

## **Independent Thematic Evaluation**

# **UNIDO's Public Private Partnerships**



UNITED NATIONS  
INDUSTRIAL DEVELOPMENT ORGANIZATION





**UNIDO EVALUATION GROUP**

**Independent Thematic Evaluation**  
**UNIDO's Public Private Partnerships**



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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## Acronyms and abbreviations

3ADI	African (Accelerated) Agribusiness and Agro-industries Development Initiative
AfDB	African Development Bank
BPG	Business Partnerships Group (UNIDO)
ChL	Chemical Leasing
CSIS	Centre for Strategic and International Studies
CSR	Corporate Social Responsibility
ECP	Entrepreneurship Curriculum Programme
EDC	Education Development Center
EF	Education First
FAO	Food and Agriculture Organization of the United Nations
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
INIDE	National Institute for Research and Education Development (Angola)
GEF	Global Environment Facility
GIP	Green Industry Platform
HP	Hewlett Packard
ITPO	Investment and Technology Promotion Office
ITC	International Technology Centre
JIU	Joint Inspection Unit
LDCs	Least Developed Countries
LEG	Office of Legal Affairs (UNIDO)
LKD	Learning and Knowledge Development Facility
MICs	Middle Income Countries
MEA-I	Micro-Enterprise Acceleration Institute
MIC	Microsoft Innovation Center
MoU	Memorandum of Understanding
NCPCs	National Cleaner Production Centres
OECD	Organisation for Economic Cooperation and Development
PPP	Public-Private Partnership
PSD	Private Sector Development
Sida	Swedish International Development Cooperation Agency
SMEs	Small and Medium Enterprises
UNDP	United Nations Development Programme

UNEP	United Nations Environment Programme
UNGIS	UN Group on Information Society
UNIDO	United Nations Industrial Development Organization
UNIQEQ	University of Kebangsaan
UNODC	United Nations Office on Drugs and Crime
USAID	U.S. Agency for International Development
VoIP	Voice over the Internet Protocol
WFP	United Nations World Food Programme

## Glossary of evaluation terms

Term	Definition
Conclusions	Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.
Effectiveness	The extent to which the development intervention's objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economic resources/inputs (funds, expertise, time, etc.) are converted to results.
Impacts	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor.
Institutional development impact	The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action.
Lessons learned	Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.
Logframe	Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes,

Term	Definition
	impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution and evaluation of a development intervention. Related term: results based management.
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs. Related terms: result, outputs, impacts, effect.
Outputs	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Recommendations	Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.
Relevance	<p>The extent to which the objectives of a development intervention are consistent with beneficiaries' requirements, country needs, global priorities and partners' and donors' policies.</p> <p>Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.</p>
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention. Related terms: outcome, effect, impacts.
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long term benefits. The resilience to risk of the net benefit flows over time.

# Executive summary

## Introduction

The subject of this evaluation is the overall UNIDO business partnership programme. The evaluation serves the purpose of learning, by UNIDO and its partners, and is forward looking, thus guiding the development of new partnerships. The term 'business partnership' is used throughout the report as equivalent to 'Public Private Partnerships'. The evaluation was conducted in the second half of 2013 by Margareta de Goys, Director ODG/EVA, Mr. Urs Zollinger, Senior Evaluation Consultant and Ms. Michaela Fleischer, Evaluation Consultant.

The primary focus of the evaluation was on selected ongoing partnerships. The evaluation also reviewed – although less in-depth - new partnerships that have been forged recently in order to assess the characteristics and evolution of the entire partnership portfolio. The selected, ongoing partnerships were the following six individual partnerships and three multi-stakeholder partnerships:

Ongoing Partnerships:	Multi-stakeholder partnerships:	New partnerships:
<ul style="list-style-type: none"><li>- Microsoft, since 2006</li><li>- Hewlett Packard, since 2008</li><li>- Metro, since 2009</li><li>- Chevron, since 2010</li><li>- Scania, since 2011</li><li>- Samsung, since 2012</li></ul>	<ul style="list-style-type: none"><li>- Chemical Leasing (ChL), since 2004</li><li>- Accelerated Agribusiness and Agro-industries Development Initiative (3ADI), since 2010</li><li>- The Green Industry Platform (GIP), since 2012</li></ul>	<ul style="list-style-type: none"><li>- AEON, since 2012</li><li>- Volvo, since 2012</li><li>- Carlsberg, since 2013</li></ul>

In addition to the ongoing and new partnerships, the evaluation also assessed the institutional arrangements in support of business partnerships, in particular in relation to the *Business Partnership Group* and key guiding documents, such as the Business Partnership Policy.

The evaluation addressed the following key evaluation criteria and questions:

1. Relevance: Are the UNIDO business partnerships relevant for partner countries, business<sup>1</sup> and UNIDO?
2. Design and ownership: How were the partnerships designed?
3. Effectiveness: How effective are UNIDO business partnerships in achieving the established objectives?
4. Sustainability: How sustainable are results achieved and the partnership?
5. Impact: What is the impact of UNIDO business partnerships?
6. Cross-cutting issues: To what extent are the cross-cutting issues gender and environment a dimension in the partnerships?

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<sup>1</sup> Private companies partnering with UNIDO

7. Efficiency of implementation of business partnerships: How efficient have individual business partnerships and the related projects been implemented?
8. Institutional arrangements: How efficient are UNIDO's institutional arrangements in managing the business partnership programme?
9. Lessons learned: What are key factors that make business partnerships work successfully?

The analytical framework of the evaluation was driven by the key evaluation criteria and questions presented above. The main data sources of information were UNIDO/UN documents, UNIDO staff, business partners, donors and national counterparts. Data were collected by way of document review, interviews and group discussions. The main data analysis methods used were qualitative, in particular content analysis of documents, interview notes and group discussion notes. After the data on the nine ongoing projects was collected, a portfolio analysis triangulated and synthesized the information and preliminary findings and conclusions were developed which were presented to stakeholders at UNIDO HQ. This allowed for the validation of the findings and conclusions. Subsequently, a draft report was shared with all stakeholders. Upon this consultation, the final report was prepared.

This is an evaluation of a portfolio of projects. It is not an in-depth evaluation of individual partnerships and cannot replace individual project evaluations, which should still be undertaken when these are mandatory. Moreover, this is not a comparative analysis with other UN agencies, as this should not be the task of UNIDO but rather of UN bodies designated to conduct system-wide evaluations. This evaluation was constrained by the non-availability of monitoring data and evaluative material. In spite of the limitations, the evaluation team is confident, that the final findings and conclusions are sufficiently supported by evidence.

## **Findings**

### **Types of partnerships and main partners**

(1) The UNIDO business partnerships are diverse in nature but can be broadly clustered in four types of partnership: partnerships with shared project implementation, partnerships with business partner as donor, partnerships in which UNIDO has a subsidiary role, and UNIDO initiatives. Public entities - governments, national implementing partners and donors – play a key role in all partnerships.

### **Relevance**

(2) While most partnerships are initiated and driven by private partners and/or UNIDO, it appears that the public private partnerships are relevant to the partner governments and address constraints for industry sector development. Presently, UNIDO business partnerships mainly benefit Middle Income Countries (MICs). Least Developed Countries (LDCs)/Low Income Countries are benefitting less.

(3) The reviewed partnerships are, with a few exceptions, in line with UNIDO strategic priorities. However, the direct effects of most partnerships on industrial development are not so evident. The main beneficiaries of the ongoing and new business partnerships are Small and Medium Enterprises (SMEs), local training centres/institutions as well as students/youths. The partnerships were found to be aligned to needs and priorities of the direct beneficiaries.

(4) Overall the business partnership programme has not reached a substantial size and is still a small part of the total UNIDO portfolio.

(5) Public private partnerships are relevant for the business partners in that they address real problems faced by sectors. There are several reasons for private companies to partner with UNIDO and the Organization has several features, services and field of competencies that are valued by the business partners: country presence and knowledge, good connections to government and national institutions, technical competencies, systems for checks and balances and, not the least, the capacity for project design and management.

### **Implementation**

(6) UNIDO business partnerships benefit from different types of inputs, i.e. financial inputs, hardware and expertise, including knowhow, skills, networks, etc. Many business partnerships build on previous UNIDO technical cooperation projects and use developed capacities. UNIDO's management and coordination of business partnerships is largely appreciated by partners.

### **Monitoring, reporting, knowledge sharing and evaluation**

(7) Monitoring of and reporting on business partnerships offers room for improvement. There is limited monitoring data and evaluative material available. This is recognized by the Business Partnership Group, which intends to develop and introduce monitoring and evaluation tools. A promising and worthwhile initiative is the LKD Facility, established by the Agro-industry Branch and encompassing features of results based knowledge sharing and monitoring, management training and quality assurance tools.

### **Effectiveness, Sustainability, Impact**

(8) Overall, the UNIDO business partnerships are effective in achieving results at the output level. Results reported at the outcome level are limited, either because they are rather modest in terms of size or because it is too early to tell or that they are simply not reported. Positive results are noticed for the Chemical Leasing and HP Life initiatives.

(9) For most partnerships it is too early to say if results achieved will be sustainable.

(10) Although a few partnerships have a significant impact and some approaches are being replicated, the overall development impact of the UNIDO business partnerships is modest.

## **Cross-cutting issues**

(11) The advancement of women and the promotion of gender equality receive attention in some partnerships. Environmental sustainability receives significant attention as it is a key objective in a number of partnerships. However, both dimensions are not systematically addressed as cross-cutting issues.

## **Institutional arrangements**

(12) UNIDO has made significant progress in strengthening the institutional arrangements to manage business partnerships, in particular with the review of 2010 ('Strategic Framework'), by establishing the Business Partnerships Group (BPG) and by endorsing the Policy on Business Partnerships. However, the Organization has no clear strategic approach in partnering with business.

(12.1) The 'Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations' (2010) was a milestone in the evolution of UNIDO business partnerships as it provided a sober analysis of the implementation of UNIDO's business partnership programme. However, it was not a strategy in itself but rather a review with recommendations.

(12.2) UNIDO made an effort to implement the Strategic Framework by approving two projects for establishing the Business Partnerships Group. The Business Partnership Group is focusing on outreach activities, due diligence screening, providing in-house advisory services, staff training and communication.

(12.3) The "UNIDO Policy on Business Partnerships" was introduced only in 2013. It is a significant step forward in guiding the Organization and its staff in partnering with the private sector. Still, additional strategic and methodological guidance is required.

(12.4) UNIDO training material provides guidance on developing, designing, implementing, monitoring and evaluating business partnerships. The material is, however, quite generic and provides limited UNIDO specific guidance. No mechanism to share experiences in business partnerships, on a regular basis, is in place. A promising and worthwhile initiative is the LKD Facility, established by the Agro-industry Branch and encompassing features of results based knowledge sharing and monitoring, management training and quality assurance tools. UNIDO in-house expertise is not sufficiently used.

(12.5) UNIDO has not succeeded in establishing partnerships with private foundations.

(12.6) The definitions of business partnerships and partnership categories are not clear. The principles for business partnerships as stipulated in the new Policy are useful.

## **Conclusions**

### **Positive trend**

Some of the results achieved from partnering with the private sector are remarkable: The Chemical Leasing initiative has led to positive changes for the environment. HP LIFE, supported by UNIDO, reports to have created thousands

of jobs and individual partnerships are relevant to UNIDO priorities in the area of environmental sustainability, agro-industry development or entrepreneurship development. In addition UNIDO has – since 2010 - accelerated efforts to reach out to private companies and a number of new and promising partnerships with large international companies have been established thereby diversifying the industry sectors. The Organization has significantly strengthened the institutional arrangements to promote business partnerships by establishing the Business Partnership Group and by endorsing the Policy on Business Partnerships providing useful guidance to the Organization on how to partner with private companies. Training of staff has started and communication material has been developed. A sound due diligence process is in place.

### **Below potential**

Overall, however, results achieved by the business partnership portfolio at the outcome (and impact) level are modest. Contributions of the private sector are often small. The financial and in-kind contributions from private partners amount to only about 1% of UNIDO's overall technical assistance budget. Unlike Chemical Leasing and HP LIFE which have achieved results in several countries, most activities are small in scale with limited multiplier effects. Furthermore, the strategic relevance of individual partnerships is limited. Most partnerships appear to be rather ad-hoc and opportunity-driven than based on developing country priority needs. The scale and scope of the UNIDO business partnership programme is significantly below potential. Interviews with company representatives and the growing pipeline of possible partnerships reveal that private companies have an interest in collaborating with UNIDO.

