) Preparing specific technical documents or proposals through ad hoc meetings of working groups or experts drawn from different countries; or
- (f) Providing qualified international personnel to serve as employees of the Government requesting them (i.e., providing OPAS experts) and providing management teams under contract.

Direct support projects may, and frequently do, have institution-building as a secondary function.

DONOR (Multi-bilateral)

A government agency that has accepted to finance a multi-bilateral project (see PROJECT, MULTI-BILATERAL).

EVENT

An event - see also "milestone" - is a specific, definable accomplishment or happening, either beginning or ending, usually in a project or programme work plan, recognizable at a particular

instant in time. Unlike activities or tasks, events do not consume time or resources (e.g., feasibility report completed, legislation passed, arrival of equipment, laboratory commence operations).

EXPENDABLE EQUIPMENT

Items of equipment, valued at less than \$250 a unit or with a serviceable life of less than five years, for which formal inventory records are not maintained. Stock records are maintained by the project.

EXPERIMENTAL PROJECTS

These have the primary function of producing conclusions on the validity or otherwise of one or more hypotheses, together with supporting evidence derived either from controlled trials or from empirical observations. A project which has the function of carrying out research to try and develop specific products would be included in this category.

FRONT-END LOADING

The practice of committing a major part of the IPF resources at the beginning of the IPF period or of planning the use of the major part of the anticipated funds over the first two or three years of the programme period.

FUNDS-IN-TRUST

Arrangement whereby government funds are accepted by an international organization to finance extra-budgetary activities specified by the contributor and agreed to by the organization.

GOVERNING COUNCIL

The Governing Council of UNDP is composed of representatives of 48 States, and it is responsible for the immediate inter-governmental control of the policies and operations of UNDP. The Administrator is required to inform the Governing Council of the actions taken to approve assistance to projects under authority delegated by the Governing Council.

HOST COUNTRY

The country in which a technical co-operation project is to be carried out.

HYPOTHESIS

Hypothesis refers to projected or assumed causal relationships between the means-ends chain involved in a project design and recognizes that development is not an exact science or a linear process (e.g., if inputs, then activities, if activities then outputs, if outputs, then immediate objective, if immediate objective, then development objective). In a technical co-operation project, two major hypotheses are or should be made and explicitly expressed as follows:

- (a) The development hypothesis is the agreement of all parties (i.e., donor, recipient and executing organization) that if the immediate objective of a project is successfully achieved then assuming complementary or supplemental actions also take place (e.g., successful completion of other projects, changes in eating habits, establishment of a special tariff etc.), the development objective (or a sub-component thereof) will be obtained. (This statement becomes the raison d'être for the project);
- (b) The project hypothesis, which is usually easier to state and monitor, is the agreement of all three parties that if the project outputs or results are produced in the quantity, quality and time described, then - assuming critical events outside the control of project management also take place in a reasonable fashion - the immediate objective of the project will be achieved. (This statement becomes the framework for the project approach selected).

INDICATIVE PLANNING FIGURE (IPF)

An indicative planning figure is the order of magnitude of the resources expected to be made available from UNDP to a given country during a pre-established period of five years, designated as the IPF cycle. It relates to the expenditure to be incurred during the period rather than to the level of commitments to be made either cumulatively or during the period. The IPF is a reasonably firm indication of resources for the purpose of programming and should not be construed as representing a commitment.

The Indicative Planning Figure for each country receiving assistance from UNDP is established by the Governing Council in accordance with an agreed formula.

INDICATORS

Indicators are objective and specific measures of changes or results expected from a programme, project or process. Ideally, they should be explicit and objectively verifiable. They may be either direct or indirect (proxy) but, in either case, must be specifically related to the various levels of project design, e.g., objective, outputs etc.

INDUSTRIAL AND TECHNOLOGICAL INFORMATION BANK (INTIB)

In General Assembly Resolution 3507 (XXX) on the Institutional Arrangements in the Field of Transfer of Technology, UNIDO was requested to establish an industrial and technological information bank as a component of an overall technological network (see chapter XXIII).

INDUSTRIAL DEVELOPMENT BOARD (IDB)

The Industrial Development Board is the principal organ of UNIDO, consisting of 45 members elected by the General Assembly from Member States of the United Nations and specialized agencies.

INPUTS

Inputs are the resources required for carrying out the project's activities, producing its outputs and achieving its immediate objective. While they may be provided either by the Government or the UNDP, they should, in the first instance, be conceived in terms of the totality of resources needed for the project, before the sources of supply of particular inputs are decided.

INSTITUTION-BUILDING PROJECTS

These normally have the primary function of either

- (a) Establishing and developing or strengthening institutional entities, such as research, training and service organizations or their constituent units; or
- (b) Establishing and developing or strengthening one or more constituent units or functions of government ministries, departments and agencies; or
- (c) Establishing and developing or strengthening the institutional structure needed for planning and executing specific development programmes.

The provision of direct services may often be required as part of institution-building.

INTEGRATED DEVELOPMENT PROJECT

A project combining various elements of different economic and social sectors or subsectors in an organic relationship.

INTERNATIONAL TEAM LEADER

See: CHIEF TECHNICAL ADVISER

JOB DESCRIPTION

Brief definition of the nature and level of the qualifications required of staff members and experts in each area of specialization and function.

JOINT IMPLEMENTATION

Where participating organizations under UNDP collaborate with one another in the implementation of a technical co-operation project. In such cases, a single executing agency is designated by UNDP as having primary responsibility and acts in association with the others.

JOINT INSPECTION UNIT (JIU)

The JIU based in Geneva, is composed of 11 inspectors and has the aim of improving management in the United Nations system and ensuring the optimum use of resources. A subsidiary organ of the General Assembly and of ten specialized agencies within the United Nations system, it has the broadest powers of investigation in all matters having a bearing on the efficiency of the services and the proper use of funds.

JOINT UNITED NATIONS INFORMATION COMMITTEE (JUNIC)

The Office of Public Information in New York holds regular meetings with public information offices of other United Nations organizations.

JUNIOR PROFESSIONAL OFFICER (JPO)

Assistant to SIDFA (Senior Industrial Development Field Adviser) stationed in the field, usually in the office of the UNDP Resident Representative. He is to assist the SIDFA in administrative work and contacts with government officials.

