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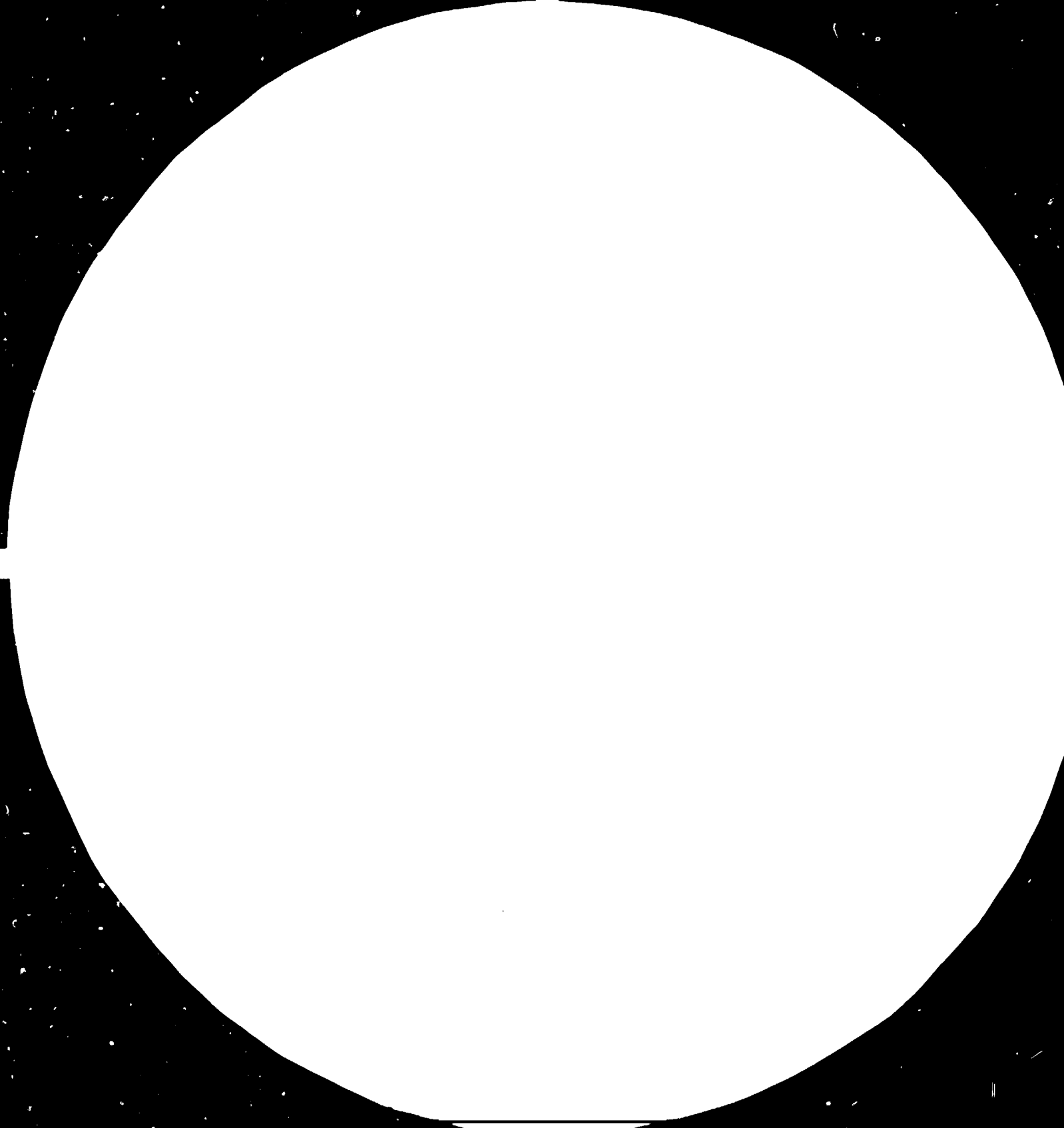
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UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

GUIDELINES ON REPORTING
FOR SIDFAS AND JPOS*

Prepared by the
Field Reports Monitoring Section
Division of Policy Co-ordination

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UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

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GUIDELINES ON REPORTING
FOR SIDFAS AND JPOS

Corrigendum

Page 6

At the bottom of the page, before footnote 2, insert
1/ When applicable.