### **No clear strategy**

There are good examples of strategic thinking. The multi-stakeholder partnerships are strategic and clearly driven by UNIDO and by UNIDO priorities. Efforts have been made to make the overall business partnerships programme more strategic with the 'Strategic Framework' (2010) and the new Policy on Business Partnerships (2013). However, both documents lack crucial elements like measurable objectives, an overall approach to achieve the objectives, thematic or geographic priorities, and a plan of action. A coherent and comprehensive strategy looks different – and is clearly missing. As a consequence, the organization's current approach to partnering with business is largely opportunity-driven, which leads to a diverse group of business partners from various sectors, having activities dispersed across the globe. The recent expansion of the business partnerships portfolio implies that the Organization needs to develop a more strategic and structured approach to partnering – not least because of limited capacities to manage partnerships but also due to the relatively small size of UNIDO.

### **Not without governments**

Most business partnerships are driven either by UNIDO or private companies. Only a few are initiated by governments. While the value added to UNIDO and

business partners come out clearly in project documents, the value added to partner countries is often not explicitly mentioned. Partnerships would benefit from more partner governments ownership. There is a need for increased dialogue with national partners in order for the BP projects to be fully aligned with their national strategies and policies and in order to ensure long terms sustainability and up-scaling. A deepened dialogue with donor governments is equally required not the least because they can add value to business partnership projects financially. However, public entities play a role in all of the 12 business partnerships projects reviewed and almost all receive financial contributions from governments.

### **Business Partnership Group**

The establishment and strengthening of the Business Partnership Group (BPG) was an important step in furthering UNIDO's capacity to partner with private companies. The BPG has provided relevant support to the Organisation in developing the new Policy, establishing the due diligence process, conducting training, advising different branches on current and new partnerships, and by developing communication material. A lot of attention is given to outreach activities (including travel) absorbing limited BPG capacities. A significant part of the BPG's activities is promoting UNIDO's visibility as regards business partnerships but without clearly defined results. Also, the fact that few of the Project Managers directly interact with the BPG suggests that the BPG could spend more time interacting with the technical branches.

Moreover, the collaboration with UNIDO country offices, Investment and Technology Promotion Offices (ITPOs) or International Technology Centres (ITCs) appears to be limited. This is a two-way process. It is also the responsibility of the UNIDO offices around the globe and the technical branches to interact with the BPG when necessary. Finally, there is no systematic in-house knowledge sharing of the experience made in partnering with business. The present portfolio should be used for learning and for promoting more involvement of the private sector and partner countries.

### **Roles and responsibilities**

It would be a mistake to assume, that by establishing the BPG, the development of new partnerships will be taken care of. For that, the BPG is not only too small, but in fact not the appropriate unit. The BPG has a subsidiary, coordinating and supportive role. The management and development of new business partnerships is and must be the responsibility of the technical branches. Business partnerships must be aligned with the branches' objectives and priorities. The technical branches within UNIDO must step up efforts to strengthen business partnerships for development. A successful business partnership strategy must encompass the entire house.

## Recommendations

The following are the key recommendations of the evaluation;

1. Define a comprehensive **business partnership strategy**. The strategy should:
  - a) include a coherent set of **objectives**, an **overall approach** to achieve the objectives and a **plan of action**;
  - b) be sufficiently specific with regard to UNIDO **thematic and geographic priorities**; identify which ‘problems’ need to be addressed;
  - c) identify **industrial sectors** which are of strategic relevance for UNIDO and in which partnering with private companies can be an asset;
  - d) identify partnership activities with the **potential for scaling-up and replication**; these should be given priority; consider working with groups of companies when this is possible for legislative or other reasons;
  - e) identify partnerships that could directly contribute to **industrial development** and go beyond vocational training and youth employment;
  - f) encompass the entire Organization and define **roles and responsibilities** of all relevant UNIDO branches;
  - g) take into account UNIDO’s limited **capacity** to manage business partnerships;
  - h) take into account **legal** and **other limitations**;
  - i) be **time-bound** (e.g. four years);
2. Based on the new business partnership strategy, identify business partners of the current portfolio which **match the strategy**. Consolidate the current portfolio and decide which of the current partnerships can be phased out.
3. Give priority to multi-stakeholder platforms like the **Green Industry Platform** and the **Chemical Leasing** approach as they offer significant leverage and scaling-up potential. The Chemical Leasing approach should be brought to a higher level and UNIDO should establish partnerships with big chemical companies at the corporate level.
4. Reflect the collaboration with business partners in the **work plans** of the branches and allocate the required resources (staff time, funding).
5. Strengthen the **dialogue with programme country governments and donors** about the role of private companies in pursuing development objectives.
6. The **Business Partnership Group** should pursue its role as defined in the UNIDO Policy on Business Partnerships. However, the BPG should:

- a) strengthen the in-house advisory services, coordination and interaction with colleagues, including UNIDO country offices, ITPOs or ITCs;
  - b) keep outreach activities and representation functions at events to a minimum and in any case align them with the implementation of the new strategy (to be developed); involve UNIDO staff around the globe in reaching out to business community;
  - c) be the custodian of the development of a new business partnership strategy;
7. Review the current definition of business partnerships and the three categories and supplement them with a set of criteria for good business partnerships in order to further sharpen the concept of business partnerships. Consider the following ***set of criteria for relevant business partnerships***:
- a) Shared development objectives;
  - b) Objectives in line with UNIDO priorities;
  - c) Business partnership can make a direct contribution to industrial development;
  - d) Business partner provides more than financial contribution;
  - e) Business partner is a large company and partnership offers potential for scaling up, for instance in additional countries;
  - f) Business partner is active in developing countries and countries in transition;
  - g) Beneficiaries are also others beyond the business partner (in addition);
  - h) No payment by UNIDO for goods and services provided by business partners.
8. Develop ***supplementary guidelines*** addressing issues missing in the UNIDO Policy on Business Partnerships Policy, i.e.
- a) reference to the use of the UNIDO logo;
  - b) good examples (MoUs, etc.);
  - c) funding arrangements/modalities;
  - d) questionnaires for screening partnerships and criteria for acceptance/rejection (based on criteria elaborated in the policy);
  - e) guidance on gender, environmental mainstreaming and CSR, including on Key Performance Indicators (KPIs).
9. Strengthen ***monitoring and evaluation*** of business partnerships. This includes:
- a) develop monitoring and evaluation tools and methodologies to be used throughout the lifecycle of all partnerships (as already envisaged in the BPG work plan; also taking into account the

practices/experiences of the LKD Facility); particular emphasis should be given to assessing the contribution to industrial development and results at the outcome and impact level;

- b) prepare a yearly progress reports on the development of the portfolio and actual results achieved by business partnerships;
- c) evaluate key business partnerships in order to strengthen learning;
- d) develop a reporting tool and indicators for Green Industry platform partners reporting back;
- e) evaluate the implementation of the 'UNIDO Policy on Business Partnerships' after three years of implementation.

10. In order to enhance knowledge-sharing and transparency, establish a **community of practice** for business partnerships for UNIDO staff, in particular also staff in UNIDO country offices, ITPOs or ITCs. Consider issuing a newsletter.
11. Establish a committee consisting of representatives of Legal Office, Business Partnership Group, funds mobilization group, finance to look at the applicability of **trust fund agreements** and possible make proposal for revisions and, if deemed necessary, bring in external expertise to provide additional guidance.



# 1. Introduction

## 1.1. Evaluation purpose

The UNIDO Executive Board mandated the UNIDO Evaluation Group to conduct a thematic evaluation of UNIDO's Public Private Partnerships (PPPs). Subsequently, this thematic evaluation was included in the Work Programme of the UNIDO Evaluation Group for 2012/2013.

The evaluation serves the purpose of accountability and learning, by UNIDO and its partners, and is forward looking, thus also guiding the development of new partnerships. It also intends to provide guidance on business partnerships to UNIDO management. It was conducted in line with the ToR for the evaluation, which can be found in Annex G.

## 1.2. Subject

The subject of this evaluation is the overall UNIDO business partnership programme. The term 'business partnership' is used throughout the report as equivalent to 'Public Private Partnerships', in line with UNIDO practice.

The time period of this evaluation looked starts at 1999, when the first partnership started, to 2013. However, the primary focus of the evaluation was on selected ongoing partnerships (second generation). The evaluation also reviewed – although less in-depth - new partnerships that have been forged recently in order to assess the characteristics and evolution of the entire partnership portfolio. The first generation of projects (closed) were equally taken into account when appropriate.

The selected, ongoing partnerships and the main focus of this evaluation are the following six individual partnerships and three multi-stakeholder partnerships:

<b>Ongoing Partnerships:</b>	<b>Multi-stakeholder partnerships:</b>	<b>New partnerships:</b>
- Microsoft, since 2006	- Chemical Leasing (ChL), since 2004	- AEON, since 2012
- Hewlett Packard, since 2008	- Accelerated Agribusiness and Agro-industries Development Initiative (3ADI), since 2010	- Volvo, since 2012
- Metro, since 2009	- The Green Industry Platform (GIP), since 2012	- Carlsberg, since 2013
- Chevron, since 2010		
- Scania, since 2011		
- Samsung, since 2012		

In addition to the ongoing and new partnerships, the evaluation also assessed the institutional arrangements in support of the business partnerships, in particular the *Business Partnership Group* and the key guiding documents:

- Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations (2010)
- UNIDO Policy on Business Partnerships (2013)

This is a global evaluation with no geographical limitation.

### **1.3. Key evaluation questions**

The evaluation addressed the following key evaluation criteria and questions:

1. Relevance: Are the UNIDO business partnerships relevant for partner countries, business<sup>2</sup> and UNIDO?
2. Design and ownership: How were the partnerships designed?
3. Effectiveness: How effective are UNIDO business partnerships in achieving the established objectives?
4. Sustainability: How sustainable are results achieved and the partnership?
5. Impact: What is the impact of UNIDO business partnerships?
6. Cross-cutting issues: To what extent are the cross-cutting issues gender and environment a dimension in the partnerships?
7. Efficiency of implementation of business partnerships: How efficient have individual business partnerships and the related projects been implemented?
8. Institutional arrangements: How efficient are UNIDO's institutional arrangements in managing the business partnership programme?
9. Lessons learned: What are key factors that make business partnerships work successfully?

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<sup>2</sup> Private companies partnering with UNIDO.

## 2. Methodology

### 2.1. Evaluation period and team

The evaluation was conducted between August and November 2013. It was managed by ODG/EVA and conducted by an evaluation team comprising of the Director of ODG/EVA, Ms. Margareta de Goys, an independent evaluator, Mr. Urs Zollinger, and a consultant, Ms. Michaela Fleischer. The Work Plan of the evaluation is provided as Annex A.

### 2.2. Data collection and analysis process

The analytical framework of the evaluation was driven by the key evaluation criteria and questions presented above. Additional sub-questions were developed which guided the data collection and analysis phase.

The main data sources of information were UNIDO/UN documents, UNIDO staff, business partners, donors and national counterparts. Data were collected by way of document review, interviews and group discussions.

A comprehensive Evaluation Framework was developed, indicating for each question the data sources, data collection and analysis methods (Annex B). A summary of the Evaluation Framework is presented below.

**Table 1: Summary Evaluation Framework**

Key evaluation criteria	Key means of verification								
	Document analysis				Interviews				
	Analysis of UNIDO /UN general documents	Partnership/ project analysis	Basic project data compilation	Analysis of evaluation reports	UNIDO staff	Business partners	National partners/ Beneficiaries	Donors	UN entities
1. Relevance		<input checked="" type="checkbox"/>							
2. Design and ownership	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>			<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>		
3. Effectiveness		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					
4. Sustainability		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					
5. Impact		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					
6. Cross-cutting		<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					
7. Efficiency		<input checked="" type="checkbox"/>							
8. Institutional arrangement	<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>				<input checked="" type="checkbox"/>
9. Lessons learned	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>		<input checked="" type="checkbox"/>					

Source: Evaluation team, based on elaborate evaluation framework

The main data analysis methods used were qualitative, in particular content analysis of documents, interview notes and group discussion notes. Some quantitative analyses were conducted, in particular related to the portfolio analysis.

## **Content analysis of documents**

### ***UNIDO/UN general documents analysis***

A content analysis of UNIDO general documents related to business partnerships and overall UNIDO strategy and policy documents was central for the assessment of the institutional arrangements and lessons learned (key evaluation questions 8 and 9). In particular, the UNIDO internal review conducted for the development of the strategic framework in 2010 was a main source of information for the period before 2010.<sup>3</sup> This review also included documents of other entities in order to compare the UNIDO experience with the experience from other UN and bilateral actors (key evaluation question 9). Key documents are listed in Annex C. The fact finding also included the UNIDO business partnership website.

### ***Partnership/Project analysis (9 selected ongoing partnerships)***

The in-depth content analysis focused on nine selected partnerships and included the original project documents, progress reports, financial information, fact sheets, etc. The analysis included the websites of the individual partnerships. It was guided by the key evaluation questions and sub-questions according to the evaluation framework. The analysis was central for the evaluation questions 1, 2, 3, 4, 5, 6, 7 and 9.