LIMA DECLARATION AND PLAN OF ACTION

The Lima Declaration and Plan of Action was the result of the Second General Conference of UNIDO convened in Peru from 12 to 26 March 1975. It defines the measures which the international community should adopt in the field of industrial development with a view to establishing a New International Economic Order.

LOCAL PROFESSIONAL PERSONNEL

National professionals recruited by the UN at the locality of the project under a service agreement for less than a six-month period, at a cost to the project.

MANAGEMENT PLAN

Document prepared by the Resident Representative following the country programming exercise or the annual review of the Country Programme. It consists of two parts: Part I reflects the pipeline situation and defines the process of formulation of each project until approval; Part II schedules tripartite reviews and other reviews for on-going projects leading to project revisions.

MATRIX

A matrix is a visual summary of the logical framework of a project's design which can also be used as a simulation tool for design.

MILESTONE

Milestone - synonymous with "event" - usually refers to a major event selected for monitoring and reporting purposes.

MONITORING

Monitoring, as used by UNDP, describes that function of the Resident Representative whereby, with regard to project implementation, he

- (a) Ascertains whether the project is being implemented according to plan;
- (b) Identifies opportunities for improvement in implementation, and either takes the necessary actions, or facilitates the taking of action by others, to utilize these opportunities in a timely fashion;
- (c) Identifies implementation problems, and their causes and consequences, and either takes the necessary remedial action or facilitates the taking of remedial actions by others in a timely fashion.

NEW DELHI DECLARATION AND PLAN OF ACTION

The New Delhi Declaration and Plan of Action was the result of the Third General Conference of UNIDO convened in New Delhi from 21 January to 9 February 1980. It re-emphasized the imperative need for the implementation of the Lima Declaration and Plan of Action in general and in particular that by the year 2000 the share of the developing countries should be increased to at least 25 per cent.

of the total world industrial production. The New Delhi Declaration also re-affirmed the basic strategy, principles and measures for the achievement of the target within the framework of the New International Economic Order.

NON-EXPENDABLE EQUIPMENT

Items of equipment valued at \$250 or more a unit and with a serviceable life of at least five years, for which formal inventory records are maintained.

OBLIGATION

An engagement involving a liability against the resources of the current financial period.

OPERATIONAL ASSISTANCE (OPAS)

An arrangement which enables Government to obtain the services of experts to perform operational, executive and administrative duties.

OPERATIONAL RESERVE

Amount set aside to ensure the financial liquidity of the UNDP, to compensate for uneven cash flows and to meet other requirements decided by the Governing Council. At present, the level of this Reserve is fixed at \$150 million.

OPEX/OPAS EXPERTS/OFFICERS

Personnel engaged to provide operational, executive and administrative services to requesting Governments under a standard agreement between the Government and the Organization. They have contracts with the Organization providing for remuneration in addition to that paid by the employing Government, and do not become United Nations Staff members. They do become government officers.

OUTPUTS

See PROJECT OUTPUTS

OVERHEAD

A term used to define the sum of money paid by the financing agency to the executing agency to cover programme support costs assessed on the percentage of project delivery.

OVERPROGRAMMING

The programming of assistance which exceeds the financial resources likely to be available (in the expectation of shortfalls in project delivery by the end of the operational year).

PARTICIPANT

A person participating in an organized programme (seminar or study tour) which is normally conducted outside the country of residence and which is prepared exclusively to meet the need of a particular person or group. The programme is of short duration, normally not exceeding two calendar months.

PERMANENT COMMITTEE

The Permanent Committee was established as a subsidiary organ of the Industrial Development Board by its resolution 32(VI). It meets twice a year and is composed of the same member countries as the Board itself. It makes an appraisal of UNIDO's work and reports to the Board about its findings and recommendations.

PETTY CASH

Cash on hand maintained for minor expenses.

PILOT PROJECTS

These have the primary function of determining the viability, under operating conditions, of a process, technology or approach which has already been successfully tested on an experimental basis, and of producing recommendations for its application elsewhere on a larger scale, including a delineation of the conditions under which it can be successfully applied or adapted for use. Pilot projects may, in some cases, incorporate the function of experimental projects as well, thus becoming experimental-cum-pilot projects.

PIPELINE

A colloquial term used to describe the transitory status of a proposal which has advanced from the idea stage to a draft project whose finalization and financing have not been secured -- e.g., "It's in the pipeline", or a "pipeline project".

PLAN

A complete set of proposals prepared for achieving some objectives which are often rather general. When used in UN planning terminology, it usually means a national or regional development plan.

PLANNING

A term used broadly to cover all the processes of defining objectives, outlining programmes, formulating and appraising projects, financing and following up project implementation and evaluating results.

PLEDGING CONFERENCE

Convened annually by the Secretary-General of the United Nations (usually at the time of the General Assembly in October) at which Governments announce their contributions to the UNDP and UNIDF.

POST

A term used by UN organizations to describe a position to employ a person, or a succession of persons, for the performance of work required.

POST ADJUSTMENT

A supplement to the base salaries of Professional staff members, used to equalize the purchasing power of those salaries at various UN offices throughout the world and to compensate for changes in the cost of living and currency exchange rates.

PRE-INVESTMENT

This term is generally used in relation to assistance activities devised to prepare and facilitate capital investment in relatively large projects.

PREPARATORY ASSISTANCE

Ad hoc assistance to Governments for the elaboration and revision of requests, prior to starting full-scale activities on a given project. It is provided on the basis of a "preparatory assistance document" and financed under the project's preparatory budget. It is authorized by the Administrator.

PROCESS

Process is an organizational operation of a continuous and supporting nature. (It may, for example, be concerned with the entire process of technical co-operation or with one of its supporting activities such as expert recruitment. It may involve a management system function such as budgeting or a co-operative exercise such as country programming.)

PRO FORMA RATES (See: COSTS (Standard))

PROGRAMME

A group of projects, consisting of a set of interrelated activities, which together are intended to achieve a general objective or a set of related objectives within a given time and budget.

PROGRAMME, MULTI-BILATERAL

The totality of projects financed by multi-bilateral donor agencies.

PROGRAMME RESERVE

An account operated by the Administrator to meet special needs. It stood at about \$45 million for the IPF period 1972-1976. It is used to finance unanticipated project or phases of projects, projects of the Special Industrial Services type, and to meet certain other needs.