I. Introduction

The aim of these guidelines is to simplify and achieve greater efficiency in the reporting system established by the FRMS in order to secure a regular and adequate flow of information from the field to UNIDO Headquarters.

It is in fact considered that one of the main functions of UNIDO SIDFAs and JPOs consists in providing Headquarters with necessary feed-back on UNIDO's field activities as well as information on the country/ies of assignment relevant to the work of the Organization and to the development of its programmes.

Different types of reports have been designed to reflect the information needs of UNIDO Headquarters at different levels, i.e.:

- (i) formulation of policy; elaboration of programmes and projects;
- (ii) monitoring of on-going activities;
- (iii) preparation of studies.

A complement to but not a substitute for direct correspondence between the field and the various UNIDO Headquarters' offices, these reports will be monitored by the FRMS and form the basis for a Monthly Summary of all information received from the field.

As you will note, a basic distinction has been introduced between (i) information-oriented and (ii) action-oriented reports: The former (i) will be prepared on a yearly basis on the country of duty-station and have the function of a Country Brief. The latter (ii) will be prepared every three months and mainly focus on the on-going and pipeline programme of technical co-operation.

The system is completed by Mission Reports on other countries of SIDFA coverage, Ad-hoc Reports and Confidential Communications to the FRMS.

II. Types of reports

The reporting system established for SIDFAs and JPOs consists of:

1. Yearly Country Briefs
2. Quarterly Reports
3. Mission Reports
4. Ad-hoc Reports
5. Confidential Communications to the FRMS

1. Yearly Country Briefs

will be prepared by SIDFAs/JPOs on a yearly basis on the country of duty station to provide (i) necessary information on the country of assignment and in particular on its industrial sector; (ii) a global assessment of the UNIDO programme of assistance, examining its relevance to the country's development plans and priorities; and (iii) feed-back on the result of other activities carried out by the SIDFAs 1/, with special regard to UNIDO Special Programmes.

Informative but first of all analytical, Yearly Country Briefs should be prepared according to the outline below, for which Explanatory Notes have been separately prepared by the FRMS.

The outline is indicative: it will be up to the writer to judge whether relevant developments took place in respect of all headings. Also, the outline is given for all duty stations: again, it will be up to the writer to select relevant items for reporting in each particular country.

C O U N T R Y B R I E F

Yearly Country Brief on _____
(from _____ to _____)

1. The political scene
2. The industrial sector
 - 2.1 Government policy and strategies
 - 2.2 Economic analysis
3. UNIDO programme of assistance
 - 3.1 Status of the industry sector in the Country Programme
 - 3.2 On-going programme of technical co-operation:
overall assessment and recommendations
 - 3.3 Pipeline programme of technical co-operation:
overall assessment and recommendations
 - 3.4 Alternative sources of funds for the implementation of
industrial projects: potential co-operation with other
funding and/or executing agencies
4. Other advisory, promoting, liaison and supporting
activities of SIDFAs/JPOs 1/
 - 4.1 Activities related to UNIDO Special Programmes
 - 4.2 Others
5. Public Relations
6. Conclusions and Recommendations

Annexes

1/ for JPOs when applicable

EXPLANATORY NOTES

1. The political scene

- I.e.: - brief indication of the results of general elections;
- information on policy orientations which might affect co-operation with UNIDO;
 - cabinet reshuffles;
 - changes and restructuring measures within Ministries and other national institutions connected with the work of UNIDO; 1/
 - conclusions of international agreements with other countries and/or international/regional organizations with a bearing on industrial development.

It should be stressed that information provided under this heading is meant to provide UNIDO Headquarters with operative knowledge of facts and not to transmit delicate or confidential information on the country of assignment. The judgement of the Field Adviser will be particularly exercised in selecting relevant information in this respect.

2. The industrial sector

As emphasized in the Regional SIDFA Meeting in Cameroon (Dec. 83), information on major economic developments in most countries should be available at UNIDO Headquarters in various publications on a regular basis. Therefore, the Yearly Country Briefs prepared by SIDFAs/JPOs should concentrate more specifically on the performance of the industry sector in the period under review by examining its relevance and relationship to other sectors of the economy.