### ***Basic project data compilation (12 ongoing partnerships)***

The basic project data compilation covered 12 partnerships projects. In addition to the 9 ongoing partnerships, three new partnerships were included. The compilation collected the following data: number of projects, project budgets and financing, project duration, project objectives, type of partners, counterparts, beneficiaries, type of contributions of private partners and donors (inputs), which sectors, geographical coverage (recipient countries). The compilation was beneficial for evaluation questions 1 and 7.

## **Analysis of evaluation reports**

A content analysis of other UNIDO evaluations was conducted. This analysis took into account country, project and thematic evaluations that touch upon UNIDO business partnerships. It also took into account the 2013 evaluations of the Entrepreneurship Curriculum Programme (ECP) in Angola (of which Chevron is a

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<sup>3</sup> Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations UNIDO, 2010.

donor), the Russian Country Evaluation and the evaluation of the 3ADI. This analysis was useful in relation to evaluation questions 1, 3, 4, 5, 6, 7 and 9.

### **Interviews/group discussions**

Interviews and group discussions with stakeholders were central. The following were consulted (a detailed list is in Annex D):

- UNIDO Business Partnership Group (BPG)
- UNIDO project managers
- UNIDO experts and consultants
- Representatives of key business partners
- National partners and UNIDO counterparts
- Donors
- UN Global Compact

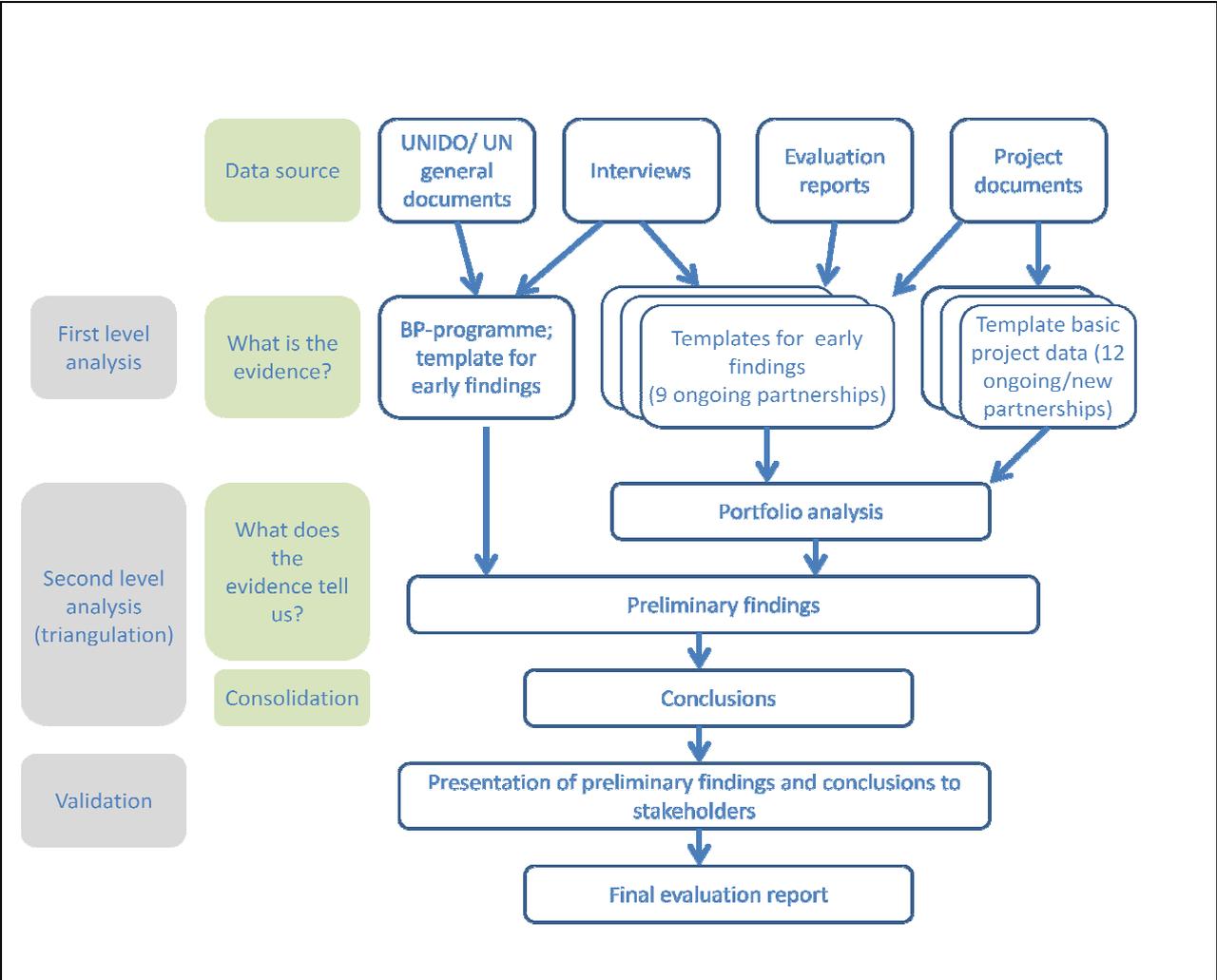
### **Portfolio analysis, triangulation and validation**

The data analysis process is summarized below (Figure 1). Early findings for each of the nine ongoing partnerships were collected in separated templates along the key evaluation questions.

After the data on the nine ongoing projects was collected, a portfolio analysis triangulated and synthesized the information (including data from the basic project compilation) and preliminary findings were developed. The evaluation team then consolidated the findings and prepared the conclusions.

Preliminary findings and conclusions were presented to stakeholders at UNIDO HQ in Vienna (27 November 2013). This allowed for the validation of the findings and conclusions. Subsequently, a draft report was shared with all stakeholders. Upon this consultation, the final report was prepared.

**Figure 1: Data analysis process**



Source: Evaluation team

**2.3. Limitations and validity of findings**

This is an evaluation of a portfolio of projects. As such, it is not an in-depth evaluation of individual partnerships and cannot replace individual project evaluations. The main aim was to get an overall picture of the UNIDO partnership programme rather than in-depth findings for each partnership.

Also, this is not a comparative analysis with other UN agencies. A comparative analysis would require a different methodology than outlined in the TOR. Moreover, it is not the mandate of UNIDO to conduct comparative analysis at the UN system level. This is the mandate of specific UN bodies such as the Joint Inspection Unit (JIU).

It was not possible to conduct interviews with all stakeholders of all the individual partnerships. Also, the evaluation team was not in a position to visit the partnership projects. Most interviews were conducted by phone or VoIP (Voice over the Internet Protocol).

This evaluation was constrained by the non-availability of monitoring data – and their validation. This challenge is further addressed in the findings below. Also, there was limited evaluative material available on the business partnerships. While some partnerships were evaluated fragmentarily in the context of country, project or thematic evaluations, none of the partnerships was the exclusive subject of an evaluation, with the exception of the 3ADI (2013).

In spite of the limitations, the evaluation team is confident, that, after the validation process of the preliminary findings and conclusions (including also the project data templates), the final findings and conclusions are sufficiently supported by evidence.

# 3. Background

## 3.1. Concept of business partnership

UNIDO defines business partnerships as *non-commercial* collaborations between UNIDO and private sector entities, which have the purpose of achieving common goals and objectives in the field of industrial development. Such partnerships can involve two or more parties, including business and industry, academia, governments and local authorities, NGOs and intergovernmental organizations.

Here, the 'private sector' is defined as

- i) Individual, for-profit, commercial businesses or companies, including SMEs and cooperatives, whether national or multinational
- ii) State-owned enterprises to the extent that they behave or operate as commercial businesses or companies
- iii) Corporate foundations, directly funded and/or governed by business
- iv) Business associations, trade and/or industry representations, and business-led groups or initiatives aimed at promoting corporate citizenship.

The UNIDO partnership programme distinguishes three partnership models (Box 1).

**Box 1: UNIDO's three business partnerships categories definitions**

<p><b>Core Business Operations and Value Chains:</b> Partnerships in this category mobilize the private sector's core competencies (skills, know-how, technology, networks, and financial resources) and adapt or develop business models to integrate social, environmental and developmental considerations. Through collaboration, UNIDO and a business partner aim at achieving results which, for instance, facilitate business and investment in developing countries, infrastructure and supply chain development, as well as job creation or training programmes. Core business and value chain partnerships utilize enterprise solutions to accelerate and maintain access of target beneficiaries to needed goods and services and/or employment and livelihoods opportunities, thereby promising a significant impact on industrial development issues.</p> <p><b>Social Investments and Philanthropy:</b> Acknowledging the increasing importance of demonstrating good corporate citizenship, the private sector increasingly recognizes the importance of responsible social investment. Market trends show that business emphasizes a more streamlined and strategic approach which goes beyond traditional corporate philanthropy in which no expectations of financial return are established. In social investment programmes, private sector partners are making voluntary contributions that demonstrably support local communities and/or societies in addressing their development priorities. Such investments share the benefits of commercial activities more broadly by delivering social, environmental and financial returns and aligning them with larger societal goals. These partnerships may provide UNIDO with access to unique resources which may be instrumental for designing and scaling up its technical assistance projects. Collaboration</p>
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is usually not directly related to the commercial core business of the partner company but may enhance a company's visibility or reinforce its corporate sustainability strategy.

**Multi-stakeholder Partnerships:**

As industrial development challenges such as environmental degradation, food security or sustainable access to energy have to be met with comprehensive strategies, UNIDO is increasingly forming and participating in multi-stakeholder partnerships. These initiatives pool appropriate stakeholders from diverse sectors and leverage their strengths to create lasting impact on systemic issues. Working together with a broader constellation of actors is increasingly recognized as an effective mechanism for finding common ground to develop and introduce innovative solutions to persisting problems, changing rules and systems, as well as creating new playing fields.

Source: UNIDO Policy on Business Partnerships, 2013.

Having UNIDO's classification as an entry point, the main thrust of the business partnerships is on "core business and value chain" partnerships. Two partnerships are categorized as "social investment and philanthropy" and three as "multi-stakeholder and transformational" partnerships (Table 2).

**Table 2: UNIDO business partnerships - partnership category**

Partnership category	Ongoing partnerships and multi-stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
Core Business and Value Chain partnerships	■		■		■	■				■	■	■
Social Investment and Philanthropy Partnerships		■		■								
Multi-stakeholder and Transformational Partnerships							■	■	■			

Source: Factsheets, Business Partnership Group, 2013.

### 3.2. Evolution of the programme

UNIDO was among the 'early adopters', within in the UN system, to develop a new model of technical assistance following a public-private partnerships (PPP) modality by launching the first business partnership in 1999 with FIAT which focused on supplier upgrading in the automotive components industry in India.<sup>4</sup>

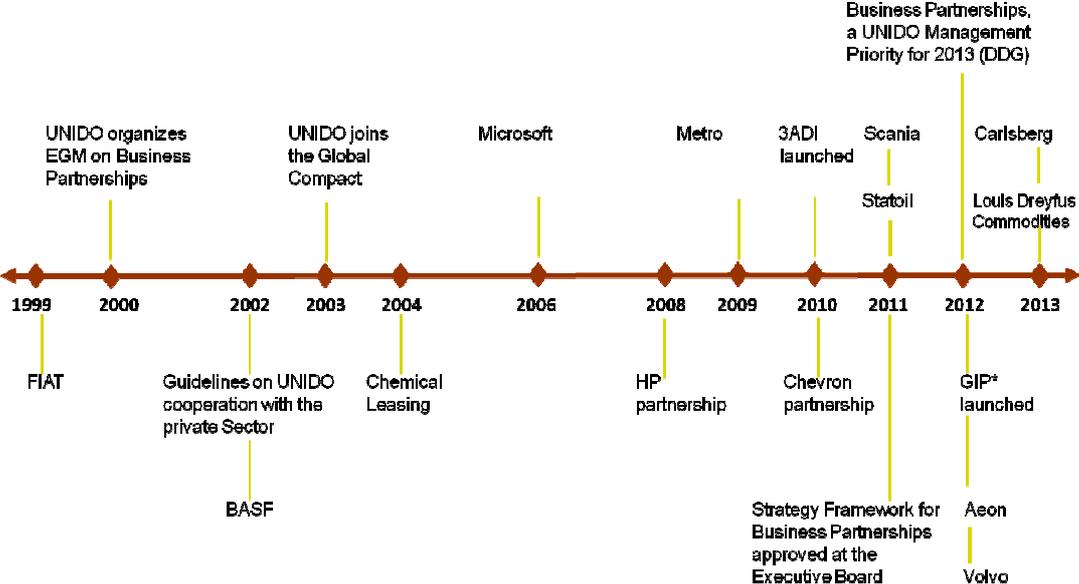
However, while an early adopter, UNIDO was rather slow in establishing a partnership portfolio, strategy or policy. Over a period of 10 years (1999-2009) UNIDO established only seven partnerships, on average less than one per year.