PROJECT

The basic unit of UNIDO's technical co-operation programmes is a project. This term is used as a rule to refer to any organized government effort which receives UNIDO assistance, whether this is a set of complex activities or the training abroad of a single individual undertaken as a self-contained effort. In summary a project is a planned set of inter-related activities, subject to management, designed to achieve a specific objective(s) within a given set of resources and time-frame.

PROJECT ACTIVITY

A project activity consists of the substantive task or tasks to be carried out by project staff in order to produce the outputs needed to achieve the project's immediate objective. Usually, more than one such activity is required. Not to be considered as project activities are:

- (a) Those tasks which may be carried out by project staff but which are not aimed at producing the specific project outputs (e.g. those relating to project administration):
- (b) Those tasks which are to be carried out by national personnel as part of the functions and responsibilities in the organization to which they belong:
- (c) Those tasks which are to be undertaken by government authorities and UNIDO in connection with the procurement and delivery of project inputs.

PROJECT APPRAISAL

The process which provides UNDP with a basis for decisions on projects in the light of established criteria such as relevance to the developing objectives to be attained, priority in terms of legislative and other requirements of the international system of development assistance, operational feasibility, and cost-benefit analysis.

PROJECT BUDGET

A plan expressed in monetary terms for carrying out project activities in a specific time frame. It includes all financial aspects of the project document.

PROJECT CO-ORDINATOR

Someone designated by the Government or by the Executing Agency to be responsible for the day-to-day management of project operations.

PROJECT CYCLE

The term "project cycle" is used to denote the life cycle of a project assisted by UNDP. The project cycle consists of the different stages through which a project moves. These different stages are:

- (a) Project identification and preparation;
- (b) Project appraisal and approval of UNDP assistance;
- (c) Project revision (that is, the revision of a project for which UNDP assistance has been approved, usually undertaken in the course of implementation);
- (d) Project implementation;
- (e) Project evaluation (usually undertaken in the course of implementation, but also, on a selected basis, following completion of the project);
- (f) Project completion (including premature termination or cancellation).

PROJECT DESIGN

Project design is a term which refers to the delineation of the logic of a project - with what inputs and through what activities the project is expected to produce outputs needed to achieve its immediate objective, and how - as part of what programme of co-ordinated, inter-dependent efforts - its results are expected to be utilized effectively towards the fulfilment of the broader development objective to which the project is related.

PROJECTS, DIRECT SUPPORT

Projects having the primary function of either preparing feasibility studies, final engineering studies and other investment-oriented studies; or carrying out resource surveys and inventories; or preparing development strategies, plans, programmes, and projects; or providing substantive advice, usually through the assignment of international personnel for less than one year; or preparing technical documents or proposals through ad hoc meetings of working groups or experts drawn from different countries; or providing international personnel to serve as employees of the Government requesting them (i.e. providing OPAS experts) and providing management teams under contract. Direct support projects may, and frequently do, have institution-building as a secondary function.

PROJECT DOCUMENT

A project document is the result of project formulation and the basis for project implementation. It is the formal control document for a project agreed to by and between the Government concerned, UNDP and the selected executing agency.

PROJECT EARMARKING

The amount contributed by UNDP or another donor agency to cover the external costs of an approved project, from inception to completion, including preparatory activities and supplementary assistance. "Total earmarking" is the totality of the funds set aside as a result of individual project approvals over a given period of time.

PROJECT FORMULATION

Process by which the design of a project is established and translated into an operationally-oriented project document.

PROJECT, GLOBAL

A project spanning two or more geographic regions and often worldwide or global in concept and appeal.

PROJECT INPUTS

Project inputs are the specific resources required from both UNIDO and the Government or the participating organization to carry out the project activities.

PROJECT MANAGEMENT

The leaders of the national staff and UNIDO's international staff constitute the project management.

PROJECT OBJECTIVE(S) - DEVELOPMENT

The logic of a project pertaining to its broader development objective(s) can be stated as follows: In order that a project may make an effective contribution to the relevant development objective, its results - represented by the degree and quality of achievement of its immediate objective - have to be utilized appropriately. In order that the results of the project may be utilized appropriately, two conditions would have to be met. First, the results themselves should be relevant and timely; secondly, the various efforts needed for achieving the development objective - of which the project is only a part and on which the effective utilization of the project's results depend - should be undertaken in tandem, as required.

PROJECT OBJECTIVE(S) - IMMEDIATE

In general, the logic of a project relating to its immediate objective(s) can be stated as follows: In order to achieve its immediate objective(s), a project has to produce certain designated outputs. In order to produce these outputs it has to carry out specific activities. In order to carry out these activities it must obtain various inputs, at specific points in time, in specific quantities and with defined qualities.

PROJECT OUTPUTS

Project outputs are what the project activities are to produce in order for the project to achieve its immediate objective or objectives. Project outputs should be identified in objectively verifiable terms, such as for instance a certain number of trained persons, specific technical reports or studies, a successful pilot demonstration of a specific technology etc. The time-span within which project outputs should be attained should also always be indicated.

PROJECT PROPOSALS

Advance information on a proposed project which will enable UNDP Headquarters to:

- (a) Make its appraisal of the project;
- (b) Approve the project, in principle, prior to the preparation of the project document.

It contains:

- (a) Brief background information;
- (b) The long-range and immediate objectives;
- (c) Brief description of the major activities to be carried out;
- (d) The key results expected;
- (e) Broad indication of UNDP and government inputs;
- (f) Rough estimate of the phasing of the total project cost.

The submission to UNDP Headquarters of the Project Proposal will be accompanied by the Resident Representative's own assessment of the project.

PROJECT PERSONNEL

Staff appointed under the 200 Series of the UN Staff Rules.

PROJECT REVISION

The introduction of changes in an approved and fully signed project document or parts thereof, or in an already revised version of the document, constitutes a project revision. Such a revision requires the signature of all concerned that is the Government, UNDP and UNIDO.

PROJECT SUBMISSION DETAILS

A computer printout of a project's most recent approved budget, it lists the financial breakdown of the project by budget lines, on the basis of which financial commitments may be authorized and expenditures incurred.

PROPRIETARY PURCHASE

Procurement of specific brand-name items to the exclusion of similar items or from specific vendors without competition or bidding (an exception to standard practice, which can be authorized only in special and well-justified cases).