The information requested/received from SIDFAs/JPOs in this respect is primarily destined for DIS (Division of Industrial Studies) who may request supplementary information on a country-by-country basis.

2.1. Government policy and strategies

I.e.: a review of:

- a) recent Government policy papers and statements regarding industrial development;
- b) official statements on the approval, revision and implementation of industrial development strategies, industrial development plans and objectives;

1/ A list of Government officials as annex might prove useful.

- c) related press releases and articles concerning Government activities, programmes and projects for the industrial sector;
- d) relevant information contained in budget speeches, etc.;
- e) information on the start-up of large-scale industrial projects at national level and/or announced plans.

2.2. Economic analysis

I.e.:

- a) Review of internal factors affecting the performance of the sector, both favourably and adversely (i.e.: infrastructure, availability of skills, supply and demand, legislation procedures, etc.);
- b) Review of external factors affecting the performance of the sector, both favourably and adversely (i.e.: external supply and demand, foreign exchange, foreign trade, international market prices for industrial products, trade barriers such as import quotas and tariffs, etc.).

This analysis will provide the necessary reference for the following chapter.

3. UNIDO programme of assistance

3.1. Status of the industry sector in the Country Programme (CP):

A separate heading is recommended on the status of the country programme, with information on:

- latest developments with respect to the programming exercise and/or its revision;
- industry's share of IPF in the present CP cycle;
- possibility of using IPF funds earmarked for UNIDO projects in the current and forthcoming cycle;
- need for UNIDO programming missions;
- feed-back on UNIDO's contribution to the country programming exercise through the SIDFA/JPO programmes.

3.2. On-going programme of technical co-operation: overall assessment and recommendations

Unlike the Quarterly Reports, this part will be prepared pursuant to a global approach and not on a project-by-project basis.

A synthesis is expected of the main results achieved and problems encountered by SIDFAs/JPOs in the monitoring of technical co-operation activities, as well as of the effectiveness of interaction with UNIDO Headquarters. Overall, emphasis should be placed on qualitative and long-term rather than on quantitative and short-term aspects of operational projects.

Also the relevance of the programme under implementation to the development objectives and priorities of the country should be assessed and recommendations, if any, clearly formulated.

3.3. Pipeline programme of technical co-operation:
overall assessment and recommendations

As above, the relevance/compatibility of UNIDO pipeline programme for the development objectives and priorities of the country should be assessed and recommendations for programme reorientation, if any, clearly formulated.

Unlike the quarterly list of pipeline projects prepared by SIDFAs/JPOs on a rather action-oriented basis, this chapter should provide analytical, global and longer-term information.

3.4. Alternative sources of funds for the implementation of
industrial projects: potential co-operation with other
funding and/or executing agencies

In view of the financial constraints of UNDP and of the limited financial resources available to UNIDO, particular importance is attached to information that SIDFAs/JPOs might be able to provide on UNIDO's potential co-operation with other funding and/or executing agencies, organizations and institutions - on bilateral and multilateral levels, within or independently of the UN system.

Of special relevance in this respect is the possibility of UNIDO executing technical assistance components of credit lines of the World Bank 1/.

4. Other advisory, promoting, liaison and supporting
activities of SIDFAs/JPOs 2/

- (i) Promotion, technical/administrative support, liaison with national authorities and direct involvement in UNIDO Special Programmes 3/, i.e.:
- Energy
 - Investment Co-operative Programme
 - Assistance to least developed countries 2/:
 - i.a. involvement of SIDFA/JPO in the preparation of Donors Round Table Meetings

1/ please refer to the letter sent on 15 March 1983 to UNIDO SIDFAs/JPOs by the Director of the Division of Policy Co-ordination on the subject

2/ for JPOs when applicable

3/ please refer to the Annual Report of the Executive Director, 1983, doc. ID/B/320, 17 February 1984, p. 129 ss

- Technology Programme
- Co-operation among developing countries
- Industrial Development Decade for Africa 1/
- System of Consultations,
as well as
- Integration of Women in Development 2/

(ii) Advisory services to Governments and national institutions

(iii) Representing UNIDO/attending congresses, conferences, meetings, seminars, etc. (unless an ad-hoc report has been submitted).