<sup>4</sup> Cf. Note on Cooperation between the Government of India, FIAT and UNIDO, May 2013

After an internal review in 2010 (see next section) UNIDO’s collaboration with business partners accelerated. Since 2010, UNIDO has signed nine new partnerships and initiated two new multi-stakeholder partnerships (3ADI, GIP). Partnership agreements signed recently include AEON (2012), Volvo (2012), Carlsberg (2013), Louis Dreyfus Commodities (2013), TetraLaval (2013) and Philips (2013). There are also ongoing discussions with other companies

Figure 2 sums up the evolution of the programme and includes the main milestones illustrating UNIDO’s engagement in this field.

**Figure 2: Milestones in the evolution of UNIDO-private sector collaboration**



Source: UNIDO Project Document, XPGLO11020, 2013.

The partnerships vary in nature and focus and cover a range of areas of interventions to build local productive capacities, enhance social inclusion or promote environmental sustainability. More precisely partnerships can consist of:

- Developing innovative services to meet the needs of low-income groups and micro, small and medium-sized enterprises (e.g., partnership with Microsoft);
- Specialized training and skills development (e.g., partnership with Scania);
- Promoting entrepreneurship (e.g., partnership with HP);
- Building inclusive and sustainable value chains (e.g. partnership with Metro);
- Enhancing compliance with international standards (e.g., partnership with Metro);

- Promoting the efficient use of energy and raw materials (“green industry”) (e.g., partnership under Chemical Leasing);
- Promoting access to affordable and renewable energy. (e.g. recent partnership with Philips).

### 3.3. Development since 2010

In 2010, at the request of the Managing Director of the Programme Development and Technical Cooperation Division (PTC/OMD), a ‘Strategic Framework for UNIDO partnerships with multinationals and private foundations’ (Strategic Framework) was developed, based on a stock taking of UNIDO business partnerships along with a mapping of best practices in dealing with business partnerships across the UN system. The Strategic Framework included a gap analysis and a recommended course of action that was approved by the UNIDO Executive Board in 2011. The gap analysis concluded, that “*In its cooperation with MNCs [Multinational Companies], UNIDO lacks diversity of strategic partnering industries*” (Gap # 6).<sup>5</sup> Since 2010, UNIDO has diversified the industry sectors with new partnerships in four sectors: commodities, beer/beverage, electronics and retail (Table 2).

**Table 2: UNIDO business partnerships - industry sectors since 1999**

Industry	UNIDO business partnerships
Agri-business	■ ■ ■ (Metro, 3ADI, TetraLaval)
Automotive/trucks	■ ■ ■ (Fiat, Scania, Volvo)
Chemical & Pharmaceutical	■ ■ (BASF, ChL)
Commodities	■ (Louis Dreyfus Commodities)
Beer and beverage	■ (Carlsberg)
Electronics	■ ■ (Samsung, Philips)
Energy	■ (Chevron)*
ICT	■ ■ ■ (HP, Microsoft, Erikson)
Retail	■ (Aeon)
■ partnerships until 2009 ■ new partnerships since 2010	
* While Chevron belongs to the energy sector, the partnership with UNIDO is not related to energy.	

Source: Evaluation Team, based on UNIDO documentation.

The Strategic Framework also fostered the establishment of a Business Partnerships Group (BPG) that was provided with an initial core budget of € 200.000 (12 months period, 2012) to implement the framework. The budget was to be used for consultancy services, UNIDO staff training on the development and management of business partnerships (2012), participation in/organization of relevant events (such as the annual UN System Private Sector

<sup>5</sup> Strategic Framework for UNIDO Partnerships with Multination Companies and Private Foundations, UNIDO, 2010, p.18.

Focal Points meeting), cost-sharing of a UN-wide due diligence service to screen partners, and communication related activities. A Core Working Group (inter-divisional) established to serve as an advisory body of the BPG has met on a regular basis and reported on its meetings.<sup>6</sup> A new budget/project of € 200.000 (2013) was approved by the Executive Board in March 2013 and aimed at pursuing and expanding the work of the BPG.

Moreover, a *UNIDO Policy for Business Partnerships* was prepared and issued in June 2013 as a Director-General's Bulletin. The Policy aimed at (i) providing overall guidance on the establishment of business partnerships, (ii) making due diligence screening mandatory and (iii) synchronizing internal processes related to business partnerships.

### **3.4. The wider context: UN partnering with the private sector**

UNIDO is actively involved in UN wide exchanges on the PPP modality, which is facilitated by the Global Compact. It was the former UN Secretary-General, Kofi Annan, who officially launched the UN Global Compact initiative in July 2000, with a view to strengthen the partnership between the UN system and the private sector. With meanwhile over 5,000 business participants and about 2,000 other stakeholders from civil society, academia, labour and other sectors, the Global Compact has become the world's largest corporate responsibility initiative. It provides a common platform of shared information resources and technical tools for UN agencies (e.g. the Partnership Assessment Tool).

UNIDO joined the Global Compact in 2003 and the head of the BPG is the Focal Point in UNIDO. Since UNIDO joined the initiative, there has been an active and regular participation in the meetings of the Private Sector Focal Point (UN PSFP) Network. The network is designed to facilitate frequent interaction of network members and build coherence on and capacities for UN-private sector engagement. UNIDO also contributes to the biennial report of the Secretary-General, prepared by the UN Global Compact Office, under the General Assembly agenda item Towards Global Partnerships.

The increase in cooperation with the private sector of the United Nations at large coincides with growing private investment flows to and within developing countries (largely exceeding ODA) and a growing readiness on the part of the private sector to assume a more active role in the development process and becoming active development cooperation actors. Many private sector actors now recognize the advantages of practicing good corporate citizenship and to join forces with the United Nations.

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<sup>6</sup> Project document of XP/GLO/11/020 (2011) and of its successor phase (2013)

The importance of the private sector in growth and poverty reduction has been widely acknowledged and came out clearly in the outcome document of the (4<sup>th</sup>) High Level Forum on Aid Effectiveness held in Busan (Republic of Korea) in 2011. The partnership principle involving the widest range of actors, including the private sector, to foster development, is at the core of the commitments made in Busan.

Also the Rio+20 conference (2012) put emphasis on partnerships with the private sector as a capacity building vehicle. The Rio+20 Outcome document has an explicit reference in this regard: "We invite all relevant agencies of the United Nations system and other relevant organizations to support developing countries and, in particular, least developed countries in capacity-building for developing resource-efficient and inclusive economies, including through: (d) promoting public-private partnerships".<sup>7</sup> Recently, the Lima Declaration, adopted at the UNIDO General Conference, in December 2013, highlighted the importance of partnerships.

More broadly, the UN Secretary-General emphasises the importance of partnerships with, inter alia, the private sector as an enabler to achieve his five overarching priorities for the UN.<sup>8</sup>

### **3.5. Private partnership cooperation modalities of other development cooperation agencies**

Many UN and Bilateral Donors have developed mechanisms for collaborating with the private sector. The purpose and features of these mechanisms vary and range from funds (including challenge funds), business partnerships programmes (technical assistance), match-making or sister enterprise programmes. Another modality is when private businesses can directly contribute (financially and in-kind) to individual bi- or multilateral projects and the UNIDO Business Partnership Programme forms part of this modality. The below paragraphs briefly outline related activities of other agencies.

USAID has developed a Global Development Alliance through which private companies can provide funding to development projects or advice (for free) to companies. An example is USAID and Coca-Cola pooling funds in the Water and Development Alliance for the purpose of water purification benefiting both Coca-Cola and the population at large. Eligible companies should comply with socially responsible business practices including financial transparency, human rights and appropriate labour conditions as well as environmental sustainability.

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<sup>7</sup> Quoted in Project Document XP/GLO/11/020 (2013), p. 3.

<sup>8</sup> The Secretary-General's Five-Year Action Agenda, 25 January 2012.

The International Labour Organization (ILO) has a programme on Public-Private Partnerships for Decent Work through which private partners can provide financial or in-kind contributions to development projects.

UNDP cooperates with private companies through its Growing Inclusive Markets Initiative, encompassing a global multi-stakeholder platform for research, knowledge sharing and advocacy, in the area of inclusive business.

WFP has entered several strategic partnerships with global companies. Each company makes a contribution to the core work of WFP. The global logistics company TNT, for example, helps WFP to deliver aid. Vodafone, WFP's emergency technology partner, strengthens WFP's ability to respond to disasters. DSM is working with WFP to improve nutrition and fight the 'hidden hunger' of micronutrient deficiencies. The Boston Consulting Group works with WFP to improve the effectiveness of its strategy, operations, organization and knowledge management.

A bilateral partner of UNIDO - the Swedish International Development Agency (Sida) - implements a Business for Development Programme (B4D) with the purpose of harnessing Swedish or foreign companies' business activities for poverty reduction and development. The UNIDO partnerships with Scania, Volvo and Tetra Laval are partly financed through B4D.

Reviews of business partnerships mechanisms, such as the one conducted by the Donor Committee on Enterprise Development in 2013, show that mechanisms vary greatly in scope, size, outreach, objective and purpose. Agencies, whether they are bilateral or multilateral do "their own thing". Moreover, the contexts in which a business partnership is implemented differ widely. This might be one of the reasons for the absence of benchmarks. Moreover, as a study of the Policy and Operations Development Department of the Ministry of Foreign Affairs of the Netherlands pointed out, the empirical evidence on the effectiveness and efficiency of Public Private Partnerships is scarce.

It should also be noted that UNIDO, as the UN agency with a mandate in industrial development, differs in terms of strategic objectives from other UN agencies. It was thus not possible to do a comparative analysis of UNIDO versus other UN agencies and neither was this intended. Instead, as is the case in most UNIDO evaluations, the Business Partnership Programme was assessed in relation to its own stated objectives and its development over time.

## 4. Assessment

### 4.1. Types of partnerships and main partners

**(1) Main findings: The UNIDO business partnerships are diverse in nature but can be broadly clustered in four types of partnership: partnerships with shared project implementation, partnerships with business partner as donor, partnerships in which UNIDO has a subsidiary role, and UNIDO initiatives. Public entities - governments, national implementing partners and donors – play a key role in all partnerships.**

#### Types of partnerships

UNIDO is working with three categories of partnerships (see background chapter). The evaluation team found four types of partnerships which are similar but not identical with the UNIDO categories.

In the majority of the partnerships, UNIDO and the business partner share the technical implementation of the partnership project (Table 3). In one partnership (Chevron), the business partner plays the role of a donor of a ‘traditional’ technical cooperation project. In another partnership (HP) UNIDO plays more a subsidiary role in implementation what is HP’s flagship CSR programme.<sup>9</sup> HP LIFE works with more than 340 partner organizations. UNIDO is one of several global partners and, for instance, USAID is another one. While HP LIFE is implemented in 49 countries, UNIDO is involved in 15. Having a subsidiary role does not imply that the role of UNIDO is not important. On the contrary, UNIDO has contributed in many ways to HP LIFE.<sup>10</sup>

Finally, there are partnerships which are fundamentally UNIDO frameworks for cooperation rather than projects (Chemical Leasing, Green Industry Platform, 3ADI). They are very different in nature compared with the other business partnerships and cannot be defined as business partnerships in a strict sense.

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<sup>9</sup> <http://www.life-global.org/en>

<sup>10</sup> UNIDO contributes to the content, localization and translation of the HP LIFE e-Learning courses, the development and adaption of training materials to local requirements and the development of communication and branding materials. UNIDO organises and manages the local training activities with a network of trainers and business support institutions (HP LIFE e-Learning in face-to-face trainings) in coordination with local partners and produces entrepreneurial success stories. UNIDO creates linkages between HP LIFE and UNIDO entrepreneurship programmes.

**Table 3: UNIDO business partnerships - types**

Types of partnerships as found by the evaluation team	Ongoing partnerships and multi-stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
Partnerships with shared technical implementation	■		■		■	■				■	■	■
Partnerships with business partner as donor				■								
Partnerships in which UNIDO has subsidiary role		■										
UNIDO initiatives							■	■	■			

Source: Evaluation Team

### Role of public entities

Public entities - governments, national implementing partners and donors - play a key role in UNIDO business partnerships (Table 4).

*National implementing partners* are actively involved in most partnerships. Often these are public or private training institutions (Microsoft, HP, Volvo, Scania). Another common form of government involvement is the participation in Steering Committees. Moreover, donor governments contribute financially to practically all business partnerships.

Other companies – in addition to the prime business partner - play a minor role with the obvious exception of the multi-stakeholder partnerships. There are two exceptions, in the case of Scania, Education First (EF)<sup>11</sup> made on-line English language module and related licenses available at no cost. They also provided training, through courses in Sweden and through online trainers, mentoring and follow-up by EF staff with the project's English language trainer.. Moreover, the HP project partnered with the Micro-Enterprise Acceleration Institute (MEA-I)<sup>12</sup>. The latter provided training tools, curricula, translations, established a trainer network, managed trainers' assessment and applications and defined the certification process for the trainers. These are thus good examples of UNIDO business partners mobilizing other businesses as project stakeholders and contributors.