PURCHASE ORDER (local)

A document authorizing a vendor to deliver described goods or services at a specific price and terms and which constitutes a legally binding purchase contract between the United Nations and the vendor.

RATE OF DELIVERY

The rate, usually calculated in percentage terms, at which the approved programme is delivered in a given year.

REDEPLOYMENT

Redeployment is the transfer of capital, technology, know-how, plants and their resources by an operating individual enterprise in a developed country to a developing country in order to establish a manufacturing capacity in that country.

REGULAR PROGRAMME OF TECHNICAL CO-OPERATION

The Regular Programme of Technical Co-operation is included in the assessed budget of the United Nations. It complements assistance available to developing countries under other programmes and provides a means whereby substantive recommendations of the Economic and Social Council can be given an operational context.

REPORTS, AGENCY TERMINAL

A concise summary of project results, findings, conclusions and recommendations for future action by the Government. The Terminal

Report is usually complementary to technical report(s) on large-scale projects, but may be combined with the latter in the case of certain small-scale projects. It may be prepared at agency Headquarters on the basis of a draft prepared by the Team Leader and submitted to the Government through the Resident Representative.

REPORTS, PROJECT PROGRESS (PPR)

Prepared by the Team Leader on a standard form, containing a factual account of the progress of project implementation and an identification and analysis of major problems and achievements. The periodicity of PPRs varies according to the duration and the cost of the project, but is normally scheduled at six-monthly intervals: also used in connection with project tripartite reviews.

REPORTS, TRIPARTITE REVIEW

Within 15 days after each project tripartite review, the Resident Representative submits a report on its findings, conclusions and recommendations to the Government, the Team Leader, UNIDO and UNDP Headquarters.

Tripartite reviews are scheduled generally every 6 to 12 months depending on cost and duration of projects, and carried out by representatives of the Government, UNIDO and UNDP.

RESERVE PROGRAMME

That part of the country programme which exceeds in value a given IPF. This is usually in the hope of additional funds becoming available at a later date.

RESERVE, UNPROGRAMMED

A portion of the IPF set aside unprogrammed for use in connection with unforeseen needs.

REVISION

See PROJECT REVISION

REVIEW OF PROJECTS (PERIODIC TRIPARTITE) (UNDP)

Review of UNDP-assisted projects carried out jointly by representatives of the Government, the executing agency and UNDP. This system places emphasis on the identification at the country level of problems of implementation and of action that may be taken or recommended to resolve those problems. Tripartite reviews may call for a more comprehensive evaluation of the project.

RESIDENT CO-ORDINATOR OF THE UNDP

The Resident Co-ordinator of the UNDP, on behalf of the United Nations system, has overall responsibility for co-ordination of operational activities carried out at the country level in consultation with and with the consent of the Government concerned. He or she should exercise team leadership and be responsible for evolving, at the country level, a multidisciplinary dimension in sectoral development assistance programmes. These tasks should be carried out in conformity with the priorities established by the competent national authorities and with the assistance, as necessary, of joint inter-agency advisory groups. In many instances, the functions of a Resident Co-ordinator are assumed by the former Resident Representative of the UNDP.

REVOLVING FUND

A fund created for a specific purpose from which monies are continuously expended, replenished, and again expended.

SPECIAL MEASURES

UNDP funds earmarked for financing of projects in the least-developed countries to supplement their IPF funds.

SPECIAL SERVICE AGREEMENT

Contractual arrangement between the United Nations and an individual whose services are required for a fixed period in a technical co-operation activity or project. Such individuals do not become UN staff members but are covered by Article VI of the UN Convention on Privileges and Immunities and by Appendix D to the UN Staff Rules, while in service. Special Service Agreements are not otherwise governed by UN Staff Regulations and Rules, but by their own terms.

STUDY TOURS

Awards for periods not normally exceeding 30 days.

SUPPLIER'S LEAD TIME

The duration between submission of a requisition and delivery of the requested items.

TARGET

A target is an indicator expressed in terms of magnitude and time and is usually related to the output level of a project. It should be an explicit statement of expected results susceptible of objective verification.

TARGET GROUP

A target group is synonymous with "beneficiaries"; it refers to the recipients, e.g. unemployed, clients, industrial plants etc. on whose behalf a project or programme is undertaken.

TRIPARTITE REVIEW

Periodically, tripartite project reviews are carried out jointly by representatives of the host Government, the Executing Agency (in this case UNIDO) and UNDP. The tripartite review is the principal element in the integrated system of monitoring and reviewing UNDP assisted projects.

WORK PLAN

A work plan (or programme) is a management tool to organize the implementation of a project's activities or tasks on an efficient and co-ordinated basis. It is a delineation and scheduling of the substantive and administrative work required to transform inputs (resources) into outputs (results) and includes benchmarks, milestones or indicators of progress in the production of outputs, thereby permitting monitoring and measurement.

XXVI. ABBREVIATIONS

Although an attempt has been made to compile most abbreviations which may be encountered by a Chief Technical Adviser in the course of his work, the following list might not be exhaustive. It is assumed that the office of the Resident Representative will in most cases be able to give the meaning of abbreviations or acronyms not contained in this list. On the other hand have certain abbreviations been included which may be useful to a Chief Technical Adviser working in a particular region while they are obviously of limited interest to a CTA outside of it.

AADM	Assistant Administrator
AAITO	Association of African Industrial Technology Organizations
AAPSO	Afro-Asian Peoples' Solidarity Organization
ACABQ	Advisory Committee on Administrative and Budgetary Questions
ACAST	Advisory Committee on the Application of Science and Technology to Development
ACC	Administrative Committee on Co-ordination
ACC	Asian Coconut Community
ACCT	Agence de coopération culturelle et technique (Agency for Cultural and Technical Co-operation)
ADB	African Development Bank (also referred to as AfDB)
ADB	Asian Development Bank (also referred to as AsDB)
ADIR	Assistant Director
ADM	Office of the Director, Division of Administration (UNIDO)
ADM/EDP	Electronic Data Processing Section (UNIDO)
ADM/FS	Financial Service (UNIDO)
ADM/FS/APS	Accounts and Payments Section (UNIDO)
ADM/FS/BUD	Budget Section (UNIDO)
ADM/FS/FMS	Financial Management Section (UNIDO)
ADM/FS/TRS	Treasury (UNIDO)