(iv) Providing technical and administrative support to UNIDO Headquarters missions, experts, visitors, etc.

It is understood that the information to be provided under this heading will vary considerably for each duty-station: please select relevant items.

Annexes may be used for listings and information of an administrative nature.

5. Public Relations

- i.e.:
- Feed-back on the evaluation made by government officials on the UNIDO programme of activities;
 - Relationship with Government counterparts;
 - Information on the activities of National Committees for UNIDO or on progress made towards their establishment;
 - Feed-back on official visits undertaken and/or planned of Government representatives to UNIDO Headquarters;
 - Relations with national and international organizations having their Headquarters in the country of assignment.

6. Conclusions and Recommendations

Main policy issues emerging for UNIDO in the period under review should be clearly emphasized. A forecast of the main activities of the SIDFA/JPO for the next semester should be given.

On the basis of the information provided in the report, the field adviser should be in a position to formulate here recommendations for UNIDO Headquarters' action.

Annexes

For special topics, extensive economic data, listings, etc. it is recommended to use annexes. A clear listing of annexes and other enclosures (such as documents, information material, etc.) will be appreciated.

2. Quarterly Reports

will be prepared by SIDFAs/JPOs on a quarterly basis on the country of duty station. In order to facilitate not only the preparation of these reports but also their monitoring and processing at Headquarters, special forms have been designed by the FRMS. The forms, which will be supplied to all SIDFAs/JPOs by the FRMS, will be sent back to the field with UNIDO Headquarters' comments and notice of action taken within an established deadline.

O U T L I N E

- I. Introduction
- II. Forms on approved and operational projects
- III. Forms on pipeline projects
- IV. Forms on Evaluation Data

The aim of these reports is to:

(i) convey to UNIDO Headquarters, under the form of a brief introduction (1 to 3 pages), any relevant general information/comment that SIDFAs/JPOs deem necessary to provide on the activities undertaken during the quarter and/or on outstanding events of relevance to the work of the Organization (I);

(ii) keep UNIDO Headquarters informed of progress achieved and problems encountered in the implementation of approved and operational projects 1/ (without duplicating technical staff's reports, but reflecting first-hand knowledge of the present situation of projects monitored), and to point out pending actions for which follow-up is needed from Headquarters (without duplicating direct correspondence, but as an additional means of communication), (II);

(iii) keep UNIDO Headquarters informed of the status, the actions taken and the actions required with regard to pipeline projects 2/, (III);

(iv) provide data needed from the field for the operation of the internal evaluation system (IV).

Samples of the forms designed for the preparation of parts II, III, and IV are available with the FRMS. These forms will be regularly supplied by the FRMS to all SIDFAs/JPOs. Copy of the up-dated list of UNIDO Approved and/or Operational Technical Co-operation Projects prepared by the Division of Industrial Operations and referring to their country/ies of coverage will also be supplied as reference for the preparation of part II. Projects for which no developments took place and no actions are pending in the writers' view will be crossed off the list with "No comments".

1/ "approved and operational projects", i.e.: approved, operational as well as projects operationally completed but for which financial/administrative actions are pending.

2/ "pipeline projects": i.e. all projects for which a draft project document exists and/or official or informal request has been made, but finalization and financing has not yet been secured. However, the notion of pipeline should be used here as flexibly as possible, in order to cover also the initial stages of development of the project (i.e. project-concepts, and project-ideas).

3. Mission Reports

will be prepared by SIDFAs upon completion of a mission to their other country/ies of coverage (for countries with a JPO, see Chapter III).

Mission reports will have the same format as Quarterly Reports. However, the forms attached will only concern those projects actually reviewed/monitored/visited by the SIDFA during the mission.

In view of the fact that such periodic visits are often made less often than on a quarterly basis, it is recommended that additional background/country information is provided - as requested - under the introductory part.

4. Ad hoc Reports

will be prepared by SIDFAs/JPOs participating in Meetings, Seminars, Conferences and other events on behalf of the Organization, but only if the submission of a report is expressly requested by Headquarters.