Civil society and academia play a role in a few partnerships, i.e. the Green Industry Platform, HP, AEON and Microsoft. In the case of the Green Industry

<sup>11</sup> EF is an international education company that specializes in language training, educational travel, academic degree programs and cultural exchange.

<sup>12</sup> MEA-I is a Swiss-based company specialized in the development of educational programs and materials

Platform, civil society and academia are signatories to the platform. The HP project partnered with the Education Development Center (EDC)<sup>13</sup> in connection with the implementation of the HP LIFE project. As regards the partnership with AEON, the implementing partner is the University of Kebangsaan (UNIQ). In Uganda, Microsoft partnered with the Makerere University of Kampala, in which the Microsoft Innovation Center (MIC) was set up.

**Table 4: UNIDO business partnerships – main partners involved**

Partners involved	Ongoing partnerships and multi-stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
Other companies		✓			✓ <sup>6</sup>		✓	✓				
National implementing partners	✓	✓	✓	✓	✓	✓	✓ <sup>16</sup>			✓	✓	
Governments (programme country)	✓		✓	✓	✓	✓			✓	✓		✓
Donor governments	✓ <sup>1</sup>	✓ <sup>2</sup>	✓ <sup>3</sup>	✓ <sup>4</sup>	✓ <sup>7</sup>	✓ <sup>8</sup>	✓ <sup>9</sup>	✓	✓ <sup>11</sup>	✓ <sup>13</sup>		✓ <sup>15</sup>
UN agencies/ international org.				✓ <sup>5</sup>			✓ <sup>10</sup>	✓	✓ <sup>12</sup>		✓ <sup>14</sup>	
Civil society organisations		✓						✓				
Academia	✓							✓		✓		
<sup>1</sup> Nigeria	<sup>7</sup> Sida					<sup>12</sup> FAO, IFAD, AfDB						
<sup>2</sup> Italy, USAID	<sup>8</sup> KOICA					<sup>13</sup> Japan						
<sup>3</sup> Italy, Netherlands, Egypt	<sup>9</sup> Austria, Germany					<sup>14</sup> GEF						
<sup>4</sup> Korea, Portugal	<sup>10</sup> UNEP					<sup>15</sup> Sida						
<sup>5</sup> UNDP	<sup>11</sup> Finland, Czech Republic					<sup>16</sup> National Cleaner Production Centres						
<sup>6</sup> Education First												

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

### UN agencies or other international organisations

Occasionally, UN agencies or other international organisations are partners. UNEP is a partner in two of the three multi-stakeholder partnerships (Chemical Leasing, Green Industry Platform). The 3ADI initiative involves several other international organisations (FAO, IFAD, AfDB). UNDP is a partner in Angola (Chevron) and the GEF is a partner in the Carlsberg partnership in Russia.

<sup>13</sup> EDC is a global non-profit organization that designs, delivers, and evaluates innovative programs.

## 4.2. Relevance

### 4.2.1. Relevance for governments

**(2) Main findings: While most partnerships are initiated and driven by private partners and/or UNIDO, it appears that the public private partnerships are relevant to the partner governments and address constraints for sector development. Presently, UNIDO business partnerships mainly benefit Middle Income Countries (MICs). Least Developed Countries (LDCs)/ Low Income Countries are benefitting less.**

Partnerships are in most cases initiated by private companies and/or UNIDO. Only two of the business partnerships were initiated by governments - Cambodia (Samsung) and Angola (Chevron). At the same time it is obvious that many partnership projects addresses a constraint or an existing problem relevant to the partner countries, as for instance the frequent breakdowns of vehicles in Iraq and Ethiopia (Scania and Volvo), unemployed youths (HP, Scania, Volvo), environmental issues (Samsung, Microsoft, ChL, GIP, Carlsberg) or food safety (Metro). This indicates that, even if governments of partnering countries have not been directly involved in the design of a project or initiated the same, the business partnerships overall are - directly or indirectly - very relevant to partner countries.

There is government ownership of the partnership projects, although at varying degrees. Two partnership projects initiated by governments - Cambodia (Samsung) and Angola (Chevron) - show strong national ownership. Also the partnership projects with Scania and Metro show (or showed in the case of Metro) considerable national ownership. Government ownership of the HP partnership varies from country to country. In Nigeria for example, the government was quite active. By nature, the multi-stakeholder platforms (Chemical Leasing, Green Industry Platform, 3ADI) show less government ownership, as they are not anchored at national levels. However, the Advisory Board of the Green Industry Platform encompasses five government representatives.

The collaboration with Samsung was initiated by the Cambodian Government, more precisely the Ministry of Labour, which approached the Head of UNIDO Office for assistance to address the issue of youth employment. Not only did the Government initiate the project, it has also been a driving force throughout. The Cambodian request was brought to the attention of UNIDO's Regional Office in Bangkok, which in its turn initiated discussions with the Korean Government (KOICA) on how this request could fit into ongoing discussions to develop interventions in the area of environmental sustainability and poverty reduction.

One of the proposals submitted to KOICA was in relation to the electronics industry and working through a private partnership modality. It was KOICA who

got Samsung on board. There is a high level of relevance to the Government of Cambodia and a very consultative process contributed to this with the Government and the national counterpart organization having been closely involved throughout the process.

The Entrepreneurship Curriculum Programme (ECP) in Angola was initiated by the National Institute for Research and Education Development (INIDE) of the Ministry of Education. INIDE pursued the idea of introducing entrepreneurship education and a project was developed with UNIDO's technical assistance and UNDP's financial and administrative support. The project started in 2009. Portugal and the Republic of Korea agreed to finance UNIDO's technical assistance, in addition to UNIDO's own contribution. It was in 2010 that Chevron decided to join the programme by providing additional funding for UNIDO's technical assistance. As such, the ECP has been initiated by and is very relevant to the Angolan Government. The provision of additional funding by Chevron significantly increased the scale of the project. However, the programme is clearly owned by the national counterparts.

### **Beneficiary countries**

An analysis of the business partnerships by country reveals that the majority of the partnerships are benefitting Middle Income Countries (MICs). Least Developed Countries (LDCs) and Low Income Countries (LICs) benefit less (Table 5). MICs benefit 21 times whereas LDCs and LICs benefit 8 times. Six partnerships benefit countries in Sub-Saharan Africa while only three partnership benefits Latin America (HP, Microsoft, 3ADI).

**Table 5: UNIDO business partnerships - beneficiary countries**

Type of country (income level)	Ongoing partnerships and multi stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
Least Developed Countries (LDCs)									■			
Angola				■								
Cambodia						■						
Ethiopia												■
Uganda	■	■										
Low Income Country (LICs)									■			
Kenya		■										
Middle Income Countries (MICs)							■	■				
Algeria		■										
Brazil		■										
China		■										
Colombia		■										
Egypt		■	■									
India		■	■									
Iraq					■							
Malaysia									■			
Morocco		■										
Nigeria	■	■										
Russia			■								■	
South Africa		■										
Trinidad & Tobago	■											
Tunisia		■										
Turkey		■										
High Income Countries (HICs)							■	■				
Saudi Arabia		■										
United Arab Emirates		■										

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

#### 4.2.2. Relevance of business partnerships to UNIDO priorities

**(3) Main findings:** Generally, the reviewed partnerships are in line with UNIDO strategic priorities. However, not all partnerships are *directly* relevant for *industrial development*. As a result, the direct effects of some partnerships on industrial development are not so obvious. The main beneficiaries of the ongoing and new business partnerships are SMEs, local training centres/institutions as well as students/youths. The partnerships were found to be aligned to needs and priorities of the direct beneficiaries.

Overall, UNIDO business partnerships address existing challenges, like youth unemployment, uneven product quality or environmental degradation. A portfolio analysis of the business partnerships reveals that the main *objectives* of the business partnerships are value chain development (Metro, Chemical Leasing, 3ADI, AEON), greening the industry (Microsoft, Samsung, Chemical Leasing, Green Industry Platform, Carlsberg) as well as (technical) skills development (HP, Scania, Volvo, Metro, Microsoft). Other objectives of the business partnerships are the generation of employment (HP, Samsung, Volvo, Scania), agro-industry development (Metro, Chemical Leasing, AEON), entrepreneurship development (HP, Chevron) and increased food safety (Metro, AEON) (Table 6).

**Table 6: UNIDO business partnerships - objectives**

Partnership objectives	Ongoing partnerships and multi stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
Create employment		■			■	■						■
Entrepreneurship development		■		■								
Technical skills development	■	■	■		■							■
Value chain development			■				■		■	■		
Increased food safety			■							■		
Agro-industry development			■				■		■	■		
Greening the industry	■					■	■	■			■	

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

Most of the partnership objectives are aligned with UNIDO's technical cooperation programmes, for instance entrepreneurship development, skills development and chemical's management. At times other UNIDO strategic priority areas are covered such as agro-industries or greening industry.

As an example, the partnership with Metro fits well into the objectives of the Trade Capacity Building Branch and the focus on integrating international value chains and companies achieving certification. The partnership also includes aspects of Private Sector Development (PSD) and upgrading championed by the Business, Investment and Technology Services Branch (BIT). It also is in line with the UNIDO emphasis on agro-industry development, thus is aligned to the activities of Agro-industry Branch.

In Russia, the Carlsberg-UNIDO-GEF partnership is taking shape and encompasses the development of water and energy footprints.<sup>14</sup> At first, the GEF Council questioned the use of GEF funds to finance activities of a big multinational company, but it was realized that UNIDO and GEF are rather

<sup>14</sup> The Declaration of Intent was signed in September 2013.

teaming up with a private company to address environmental issues and achieve a public good. The project will develop wastewater infrastructure and this infrastructure will meet a higher standard than what is stipulated by law and promote green investment. This is clearly in line with UNIDO's green industry agenda.

However, not all partnerships are *directly* relevant for *industrial development*. While the partnerships with Metro, Carlsberg and the Chemical Leasing initiative have a direct effect on *production processes*, many of the other partnerships are aiming at skills or entrepreneurship development (HP, Chevron, Scania, Volvo, Samsung). The effects on industrial development are – if at all – much less evident and causality is not direct. The results chain between vocational training and industrial development are long and often indirect.

Some initiatives are driven by<sup>15</sup> UNIDO and its agenda, in particular the three multi-stakeholder partnerships (ChL, GIP, 3ADI), while others have been driven by business partners (Volvo, Scania, TetraLaval and HP) and respond to a specific problem identified by the business or their overall CSR agenda. The partnership with Chevron is largely a 'traditional' technical cooperation project, with Chevron performing the role of donor.

### Main beneficiaries

The main beneficiaries of the ongoing and new business partnerships are SMEs, local training centres/institutions as well as students/youths (Table 7). The partnerships were found to be aligned to needs and priorities of the direct beneficiaries.

**Table 7: UNIDIO business partnerships – main beneficiaries according to project documents/agreements**

Beneficiaries	Ongoing partnerships and multi stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsun	ChL	Green	3ADI	AEON	Carlsber	Volvo
Micro, Small and Medium Enterprises	■	■	■				■	■	■	■		
Small farms									■	■		
Private sector companies	■		■				■	■				
Private sector					■						■	■
Existing or potential entrepreneurs	■	■		■								
Students/youths		■		■	■	■						■
Local training centres/institutions		■		■	■	■			■	■		■

\*According to terminologies used in partnership documents.

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

<sup>15</sup> Driven by means having the lead.

#### 4.2.3. Relevance for UNIDO in terms of scale of the business partnership programme

**(4) Main findings: Overall the business partnership programme has not reached a substantial size and is still a small part of the total UNIDO portfolio.**

The number of partnership projects only constitutes a small share of the overall UNIDO project portfolio. In addition, the financial and in-kind contributions from private partners amount to only about 1% of UNIDO's overall technical assistance budget. The total value of contributions by all partners (private businesses, donors, UNIDO and Government) is estimated at approximately USD 65 million. Of this, USD 42 million are coming from private partners (cash and in-kind). However, the USD 42 million include a *planned* investment of Carlsberg in its brewery in Russia (USD 30 million). When excluding this investment, the contribution of the private sector (cash and in-kind) is approx. USD 12 million over a period of six years (2008-2013) – on average approximately USD 2 million per year or about 1% of UNIDO's annual grant-funded technical assistance (UNIDO implements around USD 200 million worth of grant-funded technical assistance every year).