ADM/GS	General Services (UNIDO)
ADM/GS/BM	Buildings Management Section (UNIDO)
ADM/GS/CAR	Communications, Archives and Records Unit (UNIDO)
ADM/GS/INV	Inventory Control Unit (UNIDO)
ADM/GS/TRAV	Travel and Transportation Unit (UNIDO)
ADM/LEG	Legal Liaison Unit (UNIDO)
ADM/PS	Personnel Service (UNIDO)
ADM/PS/PAS	Personnel Administration Section (UNIDO)
ADM/PS/REC	Secretariat Recruitment Section (UNIDO)
ADM/PS/SSER	Special Services Section (UNIDO)
Admin.	Administration
Adm. Asst.	Administrative Assistant
Adv.	Advisory
AFESD	Arab Fund for Economic and Social Development
AFM	Department of Administration, Finance and Management
AFRASEC	Afro-Asian Organization for Economic Co-operation
a.i.	<u>ad interim</u>
AID	Agency for International Development
AISU	Arab Iron and Steel Union
AL	Annual Leave
AMS	Administrative Management Service (at UN/HQ)
AO	Administrative Officer
APB	Appointment and Promotion Board (at UN/HQ)
APC	Appointment and Promotion Committee (at UN HQ)
A/PLO	Appraisal Planning Officer
APO	Asian Productivity Organization
APP	Appointment and Promotion Panel (UNIDO)
Appt.	Appointment
AR	Accounts Receivable
AREGREP	Assistant Regional Representative
ARPEL	Asistencia Reciproca Petrolera Estatal Latino- americana (Mutual Assistance of the Latin American Government Oil Companies)
ARR	Assistant Resident Representative
ARU	Applicants Records Unit
AS	Austrian Schilling(s)

ASAP	As soon as possible
ASEAN	Association of South-East Asian Nations
ASG	Assistant Secretary-General (UN)
ASMO	Arab Organization for Standardization and Metrology
ASS	Austrian Social Security
Assgt.	Assignment
ASSOC PROJ OFF	Associate Project Officer
ASSOC RECRUIT OFF	Associate Recruitment Officer
BD	Board
BPPE	Bureau for Programme Policy and Evaluation
CAEU	Council of Arab Economic Unity
CAO	Chief Administrative Officer
CARIBANK	Caribbean Development Bank
CARICOM	Caribbean Community
CARIFTA	Caribbean Free Trade Association
CCAQ	Consultative Committee on Administrative Questions
CCSQ	Consultative Committee on Substantive Questions
CDC	Programme of Co-operation among Developing Countries
CDF	Capital Development Fund
CDFC	Commonwealth Development Finance Company
CEA	Centre d'Etude de l'Azote
CEAO	Communaute economique de l'Afrique de l'Ouest (West African Economic Community)
CEC	Central American Economic Council
CEC	Commission of the European Communities
CECI	European Centre for International Co-operation
CED	Contract expiration date
CEDIMC	European Centre for Overseas Industrial Development
CH/ADV	Chief Adviser
CID	Centre for Industrial Development
CIEC	Conference on International Economic Co-operation
C.I.F.	Cost, insurance, freight
CIDA	Canadian International Development Agency

CILSS	Comité permanent inter-Etats de lutte contre la sécheresse dans le Sahel (Permanent Interstate Committee on Drought Control in the Sahel)
CIOS	Conseil international pour l'organisation scientifique (International Council for Scientific Management)
CIPA	Comité international des plastiques en agriculture (International Committee of Plastics in Agriculture)
CIPEC	Conseil intergouvernemental de pays exportateurs de cuivre (Intergovernmental Council of Copper Exporting Countries)
CMA	Comma (used in cables)
CMEA	Council for Mutual Economic Assistance
CMS	Cost Measurement System
COB	Close of business or cessation of business
COL	Cost of living
COMM NAM	Office of the Commissioner for Namibia
CPE	Office of the Director, Division of Conference Services, Public Information and External Relations (UNIDO)
CPE/IDB	Secretariat of the Industrial Development Board (UNIDO)
CPE/CS	Conference Service (UNIDO)
CPE/INF	Public Information Section (UNIDO)
CPE/REL	Governments and Intergovernmental Organizations Relations Section (UNIDO)
CPMP	Country Programming Management Plan
CS	Cost Sharing
CS	Department of Conference Services (UNHQ)
CSDHA	Centre for Social Development and Humanitarian Affairs
CSIR	Council of Scientific and Industrial Research
CSTD	Committee on Science and Technology for Development
CTA	Chief Technical Adviser
CTO or Compt. Time	Compensatory time off
CTO	Customs and Transport Officer
CV	Curriculum Vitae
DDSU	"Department, Division, Section Unit" (used to designate the computer list of staff which is arranged according to the Divisions and Sections, etc.)
DEV	Development
DG	Director-General (Specialized Agencies and the IAEA)
DIO	Division of Industrial Operations

DIR	Director
DMIS	Division of Management Information Services
DNA	Does not apply
DND	Division of Narcotic Drugs
DOB	Date of birth
DP	Development Programme
DPI	Department of Public Information
DREG REP	Deputy Regional Representative
DRR	Deputy Resident Representative
DSA	Daily Subsistence Allowance
DSSU	Division, Service, Section, Unit (used in computer print-outs)
DST	Daily Short-Term Staff (300-Series Staff Rules)
DU	UNDP Project for which UNIDO is the Associated Agency of the Executive Agency
EAC	East African Community
EAU	Experts Administration Unit
ECA	Economic Commission for Africa ^{1/}
ECDC	Economic Cooperation among Developing Countries
ECE	Economic Commission for Europe ^{1/}
ECLA	Economic Commission for Latin America ^{1/}
ECOSOC	Economic and Social Council
ECOWAS	Economic Community of West African States
ECPA	Expert Committee on Post Adjustments
ECWA	Economic Commission for Western Asia ^{1/}
ED	Executive Director
EDF	European Development Fund
EEC	European Economic Community
EFNMS	European Federation of National Maintenance Societies
EIB	European Investments Bank
EOD	Entry on duty (date of)
EP	Environment Programme
EPZ	Export Processing Zone

^{1/} The term "Economic Commission" has been changed to "Regional Commission".