O U T L I N E

1. Main conclusions and recommendations
2. Issues relevant to UNIDO activities and programmes
3. Follow up needed at UNIDO Headquarters' level
4. List of attached documents

Ad hoc Reports can also be prepared whenever SIDFAs/JPOs estimate it useful for Headquarters to be informed and/or briefed on specific subjects, at their initiative and discretion - for instance, in connection with major policy changes in their country(ies) of coverage.

5. Confidential Communications to the FRMS:

will be prepared by SIDFAs/JPOs at their discretion to transmit confidential information on specific matters pertaining to field activities that either (i) have a strong impact on the effectiveness of UNIDO technical assistance operations and, hence, ultimately on UNIDO's reputation and image or (ii) affect relationships with the Authorities of the country/ies concerned. For instance:

- feedback on the good/satisfactory/poor performance of UNIDO projects, with special emphasis on the experts' component;
- problems related to the fielding and activities of missions;
- feedback on relationships with the Government and other national institutions etc.

Whether in the form of confidential letters or cables, these communications will enable FRMS to keep the Executive Director and relevant Directors informed on the above matters on a timely basis. Such information is intended to complete the reporting system as an additional instrument, on a strictly confidential level. Additionally, separate letters should be addressed to FRMS on administrative questions concerning the SIDFA/JPO programmes (i.e. contracts, country of coverage, travel plans, budget etc.)

III. Arrangements regarding reporting

1. The SIDFAs

Three different situations are foreseen:

- (i) Country of duty-station: SIDFAs are expected to prepare a Yearly Country Brief and to complete the Quarterly Reports every three months.
- (ii) Other countries covered by SIDFA with resident JPO:
The JPO him/herself shall be considered responsible for the preparation of both the Yearly Country Briefs and the Quarterly Reports in close co-operation with the SIDFA. 1/

When the SIDFA undertakes a mission to one of these countries, it is recommended that the JPO is instructed to incorporate the outcome of the mission in his/her reports. If additional or confidential information has to be transmitted, the SIDFA may prepare a separate note. If specific matters need urgent follow-up from UNIDO Headquarters, the SIDFA may send a cable, as required.

- (iii) Other countries covered by SIDFAs, with no JPO: SIDFAs shall submit Mission Reports.

2. The JPOs

JPO reporting will be decided upon in close co-operation with the supervising SIDFA. Three situations are foreseen:

- (i) JPOs with resident SIDFA: will usually be asked to contribute to the preparation of reports.
- (ii) JPOs covered by SIDFA at another duty station: will be responsible for preparing the reports required on their country and sending them directly to FRMS with copy to the SIDFA. If necessary, the SIDFA might then comment on them.
- (iii) JPOs not covered by SIDFA: will be responsible for providing the same reports required from SIDFAs on their country. These reports will be submitted directly to FRMS.

Reports prepared by UNIDO JPOs under (ii) and (iii) will be forwarded to the FRMS under covering letter signed by the UNDP Resident Representative, or with the UNDP Resident Representative's agreement, by the JPO directly.

1/ The SIDFAs should ensure that reporting requirements are met by his/her JPOs also when posted in another duty station.

3. Specific cases

For the duty-stations of Suva (Fiji), Bridgetown (Barbados) and Kingston (Jamaica) modified reporting instructions will apply. It is recognized that the large number of countries and territories covered by each of these SIDFAs, the limited size of the UNIDO programme in each of these countries - most being small islands - and the unlikelihood of having JPOs stationed there do call for a different arrangement, namely:

- one Yearly (Country) Brief on the duty-station, but taking also into account the status and perspectives of UNIDO activities and programmes in the rest of the region.
- Quarterly Reports will include all projects in the duty-station and in the other countries covered of the region.

For missions within the region, direct correspondence and cables will be used, as appropriate, with copy to FRMS.

IV. Time-schedule

Yearly Country Briefs:

one good copy should be sent at the end of the calendar year or within the first quarter. Factors such as the fiscal year of the country under review will be taken into due account.

Quarterly Reports:

should be sent at the end of every quarter, i.e. by the 15th of April, July, October and January respectively.

Mission and ad-hoc Reports:

should be sent within two weeks of completion of the mission/attendance of the meeting, etc.

The FRMS should be informed in good time of any delay/request for changes in the submission of the above reports.

It should finally be re-emphasized that all reports prepared will be for restricted circulation only.