**Table 8: Contributions from business partners and other actors to UNIDO's ongoing business partnerships (2008 - April 2013)**

Partnership	Business Partner		Other actors (including UNIDO)	
	Financial Contributions <i>in US\$</i>	Estimated In-Kind Contributions <i>in US\$</i>	Financial Contributions <i>in US\$</i>	Estimated In-Kind Contributions <i>in US\$</i>
<b>Aeon</b>		100,000	500,000 (Japan)	25,000 (Gov. of Malaysia)
<b>Carlsberg/ Baltika</b>	30,000,000 (5 years)		6,300,000 (GEF) 60,000 (UNIDO)	800,000 (Russian Gov.)
<b>Chevron</b>	884,958	250,000	353,982 (Gov. of Portugal) 353,982 (Gov. of Korea) 1,475,351 (UNDP) 1,950,358 (Gov. of Angola) 100,000 (UNIDO)	
<b>HP</b>	1,422,344	3,950,000	1,327,434 (USAID) 1,000,500 (Gov. of Italy)	
<b>Louis Dreyfus Commodities</b>	None to date	None to date	None to date	None to date
<b>Metro</b>			136,000 (Egypt-IMC) ~150,000 (Italy) 95,500 (by the Dutch Govt.)	

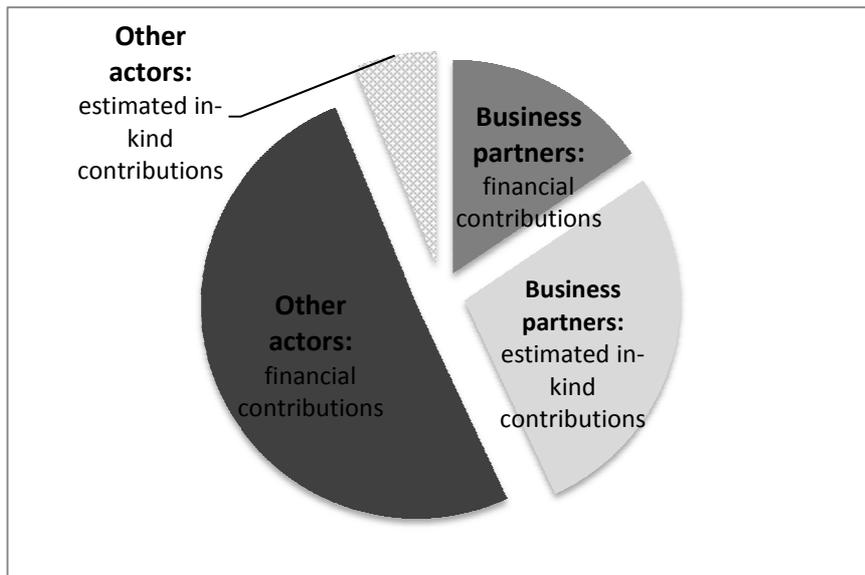
Partnership	Business Partner		Other actors (including UNIDO)	
	Financial Contributions in US\$	Estimated In-Kind Contributions in US\$	Financial Contributions in US\$	Estimated In-Kind Contributions in US\$
Microsoft	300,000	700,000	250,000 (Gov. of Trinidad and Tobago) 200,000 (Gov. of Nigeria) 350,000 (Gov. of Austria)	
Samsung	300,000	To be quantified	1,000,000 (Korean Gov.)	
Scania	1,450,000		2,814,830 (SIDA)	1,365,000 (Iraqi Gov.)
Volvo		2,740,714	2,192,200 (SIDA)	339,000 (Selam)
<b>Sub-total</b>	<b>34,357,300</b>	<b>7,740,714</b>	<b>20,609,637</b>	<b>2,529,000</b>
<b>Without Carlsberg</b>	<b>4,357,300</b>	<b>7,740,714</b>	<b>14,249,637</b>	<b>1,729,000</b>
<b>Total</b>	<b>64,986,651 (28,126,651)</b>			
* Under finalization				

Source: UNIDO Business Partnerships Group

It should be noted that, overall, the importance of the financial contributions from business partners is limited. While the overall value of the projects implemented in cooperation with businesses amounts to about USD 28 million, only USD 4.35 million (15%) are financial contributions from private businesses. Furthermore, only about USD 8 million (28%) are in-kind contributions from business partners. The remaining 57% (USD 16 million) of the total value of the projects implemented are contributions from other actors. Hence more than half (57%) of the value of the projects designated as 'business' partnerships comes from other sources than the businesses partners themselves. (Figure 2)<sup>16</sup>

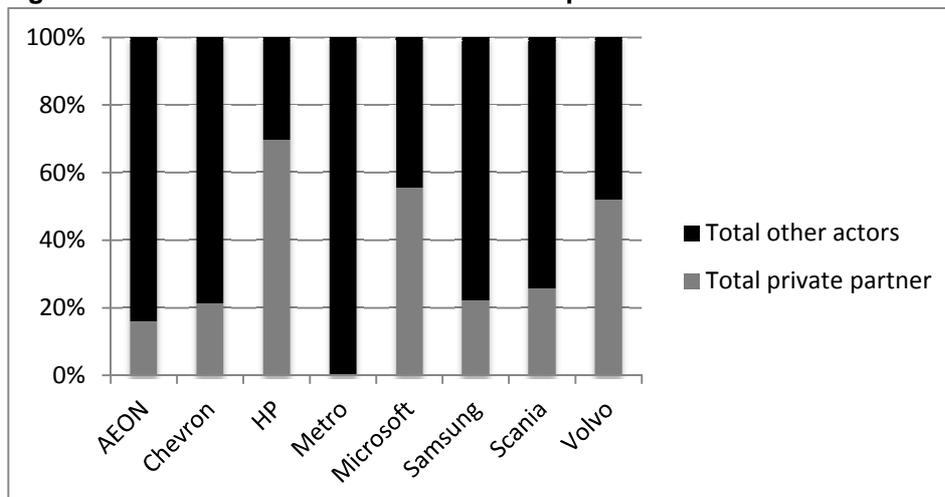
<sup>16</sup> This calculation as well as the following calculations and graphs exclude the business partnership with Carlsberg, since the declaration of intent was only signed in September 2013 and also because the 30 million investment by Carlsberg is in fact an investment in its own factory. For matters of consistency, other funding in relation to the Carlsberg partnership are also not included in the calculations.

**Figure 2: Financial and estimated in-kind contributions from businesses partners and other actors**



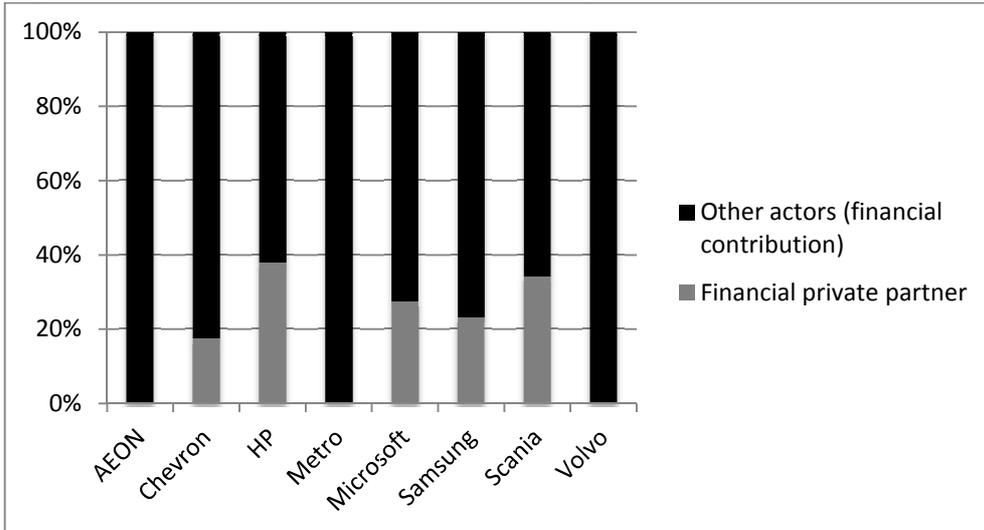
The total contribution from private partners (financial and in-kind) exceeds that of other actors only for three projects: HP, Microsoft and Volvo (Figure 3).

**Figure 3: Total contributions from business partners and other actors**



When looking only at financial contributions, it is noted that the financial contribution from other actors is overall more important than the financial contribution from business partners. Business partners only account for 23% of the overall financial contributions while other donors provided 77% of the financial contributions. The financial contribution from business partners does not exceed the financial contribution from donors for any of the projects (Figure 4). This suggests that the overall relevance of the business partners in terms of scale is rather limited.

**Figure 4: Financial contributions of business partner vs. other actors**



However, while the value of financial contributions is rather small it should be recognized that the business partnerships play a catalytic role in generating donor funding for Technical Assistance or in soliciting support from other private actors. HP, for instance, has mobilized USD 1,3 million from USAID and Scania got Education First (EF) on board in Iraq.

Finally, while the value of the business contributions to the partnerships is rather small, harnessing financial and in-kind contributions from business partners is only one reason for collaborating with business partners. The UNIDO Policy on business partnerships states that ‘. . .collaboration does more than just attracting tangible resources. Potential further benefits stem from gaining access to private sector expertise, creating synergies through joint action, building capacities, strengthening policy development, encouraging responsible corporate behaviour, and targeting transformational change around systemic issues of industrial development’.<sup>17</sup>

<sup>17</sup> UNIDO Policy on Business Partnerships, 2013, p.2.

#### 4.2.4. Relevance for business partners

**(5) Main findings: Public private partnerships are relevant for the business partners in that they address real problems faced by sectors. There are several reasons for private companies to partner with UNIDO and the Organization has several features, services and fields of competence that are valued by the business partners: country presence and knowledge, good connections to government and national institutions, technical competencies, systems for checks and balances and, not the least, the capacity for project design, implementation and management.**

Most partnerships address problems faced by business partners. The Scania and Volvo partnership addressed the shortage of truck mechanics. The Samsung partnership is dealing with e-waste, an important phase of Samsung products' life cycle. The Carlsberg project is focusing on reducing the environmental impact of breweries. Metro is concerned with food safety standards.

The issues can be clustered as follows:

- Improving supply chains (Metro, AEON, TetraLaval)
- Strengthening national capacities relevant for doing business (Scania, Volvo, Chevron)
- Diversifying the economy (Chevron)
- Maintaining a 'licence to operate' (Carlsberg, Samsung)
- Legal obligation for a company to support community development (Chevron)
- Direct commercial benefits (Chemical Leasing, Scania, Volvo)
- Engaging in policy dialogue (Green Industry Platform)
- Addressing environmental issues (Chemical Leasing, Samsung, Microsoft, Carlsberg, Green Industry Platform)
- Learning (Green Industry Platform, Chemical Leasing, Samsung, Scania, Volvo)

A number of the business partnerships have been initiated by the private sector partners (Microsoft, HP, Metro, Scania, Volvo), which in itself indicates the relevance of the partnerships to the companies.

The Organization has several features, services and field of competencies that are valued by business partners:

- UNIDO's developing country presence and knowledge
- UNIDO's good connections to governments and national institutions
- UNIDO's technical competence
- UNIDO's experience in project implementation and its management capacity

In many cases, UNIDO's country presence and knowledge as well as good connections to government and national institutions are key factors (Microsoft, HP, Metro, Samsung, Carlsberg). Also, UNIDO's competence in project design, implementation and management are valued (HP, Volvo, Samsung, Scania).

One of the most important reasons for business partners to collaborate with UNIDO seems to be a wish for reputation gain, visibility, good-will and credibility. Many companies develop brochures, write press releases or publish information on the partnership on their websites (Scania, HP, Microsoft, Volvo, Metro, AEON, Carlsberg, Chevron).

The fact that companies participate in partnerships suggests that they are relevant for business. For instance, in the case of the Green Industry Platform, 150 entities, including 70 private companies and the International Chamber of Commerce have signed the Statement of support of the Green Industry Platform. The platform offers an opportunity for dialogue between the business sector and governments on green industry issues and policies, which is one reason for buy-in as it gives the private sector a voice in, for instance, UN-managed discussions. Another reason is that the companies benefit (economically) from learning about energy, water or raw material efficiencies and related technologies. There is, in fact, often a clear win-win situation in greening industry.

### **4.3. Implementation**

**(6) Main Findings: UNIDO business partnerships benefit from different types of inputs, i.e. in-kind (hardware and expertise) and financial inputs. Many business partnerships build on previous UNIDO technical cooperation projects and use developed capacities. UNIDO's management and coordination of business partnerships is largely appreciated by partners.**

#### **Type of business inputs**

Inputs provided by private partners are both in-kind as well as financial. The in-kind contribution can be further distinguished in hardware and expertise. Expertise includes all inputs which are neither hardware nor financial (know how, skills, networks, etc.). The multi-stakeholder partnerships (or UNIDO initiatives) mainly benefit from business inputs in terms of expertise (Table 9).

Most projects have benefited from complementary funding from UNIDO, often removing bottlenecks and this has promoted efficiency.