ER ^{2/}	Evaluation Request
ESCAP	Economic and Social Commission for Asia and the Pacific (formerly ECAFE)
ETA	Expected time of arrival
EUROCEAN	European Oceanographic Association
EXTERNAL REL OFF	External Relations Officer
EXT.	Extension of contract
F.10	Form for claiming travel expenses
FAO	Food and Agriculture Organization of the United Nations
FAO/OADV	FAO Programme Adviser
FAO/SAA/CR	FAO Senior Agricultural Adviser, Country Representative
FEACO	Federation europeenne des associations de conseils en organisation (European Federation of Management Consultants Associations)
FICSA	Federation of International Civil Servants' Associations
FID	Federation internationale de documentation (International Federation for Documentation)
FIRST OFF	First officer
FMIP	Full Medical Insurance Plan
F.O.B.	Free on board
FS	Field Service <u>or</u> Financial Services
FSO	Field Service Officer
FS-3,4 etc.	Field Service (level of staff member)
FSS	Financial Services Section
FT	Fixed-term (staff, appointment) or Funds-in-Trust
FU	Follow-up
FWH	Flexible working hours
FYI	For your information
G-3,4 etc.	General Service (level of staff member)

^{2/} ERs in respect of candidates for technical co-operation expert posts are coded:

- R - Vienna post - Roster source
- NRS - Vienna post - National Recruitment Service nominations
- I - Vienna post - Individual applications
- O - Vienna post - Other sources, i.e. within UNIDO, UNDP Res.Reps.

GA	General Assembly
GATT	General Agreement on Tariffs and Trade
GD	Geographical Distribution
GHI	Group Health Insurance (UNIDO/Van Breda and Co.)
GKK	"Gebietskrankenkasse" (Austrian health insurance scheme)
GLI	Group Life Insurance
GOIC	Gulf Organization for Industrial Consulting
GPA	Gross per annum (salary)
GS	General Services <u>or</u> the General Service category
GSP	Generalized System of Preferences
GSS	General Services Section
GTF	UNIDO General Trust Fund (Trust Fund Symbol: VC)
HABITAT	United Nations Centre for Human Settlements
HAPU'	Health, Accident, Pension and Unemployment Insurance (Austrian Social Security)
HCB	Headquarters Claims Board
HCR	Office of the High Commissioner for Refugees
HQ or Hq	Headquarters
HU	Health and Unemployment Insurance (Austrian Social Security)
IACB	Inter-Agency Consultative Board
I+A	Interest and availability (of candidates)
IACME	International Association of Crafts and Small and Medium-sized Enterprises
IAD	International Audit Division
IAEA	International Atomic Energy Agency
IAESTE	International Association for the Exchange of Students for Technical Experience
IAFIC	International Agriculture and Food Industries Committee
IAPIP	International Association for the Protection of Industrial Property
IAPSU	Inter-Agency Procurement Services
IBRD	International Bank for Reconstruction and Development (now called the World Bank)
ICA	International Co-operative Alliance
ICAITI	Instituto Centroamericano de Investigación y Tecnología (Central American Research Institute for Industry)

ICAO	International Civil Aviation Organization
ICC	International Association for Cereal Chemistry
ICC	International Chamber of Commerce
ICC	International Computation Centre
ICFTU	International Confederation of Free Trade Unions
ICIE	International Centre for Industry and the Environment
ICIS	International Centre for Industrial Studies (now Division for Industrial Studies)
ICITO/GATT	Interim Commission for the International Trade Organization
ICJ	International Court of Justice
ICOW	Intergovernmental Committee of the Whole to Draw up a Constitution for UNIDO as a Specialized Agency
ICPO	Investment Co-operative Programme Office
ICSAB	International Civil Service Advisory Board
ICSC	International Civil Service Commission
ICSID	International Council of Societies of Industrial Design
IDA	International Development Association
IDB	Industrial Development Board (UNIDO)
IDCAS	Industrial Development Centre for Arab States
IDEP	(United Nations African) Institute for Economic Development and Planning
IDFA	Industrial Development Field Adviser
IDFCs	Industrial Development Financing Companies
IDO	Industrial Development Officer
IEA	International Energy Agency
IEC	International Electrotechnical Commission
IFAC	International Federation of Automatic Control
IFAD	International Fund for Agricultural Development
IFC	International Finance Corporation
IFIA	International Federation of Inventors' Associations
IFPMA	International Federation of Pharmaceutical Manufacturers' Associations
IFSTD	Interim Fund for Science and Technology for Development
IIASA	International Institute for Applied Systems Analysis
IIC	International Institute for Cotton
III	International Institute for Industrial Planning
IIAFA	Instituto Latinoamericano del Hierro y el Acero (Latin American Iron and Steel Institute)
ILAP	Instituto Latinoamericano del Plastico (Latin American Plastics Institute)

ILO	International Labour Organisation
LMCO	Inter-governmental Maritime Consultative Organization
IMECO	International Measurement Confederation
IMF	International Monetary Fund
INCB	International Narcotics Control Board
INDIS	Industrial Information System
INTIB	Industrial and Technological Information Bank
IOB	Inter-Organization Board for Information Systems
IOCU	International Organization of Consumers Unions
IO	Office of the Director, Division of Industrial Operations (UNIDO)
IO/AGRO	Agro-Industries Branch (UNIDO)
IO/CHEM	Chemical Industries Branch (UNIDO)
IO/COOP	Investment Co-operative Programme Branch (UNIDO)
IO/ENG	Engineering Industries Section (UNIDO)
IO/FCTY	Factory Establishment and Management Section (UNIDO)
IO/FEAS	Feasibility Studies Section (UNIDO)
IO/INFR	Institutional Infrastructure Branch (UNIDO)
IO/MET	Metallurgical Industries Section (UNIDO)
IO/PAC	Purchase and Contract Service (UNIDO)
IO/PLAN	Industrial Planning Section (UNIDO)
IO/PPR	Project Personnel Recruitment Section (UNIDO)
IO/TPNG	Training Branch (UNIDO)
IOE	International Organization of Employers
IOM	Inter-office Memorandum
IOV	Inter-office voucher
IPF	Indicative Planning Figure
IPP	Industrial Policies and Programming Division
IR	Interregional
IRA	Interregional Adviser
IRP	Interregional project
IRRI	International Rice Research Institute
IRSI	Industrial Research and Service Institute
IS	Office of the Director, Division for Industrial Studies (UNIDO)
IS/GLO	Global and Conceptual Studies Branch (UNIDO)
IS/INF	Industrial Information Section (UNIDO)
IS/REG	Regional and Countries Studies Branch (UNIDO)