**Table 9: UNIDO business partnerships – business inputs**

Type of business inputs	Ongoing partnerships and multi-stakeholder partnerships									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green Ind.	3ADI	AEON	Carlsberg	Volvo
In-kind - hardware	■	■			■	■						■
In-kind - expertise	■	■	■	■	■	■	■	■	■			■
Financial	■	■		■	■	■				■	■	

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

### Previous UNIDO technical cooperation projects

Many business partnerships build on previous UNIDO technical cooperation projects. The Metro project for instance has benefited from capacities developed under a previous UNIDO project. The Egyptian Traceability Centre for Agro-Industrial Exports (ETRACE/ATC) was established in 2004 by UNIDO and the Egyptian Ministry of Trade and Industry. In fact the Metro project became a component of the ETRACE project. Also, in Russia the ETRACE pilot project is linked to an ongoing UNIDO project funded by the Russian Federation.

Similarly, the Microsoft, HP and Samsung partnerships have been able to benefit from capacities established by previous UNIDO technical cooperation projects. In Uganda, for instance, the partnership with Microsoft benefited from synergies with other ongoing UNIDO initiatives at the national level, such as the Business Information Centres and upstream policy advisory services that UNIDO was providing to the Government of Uganda. Also in Iraq, the fact that UNIDO has been working with skills development through previously implemented projects has contributed to a high level of efficiency and UNIDO has been able to use consultants trained by other projects.

The Chemical Leasing initiative would not have been so successful without having been able to rely on the UNIDO/UNEP National Cleaner Production Centres and the Cleaner Production Programme.

As mentioned above, it can be said that, generally, UNIDO's country presence and experience as well as its technical competence appear to be an important elements for hat was found to be successful implementation of the business partnership projects.

### Management and coordination

Management (at the operational level) and coordination of the partnerships appear to be mixed but overall UNIDO is adequately managing and coordinating

the partnerships. Some stakeholders praise UNIDO on this aspect (HP, Microsoft/Uganda, Metro/Egypt, Scania, Samsung, Chemical Leasing, Chevron). In other cases, management and coordination seems to be a challenge (Metro partnership in Russia). Some donor representatives called for more in-house coordination and that aspects such as gender, CSR and environmental sustainability could be strengthened. On the negative side bureaucratic management was mentioned.

#### **4.4. Monitoring, reporting and evaluation**

##### **(7) Findings: Monitoring of and reporting on business partnerships offer room for improvement. There is limited monitoring data and evaluative material available.**

Generally speaking, the monitoring systems to measure the effectiveness of the business partnerships are weak and monitoring is not systematically applied across the portfolio.

This is recognized by the Business Partnership Group, which intends to introduce monitoring and evaluation tools and methodologies to be used throughout the lifecycle of a partnership.

The final report on the partnership with Metro in Russia suggests that reporting and documentation was not very good. One of the recommendations is to *'consider the standardisation of documentation for the programme; for example reporting documentation, result collation and mentoring reports.'*<sup>18</sup> There is no project document for the Metro partnership in Egypt which makes monitoring difficult as there are no objectives or benchmarks to be monitored.

Similarly, the Kenya Country Evaluation report found that the monitoring and evaluation of the HP partnership had been weak. An M&E system had not been put in place to adequately and systematically track results of the HP LIFE training. The project relied on anecdotal reporting of success stories, which did not provide a systematic foundation for learning and improvement. However, there had been yearly surveys providing information on number of people trained and on what has happened to the trainees. And for the newly initiated HP project in Tunisia an M&E consultant and a monitoring framework is being planned.

As regards the partnership with Microsoft, monitoring and reporting have also been considered weak because the project had no project document and therefore no formulated outputs or outcomes which could be monitored.<sup>19</sup>

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<sup>18</sup> Report on pilot project UNIDO-METRO/ Russia, 2012, p.16.

<sup>19</sup> UNIDO: Nigeria Country Evaluation report, 2011.

Also the 3ADI's monitoring and reporting system has not been fully developed. The planned establishment of a M&E system did not (yet) materialize.<sup>20</sup>

The monitoring and reporting mechanism of the project to which Chevron is contributing were equally assessed as rather weak. The draft evaluation report indicates that there is no functioning monitoring system in place.<sup>21</sup> Efforts are, however, underway to improve the monitoring and reporting mechanism with financial support from Chevron. The M&E system on the partnership itself is developed and functioning. The project has prepared regular progress reports and specific reports for Chevron on the partnership and held regular project board meetings.

The monitoring and reporting system of the Chemical Leasing initiative is considered as good. While there were no clear indicators developed in the Chemical Leasing project document, sustainability criteria have been developed during the course of the project (Final report on Applying Sustainability Criteria for the Chemical Leasing Business Cases at the Global Level, February 2011, p.8-9). These criteria are being applied on a case-to-case basis to pilot projects (p. 12-45). In addition, the final report indicates that the success of each ChL partnership between companies that is facilitated through UNIDO is thoroughly monitored and evaluated along the following criteria (in addition to the sustainability criteria): 1) Situation before ChL; 2) Chemicals applied; 3) Changes due to the implementation of CL. Furthermore, the impact of the CL business model on the individual companies is well documented (Annual report 2012: Global Promotion and Implementation of Chemical Leasing Business Models in Industry, p.86-92).

As regards the partnership with Scania, reporting and monitoring are assessed as sufficient. There has been a follow up of graduates as regards their job situation. However, no baselines were established (students, trainers and institutions) in the past but will now be done for new trainee entrants. The Agro-industry Branch has launched an innovative and worthwhile initiative in connection with the Scania (and Volvo) projects among others - the Learning and Knowledge Development (LKD) Facility. The LKD Facility is promoting monitoring and evaluation and an M&E expert is on board. A monitoring system is being put in place for the Scania project. The system is to be piloted in Iraq and used for other projects of the LKD Facility.

For the Samsung partnership it is too early to assess monitoring and reporting, as the project has only started recently. It was however found, that there is a reference to a clear monitoring and reporting system in the project document. There are however no indicators in the Log Frame on how to measure the impact of the project on the environment (one of the main purposes).

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<sup>20</sup> UNIDO: 3ADI Evaluation report, 2013 (draft December 2013).

<sup>21</sup> UNIDO: ECP Evaluation report, 2013 (draft November 2013).

A factor making monitoring difficult is that not all partnerships have a Log Frame. In particular partnerships that started before 2007/2008 do not have Log Frames in the early project documents (e.g. Microsoft, Chemical Leasing).

### **Evaluative material**

There is limited evaluative material available on the UNIDO business partnerships. The evaluation team found that until mid-2013 no individual UNIDO business partnership was the subject of a full-fledged evaluation as the related projects did not have any formal evaluation requirements (UNIDO project evaluations are only mandatory for projects of a size above 1 million Euros). Given that criterion, the partnership with HP should probably have been evaluated as the HP financial contribution since 2008 was USD 1,4 million . In addition, the HP in-kind contribution is estimated at USD 3,950,000. In total, the size of the project is over USD 5 million (close to Euro 3.9 million Euros).

Some partnerships have, however, been covered in the context of country, project or thematic evaluations (Annex E). In fact, the limited knowledge about the business partnerships as regards their outputs, outcomes and impact was one of the reasons to include this thematic evaluation in the 2013/2014 ODG/EVA Work Programme.

In the second half of 2013 and in parallel to this thematic evaluation the 3ADI initiative and the project 'Technical Assistance for Angola's Entrepreneurship Curricula in Secondary Schools Programme' (with a financial contribution from Chevron) were evaluated. However, both evaluations provided limited evaluative material on the business partnership aspects one reason being that the involvement of business partners in these projects is limited in the first place.

### **4.5. Effectiveness**

**(8) Main findings: Overall, the UNIDO business partnerships are effective in achieving results at the output level. Results reported at the outcome levels are limited, either because they are rather modest in terms of size or because it is too early to tell or that they are simply not reported.**

#### **Results at outcome level**

An analysis conducted by the evaluation team of progress reports reveals that results reported at the *outcome level* (and *impact level*) are limited, either because they are rather modest in terms of size or because it is too early to tell (Samsung, Green Industry Platform, 3ADI, AEON, Carlsberg, Volvo) or that they are simply not reported (Table 10). For instance, the independent evaluation of

the 3ADI initiative underlines that the initiative is still in its pilot phase and that it is rather early to look for tangible outcomes and impact.<sup>22</sup>

Outcomes reported can be clustered in two groups. Outcomes in the first group have *strengthened SMEs* as an objective. It is estimated that as a result of the partnership with Microsoft 15 new companies were established and 122 suppliers were upgraded. On the Samsung partnership there has been upgrading of businesses (waste and non-waste businesses).

Outcomes in the second group relate to *institutional capacities*. A Microsoft Innovation Centre was inaugurated to promote the local software industry in Uganda (Box 2). 122 HP LIFE centres were set up in 15 countries. The Swedish Academy for Training supported by Scania opened in April 2012. And as a result of the 3ADI initiative training centres were established in several countries.

Results achieved at the impact level are discussed in a separate chapter below.

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<sup>22</sup> Independent Evaluation of the African (Accelerated) Agribusiness and Agro-industries Development Initiative (3ADI), UNIDO Evaluation Group, January 2014.

**Table 10: UNIDO business partnerships - results achieved**

Results achieved	Ongoing partnerships and multi-stakeholder partnership									New partnerships		
	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	Green	3ADI	AEON	Carlsberg	Volvo
<b>Impact</b>												
Jobs created		✓										
Reduction of the use of chemicals							✓					
Food safety increased			✓									
<b>Outcomes</b>												
SMEs strengthened	✓		✓			✓						
Institutional capacities built	✓	✓		✓	✓				✓			
<b>Outputs</b>												
Youth/students trained	✓	✓		✓	✓	✓						✓
Experts/trainers trained		✓	✓	✓	✓	✓	✓					✓
Service provided									✓			
Curriculum developed		✓		✓	✓	✓						✓
Strategies prepared /studies conducted	✓					✓		✓	✓			
Methodologies/standards developed	✓						✓					
Programme initiated/developed	✓		✓									
Network established	✓							✓				
Award launched							✓					
										Too early for results		
										Too early for results		

Source: Evaluation Team, Basic Project Data Compilation (Annex F).

### Results at the output level

Results reported on are mainly achieved at the *output level*. Most results reported at this level are in the area of *skills development*, in particular through the training of youths/students (Microsoft, HP, Chevron, Scania, Samsung, Volvo) and experts/trainers (HP, Chevron, Samsung, Chemical Leasing, Scania, Volvo, Metro). (Table 11)

**Table 11: Skills development**

<b>Business Partner</b>	<b>Skills development</b>	<b>Reporting period</b>	<b>Numbers of persons trained</b>
<b>Youth/students trained</b>			
HP	Business and IT training	2008-2013	50,000
Chevron	Entrepreneurship training in secondary schools	2009-2013 <sup>23</sup>	10,000
Scania	Training on heavy equipment mechanics (also IT and English courses)	2012-2013	362
Samsung	Training for repair services and e-waste management related services	2012-2013	300
Volvo	Training on advanced commercial vehicle maintenance	2012-2013	27
<b>Experts/trainers trained</b>			
HP	Certification of trainers as HP-LIFE (GET-IT) trainers	2008-2013	>270
Chevron	Training of teachers to teach entrepreneurship	2009-2013 <sup>24</sup>	139
Samsung	Training of local experts on installation and repair services	2012-2013	>100
Chemical Leasing	Training of local experts (NCPCs) on Chemical Leasing	2007-2012	>350
Volvo	Training of trainers of the local counterpart on the mechanics course	2012-2013	6
Scania	Training of trainers from MOLSA	2012-2013	13 <sup>25</sup>
Metro	Training of local experts on the GFSI Global programme	2011-2012	9

Source: Progress reports and BPG factsheets of the respective projects.

Another important output of the business partnerships can be described as *conceptual outputs*, i.e. curricula (HP, Chevron, Scania, Samsung, Volvo), strategies/studies (Samsung, Green Industry Platform, 3ADI, Microsoft) or methodologies/standards (Chemical Leasing, Metro). (Table 12).

<sup>23</sup> Chevron decided only in 2010 to support the project.

<sup>24</sup> Cf. above

<sup>25</sup> This number refers to the trainers who have participated in the English course, in study tours or in specific trainings in their field of specialization. It does not include those trainers who benefitted from the continuous assistance through the project at the MoLSA training center.