IS/SEC	Sectoral Studies Branch (UNIDO)
IS/TEC	Development and Transfer of Technology Branch (UNIDO)
ISBI	International Savings Banks Institute
ISMA	International Superphosphate Manufacturers' Association
ISO	International Organization for Standardization
ISVS	International Secretariat for Volunteer Service
ITC	International Trade Centre (UNCTAD/GATT)
ITL	International Team Leader (replaced by Chief Technical Adviser)
ITU	International Telecommunications Union
IUCN	International Union for Conservation of Nature and Natural Resources
IULTCS	International Union of Leather Technologists and Chemists Societies
JAB	Joint Appeals Board (UN HQ)
JAC	Joint Advisory Committee
JD	Job Description
JDC	Joint Disciplinary Committee (UN HQ)
JIU	Joint Inspection Unit
JPO	Junior Professional Officer
JSPB	Joint Staff Pension Board
JSPC	Joint Staff Pension Committee
JSPF	Joint Staff Pension Fund
JT/HEALTH SERV.	Joint UNIDO/IAEA Health Service
JUNIC	Joint United Nations Information Committee
LA	Letter of Appointment
LDC	The least developed among the developing countries
LDCs	Least developed countries
LES Int.	Licensing Executives Society International
LO	Liaison Officer
LTU	Language Training Unit
LWOP	Leave without pay
M-5,6 etc.	Manual Worker (level of staff member)
MAINREP	Maintenance and Repair Programme
MIS	Division of Management Information Services (UNDP)
MISPI	Management Information System for Project Implementation
MOD	Miscellaneous Obligation Document
MRU	Mano River Union
MST	Monthly short-term appointment (300-series Staff Rules)

MTA	Manning-table authorization
MW	Manual Worker category
NA	Not applicable (<u>or</u> "not available", according to context)
NARO	North American Recruitment Office (of TARS, New York)
NGLS	Non-governmental Liaison Office
NGO	Non-governmental organization
NPA	Net per annum (salary)
NPC	Non-privileged confidential (pertaining to files of staff members)
NRA	Non-resident's allowance
NRSE	New and renewable sources of energy
NYLO	New York Liaison Office of UNIDO (at UNHQ)
OAMPI	Office africain et malgache de la propriété industrielle (African and Malagasy Industrial Property Office)
OAPEC	Organization of Arab Petroleum Exporting Countries
OAS	Organization of American States
OAU	Organization of African Unity
OCAM	Organisation commune africaine et malgache (Organization of the African and Malagasy Community)
OD <u>or</u> O/D	Office of the Director
ODA	Overseas Development Administration (British)
OECD	Organisation for Economic Co-operation and Development
OED	Office of the Executive Director (UNIDO)
OEEC	Organization for European Economic Co-operation
OFS	Office of Financial Services (UNHQ)
OGS	Office of General Services (UNHQ)
O/H	Overhead Funds
OIC	Officer-in-Charge
OIML	Organisation internationale de metrologie legale (International Organization of Legal Metrology)
OMVS	Organisation pour la mise en valeur du fleuve Sénégal (Organization for the Development of the Senegal River)
OPAS	Operational (Executive) Assistance
OPEC	Organization of Petroleum Exporting Countries
OSF	Official Status File
P-1, 2 etc.	Professional category (of staff member)
P.5	Personnel Action (information or change on contract or family status)
P.11	Personnel History Statement (yellow) for Secretariat staff
P.13	Personnel History Statement (white) for Project Personnel

P.35	Final Clearance Certificate (when staff member leaves UNIDO)
P	Professional Category
PAC	Protein Advisory Group of the United Nations System
PAD	Programme Allotment Document
PB	Project Budget
PC	Division of Policy Co-ordination, Office of the Director
PC/COOR	Inter-Agency Programme Co-ordination Section
PC/DEV	Programme Development and Evaluation Branch
PC/ECDC	Section for Economic Co-operation among Developing Countries
PC/FLD	Field Reports Monitoring Section
PC/LDC	Least Developed Countries Section
PC/NEG	Negotiations Branch
PC/NGO	Non-Governmental Organizations Section
PC	Privileged Confidential File of staff member
PD	Project Document
PDS	Project Data Sheet
PER	Performance Evaluation Report
Perm.	Permanent (staff, appointment)
PER OFF	Personnel Officer
PF	Population Fund
PM	Project Manager
PMO	Programme Management Officer
PO	Purchase Order or Personnel Officer
PPCU	Project Personnel Central Unit
PPE	Project Personnel Evaluation
PPM	(UNDP's) Policies and Procedures Manual
PPRS	Project Personnel Recruitment Section (UNIDO)
PR	Programme Reserve
PRIN OFF	Principal Officer
Pro.or Prob	Probationary (staff, appointment)
ProDoc	Project Document
PROG	Programme
PRO OFF	Project Officer
ProRev	Project Revision
PRU	Personnel Records Unit
PS	Personnel Services (UNIDO)
PSP	Property Survey Board
PSCA	Department of Political and Security Council Affairs

PSD	Project Submission Details
PSF	Personnel Services Filing System
PSS	Personnel Services Section
PT.8	Travel authorization form
PV/DV	Payment and Disbursement Voucher
PWG	Programme Working Group
RB	Regular Budget
RCTT	Regional Centre for Technology Transfer
RD	Reporting date
R + D	Research and development
Reg.Ad.	Regional Adviser
REG REP	Regional Representative
Req.	Requisition
RES	Resolution
REV	Revised
RO	Recruitment Officer
RR or RES.REP.	Resident Representative (of UNDP, in developing countries)
RP	Regular Programme of Technical Assistance
RU	Roster Unit
S	Sick Leave (in leave records) <u>or</u> Austrian Schilling(s)
SAA/FAO CR	Senior Agricultural Adviser/FAO Country Representative
SBF	Staff Benevolent Fund
SC	Special Consultant
SCCM	Standing Consultative Committee of the Maghreb
SCI	Society of Chemical Industry
SDI	Selective Dissemination of Information
SELA	Sistema Económico Latinoamericano (Latin American Economic System)
SF	Special Fund
SG	Secretary-General (UN)
SH/T	Shorthand (test, typist)
SI	(see also SIS) Special Industrial Services
SIDA	Swedish International Development Authority
SIDFA	Senior Industrial Development Field Adviser
SIECA	Permanent Secretariat of the General Treaty on Central American Economic Integration
SIO	Senior Information Officer
SIS	(see also SI) Special Industrial Services
SL	Sick Leave
SLWOP	Special leave without pay

s/m	Staff-member
SM	Special Measures
SMCC	Staff Management Co-ordination Committee
SMIP	Supplementary Medical Insurance Plan
SOC	Social
SP	Special
SPA	Special Post Allowance
SP, AGS.	Specialized Agencies
SPEC ASGNT OFF	Special Assignment Officer
S/PLAN ADV	Special Planning Adviser
S/PROG DEV ADV	Senior Programme Development Adviser
S/REC OFF	Senior Recruitment Officer
SRS	Secretariat Recruitment Section <u>or</u> Secretariat Recruitment Service (UNHQ)
SSA	Special Service Agreement
SSR	Status of Secretariat Recruitment
SSU	Social Security Unit
ST	Short-term (staff, appointment)
STA	Special Technical Adviser <u>or</u> Staffing Table Authorization
STC	Staffing Table Correction
Steno	Stenographer, shorthand/typist
STPI	Study Tour Payment Instruction Form
SUNFED	Special United Nations Fund for Economic Development
SUPPL	Supplemental/Supplementary
TA	Technical Assistance
TAB	Technical Assistance Board
TARS	Technical Assistance Recruitment Service (UNHQ and UN Geneva)
TC	Technical Co-operation
TCD	Technical Co-operation Division. (former UNIDO Unit)
TCDC	Technical Co-operation among Developing Countries
TEPCO	Technical, Equipment, Procurement and Contracting Office
TF	Trust Fund
TL	Team Leader

TPI	Travel and Payment Instructions
TS	Technical Services
TS	SIS Trust Fund
TT	Transfer of Technology
UDEAC	Union douaniere et economique de l'Afrique Centrale (Central African Customs and Economic Union)
UEC	Union europeenne de la carrosserie (European Union of Coachbuilders)
UERP	Union europeenne de relations publiques (European Union of Public Relations)
UFE	Unit for Europe
UFI	Union des foires internationales (Union of International Fairs)
UF/US	UNIDO General Contribution/UNIDF Special Purpose Contribution
UIA	Union internationale des architectes (International Union of Architects)
UIEO	Union of International Engineering Organizations
UILI	Union internationale des laboratoires independants (International Union of Independent Laboratories)
UN	United Nations
UNCDF	United Nations Capital Development Fund
UNCHS	United Nations Centre for Human Settlements
UNCITRAL	United Nations Commission for International Trade Law
UNCNRE	United Nations Conference on New and Renewable Sources of Energy
UN/COOR	United Nations Co-ordination Office in Vienna
UNCTAD	United Nations Conference on Trade and Development
UNCSTD	United Nations Conference on Science and Technology for Development
UNCTC	United Nations Centre on Transnational Corporations
UNDP	United Nations Development Programme
UNDRO	United Nations Disaster Relief Office
UNEF	United Nations Emergency Force in the Middle East
UNEP	United Nations Environment Programme
UN/ESA	United Nations - Department of Economic and Social Affairs
UNESCO	United Nations Educational, Scientific and Cultural Organization
UNFDAC	United Nations Fund for Drug Abuse Control
UNFPA	United Nations Fund for Population Activities
UNHCR	United Nations High Commissioner for Refugees

UNIC	United Nations Information Centre
UNICE	Union des industries de la communauté européenne (Union of Industries of the European Community)
UNICEF	United Nations Children's Fund
UNIDF	United Nations Industrial Development Fund
UNIDO	United Nations Industrial Development Organization
UNIFIL	United Nations Interim Force in Lebanon
UNIFSTD	United Nations Interim Fund for Science and Technology Development
UNIS	United Nations Information Service
UNIS	United Nations International School
UNISIST	United Nations Information System for Science and Technology
UNITAR	United Nations Institute for Training and Research
UNJSPF	United Nations Joint Staff Pension Fund
UNOG	United Nations Office at Geneva
UNOST	United Nations Office for Science and Technology
UNPA	United Nations Postal Administration
UNPFA	United Nations Population Fund Activity
UNRFNRE	United Nations Revolving Fund for Natural Resources Exploitation
UNROB	United Nations Relief Operation for Bangladesh
UNROD	United Nations Relief Operation in Dacca
UNRWA	United Nations Relief and Works Agency for Palestine Refugees in the Near East
UNSCEAR	United Nations Scientific Committee on the Effects of Atomic Radiation
UNSO	United Nations Sudano-Sahelian Office
UNSSS	United Nations Safety and Security Service
UNTAG	United Nations Transition Assistance Group
UNU	United Nations University
UNV	United Nations Volunteers
UPDEA	Union of Producers, Conveyors and Distributors of Electric Power in African countries, Madagascar and Mauritius
UPU	Universal Postal Union
USAID	United States Agency for International Development
USG	Under-Secretary-General
VC	Voluntary Contribution

VDU Video Display Unit (Computer hardware)

VINITI Vsesoyuznyy Institut Nauchnoy i Tekhnicheskoy Informatsii (All-Union Institute for Scientific and Technical Information)

WADB West African Development Bank

WAE When actually employed

WAEC West African Economic Community

WAITRO World Association of Industrial and Technological Research Organizations

WCL World Confederation of Labour

WFC World Food Council

WFEO World Federation of Engineering Organizations

WFP World Food Programme (Joint United Nations/FAO Programme)

WFTU World Federation of Trade Unions

WGAFM Working Group on Administrative and Finance Matters

WGI Within-grade salary increment

WHO World Health Organization

WIPO World Intellectual Property Organization

WMO World Meteorological Organization

WORLD BANK also International Bank for Reconstruction and Development

WPC World Peace Congress

wpm. words per minute (in shorthand and typing tests)

WPO World Packaging Organization

WTO World Tourism Organization