**Table 12: Conceptual outputs**

<b>Business Partner</b>	<b>Conceptual outputs</b>
<b>Curricula developed and strategies/studies developed</b>	
Chevron	Entrepreneurship Curriculum for Secondary Schools
HP	Curricula for business and IT (HP GET-IT and HP LIFE)
Scania	Mechanics curriculum
Samsung	Curriculum for repair services and e-waste management
Volvo	Curriculum for mechanics course developed
<b>Strategies/ studies developed</b>	
Microsoft	E-waste studies for 5 countries (Uganda, Kenya, Tanzania, Nigeria and Trinidad and Tobago).
Samsung	Local and institutional capacity building strategies developed for effective e-waste management
Green Industry Platform	Business plan for 2013-2014 adopted
3ADI	Value chain studies in 18 target countries completed
<b>Methodologies/standards developed</b>	
Chemical Leasing	Methodology, tools and sustainability criteria developed

*Source: Progress reports and BPG factsheets of the respective projects; interviews with project managers.*

Other results reported at the output level include:

- access to finance for target beneficiaries facilitated (3ADI)
- electronic waste programme initiated to address responsible IT recycling practices (Microsoft)
- Sustainable Supplier Development Programme (SSDP) developed which UNIDO will implement with other companies (Metro)
- Network of rural Business Information Centres established to foster IT training and use (Microsoft)
- approximately 150 signatories and rapidly growing (Green Industry Platform)
- Global Chemical Leasing Award launched (Chemical Leasing)

**Box 2: Successful capacity building - Microsoft Innovation Centre Uganda**

The Microsoft Innovation Centre in Uganda is considered a success and associated researchers and trainees have been able to create new technologies/applications/solutions that are considered relevant. As, an example a malaria detection application is presently under development. Microsoft has been an active and devoted partner and is on the Advisory Board of the Innovation Centre in Uganda.

## 4.6. Sustainability

**(9) Main findings: For most partnerships it is too early to say if results achieved will be sustainable.**

### **Sustainability of results**

For a number of on-going partnerships it is too early to assess sustainability of the results as they have only started recently (Samsung, AEON, Carlsberg, Volvo, Green Industry Platform).

Interviews with stakeholders and document reviews, in particular evaluation reports, reveal that the sustainability of the results of some mature projects are uncertain (HP, Microsoft, Metro) and that activities are unlikely to continue after the termination of the UNIDO project.

One of the main challenges is cost recovery. For example, trainings are generally offered for free (Microsoft, HP, Scania). Furthermore the provision of hardware is the responsibility of business partners (Microsoft, HP, Volvo) and maintenance and replacement are uncertain. This is a key issue for some projects given the short lifetime of computers (Microsoft, HP).

Moreover, HP LIFE is moving on-line and HP will no longer provide hardware support. The programme will rely on third parties or the students themselves for providing the necessary hardware (computers) and it is uncertain, as pointed out in the Nigeria Country Evaluation, that trainees will have the possibility to do so. However, access to computers, both for training centres and trainees is crucial. It is thus uncertain that the supported centres will continue to offer the programmes once the support has been withdrawn.

The Swedish Academy for training in Iraq supported by the Scania Business Partnership has only been opened since 2012 and additional support will be needed to make the institution technically, financially and organizationally sustainable. Support is likely to be needed beyond the present project, coming to an end in 2014. All parties have indicated a willingness to be part of a next phase or project. This next phase will continue to build up a national trainer capacity. Other outstanding issues are the future ownership and management of the Academy and to what extent the Academy will be able to offer services on a cost-recovering basis. and/or the Government's willingness and ability to provide continuous support. The business partner however intends to stay involved over a long period in order to ensure high quality training.

Also in other cases, sustainability looks promising. In the Metro case, Metro continued with the programme after the pilot phase in Egypt and a significant number of additional suppliers were trained, mentored and gained pass status to Global Food Safety Initiative (GFSI) Basic Level requirements in the months after

the trial was conducted. Some of the SMEs trained under the Global Food Safety Initiative are still suppliers of Metro. For the Metro projects in India and Russia, however, it is difficult to assess the sustainability. The final reports stated that suppliers showed an immense interest and were satisfied with the project. It was expected that those suppliers within the programme that have been unable to gain a 'pass' status would continue to work towards this. There is however no information available on whether or not any collaboration between Metro and the suppliers materialized.

As regards the Chevron partnership, the sustainability looks promising. The sustainability of the Programme seems guaranteed by its alignment to national priorities and plans, strong national ownership and by the perceived importance of the subject matter among the targeted students and the community at large. The technical sustainability will largely depend on continued efforts to refresh and upgrade the teachers' training and on some other factors, including more proactive networking with the private sector and student /teacher ratios. In relation to the financial sustainability, there are mixed signals. On the one hand, the increasing financial commitments of the National Institute for Research and Education Development (INIDE) for the implementation the Programme and its national roll-out is promising. On the other, the declining trend in secondary education expenditure, both in absolute values and relative to total state budgets is a concern.<sup>26</sup>

The sustainability of the partnerships that have only recently started (Volvo, Samsung) is difficult to assess. In the Volvo case, the training in Ethiopia is provided by a well-established and competent private training institute, which will undoubtedly contribute to sustainability but issues related to training equipment provided by the business partner and to what extent they will remain at the disposal of the training institute, will need to be settled.

A factor which may work in favour of sustainability is the fact that a number of national governments or institutions are involved and show a keen interest in the continuation of the activities (Iraq-Scania, Nigeria-HP, Cambodia-Samsung, Angola-Chevron). Some national entities also pay for some of the cost (e.g. the Iraqi Government already pay the operational costs of the training centre).

Chemical Leasing is an interesting case as it promotes an entirely different concept, which hugely contributes to the sustainability of results achieved – financial incentives. Most companies that have changed the use of chemicals are not likely to go back to the previous old modalities, as Chemical Leasing reduced the cost of procurement of the chemicals. Also the companies selling chemicals will probably continue promoting the Chemical Leasing concept, as it makes business sense for them.

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<sup>26</sup> UNIDO: ECP Evaluation report, 2013 (draft November 2013).

## Sustainability of partnerships

It can be noted that some partnerships have lasted several years and are still ongoing (HP and Microsoft). The first Memorandum of Understanding (MoU) with Microsoft was signed in 2006 and two more in 2009 and 2012 respectively. Each of the MoUs was signed for the duration of three years. The current MoU between Microsoft and UNIDO will last until 2015. By then, the partnership will have existed for almost 10 years. The future however, is uncertain due to restructuring at Microsoft.

The HP partnership started in 2008 and has been renewed on an annual basis. However, as noted above, the nature of the project has changed in the sense that the training through local training centres will no longer be supported and it is uncertain that they will continue. All courses will instead be available online, which renders UNIDO's future role in the HP LIFE project questionable, since no or only little coordination in the field will be required for this. Still, in 2012, UNIDO started a new project with HP in Tunisia where HP brought a new donor on board (USAID).<sup>27</sup>

The partnership with Metro which started in 2009 is basically on hold. Currently, there are no contacts between UNIDO HQ and Metro HQ and no ongoing activities. According to UNIDO, Metro is still interested in continuing the partnership.

The partnership with Chevron started in 2010. Indications are that Chevron is interested in continuing the support to the project.

## 4.7. Impact

**(10) Main findings: Although a few partnerships have a significant impact and some approaches are being replicated, the overall development impact of the UNIDO business partnerships is modest.**

The question about impact is: Which long term development changes (economic, environmental and social) and have occurred or are likely to occur as a result of the interventions and were the projects replicated?

Since most results reported on are at the output level, some at the outcome level and very few at the impact level (Table 11, above) it is difficult to assess impact. Two partnerships stand out in terms of impact: the HP partnership, due to the multiplier effects and national coverage and the Chemical Leasing initiative, due to its direct effects on the environment.

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<sup>27</sup> The title of the project is 'Facilitating youth employment through entrepreneurship and enterprise development in vulnerable regions of Tunisia: El Kef, Kairouan, Kasserine and Sidi Bouzid'.

The training provided through HP partnership has had a certain impact: hundreds of trainees establish their own business and thousands found employment.<sup>28</sup> In total, it is estimated that HP LIFE created over 15,000 jobs (see Box 3).

**Box 3: Job creation through business and IT training – the HP-UNIDO partnership**

For the partnership with HP, 15,000 jobs are reported to have been created; however, the source or methodology used for this assessment is not mentioned. Nevertheless, the HP LIFE project has had a certain impact. An evaluation that was conducted recently by UNIDO in Kenya revealed that the majority of business owners as well as employed trainers reported small to moderate increases in income as a result of their participation in the training, with some trainees reporting income increases of over 20% as a result of the training. In addition, the evaluation revealed that the HP project has assisted many youths to start their own businesses. For Nigeria, it is reported that 675 trainees established their own businesses and 5,197 are gainfully employed in their respective line of business. Out of the established businesses, 159 recorded growth in their businesses and created additional 505 jobs. However, there is a problem of attribution in that the IT training side of the total training they had received was relatively small though highly useful.

The Chemical Leasing initiative has led to positive changes. Over 40 projects have been successfully implemented. The use of chemicals was significantly reduced (up to 90%) in participating companies which very likely had a positive impact on the environment (Box 4 for examples). However, no figures for the program as a whole are available. Collecting these is difficult, as not all companies want to share internal data.

**Box 4: Positive impact on the environment and companies – Chemical Leasing**

Despite the limited scope of projects implemented, the Chemical Leasing Initiative was very successful in achieving tangible results concerning the environmental dimension. In addition to that, a substantial reduction of cost for the companies that implemented Chemical Leasing was reported. To mention but a few examples:

- A Sri Lankan company reduced its use of chemicals for plant cultivation by 40% in six months and is thus saving 150USD per hectare. (Bronze in the Global ChL Award 2010)
- A company in Egypt that is using chemicals to clean vehicles reduced the consumption of solvents from 1.5l to 0.85l per vehicle, amounting to a total of 20 tonnes less hydrocarbon solvents used per year. Through this, the company is saving more than 37,000USD per year. (Silver in the Global ChL Award 2012)
- A company in Columbia working in wastewater treatment reduced its consumption of chemicals by 20% in 10 months, which reduced costs by 80%. In 10 months, the company saved 2.2 million USD. (Gold in the Global ChL Award in 2010)

*Source: Chemical Leasing Annual Report 2012, p.86-92.*

<sup>28</sup> For example in Nigeria: 675 trainees established their own businesses and 5,197 are gainfully employed in their respective line of business. Out of the established businesses, 159 recorded growth in their businesses and created additional 505 jobs. (Source: UNIDO Country Office Nigeria)

Also other partnerships have demonstrated impact, albeit at a much smaller scale. The Scania partnership project contributes to employment generation by training unemployed youth, who generally find employment. However, the impact of the project is relatively small and training 300-350 mechanics per year will not contribute to employment in any significant manner. There are other potential effects of the project, a model for donor/UN/private sector collaboration for vocational training and employability has been tested and demonstrated and this could be applied for other sectors and inspire other companies to adopt the model. The potential for development impact lies with a large number of copy-cats.

While some of the partnerships have been ongoing for many years (Chemical Leasing since 2004, Microsoft since 2006, HP since 2008, Metro since 2009) for some of the more recent partnerships, it is too early to measure impact as they are only starting (Carlsberg, AEON) or have started only recently (Volvo, Samsung). The Volvo project will train about 30 mechanics per year. The impact in terms of employment will thus be rather modest. The Samsung partnership already trained over 100 local experts as trainers on installation and repair services and over 300 youth for repair services and e-waste management related services and upgraded local businesses in pilot areas. The expected impact is youth employment and a positive impact on the environment but will also be relatively small.

A recent evaluation of the Entrepreneurship Curriculum Programme (ECP) in Angola found that the programme may have a positive impact on the target population and the national economy in terms of building up entrepreneurial foundations and contributing to economic diversification and employment generation, over the medium to long term. A positive assessment is also emerging from an impact study, conducted after the evaluation. The long term outcomes and impact of the programme may also be influenced by structural factors beyond its control, including the following: a) insufficient availability of teachers to ensure compliance with the limits set by the Government for student/teachers ratio; b) the lack of recruitment criteria for secondary school teaching that would ensure availability of more specialised professionals teaching entrepreneurship; and c) insufficient availability of financial resources for schools to fund the practical activities outside the classrooms.

As regards the partnership with Microsoft, there is very little information available on impact.

### **Replicability**

In terms of replicability there are some positive signs. While the direct impact of the Metro-UNIDO partnership in Egypt was rather small - 90 suppliers were trained leading to increased food safety standards and the value-chain approach

promoted through the Metro-UNIDO partnership is being replicated. The Government – the Agriculture and Agro-industries Technology Center (ATC) – is replicating the value-chain approach with Carrefour (sugar cane, dry tomatoes). Also in another project the Government is building on the value-chain approach for exporting artichokes and dates. In addition, the Metro-UNIDO partnership was replicated in Russia and India albeit at a smaller scale (Russia: 22 suppliers upgraded; India: 10 suppliers upgraded). Also, the partnership with AEON in Malaysia can be seen as building on the Egypt experience.

The Chemical Leasing business model is being replicated in an increasing number of countries but there is a much higher potential and the approach is not promoted on a large scale or at corporate levels by UNIDO. However, the model gained global visibility through the Global Chemical Leasing Award, potentially raising the interest of other companies.

Many projects can be seen as piloting a model or service provision modality (e.g. Samsung) and there is a need for up-scaling or dissemination for tangible development effects. Donors stress that it is not the direct project results that are the most important but that replicable models for economic development and from partnering with business is being developed and tested and that the knowledge developed feeds into policy and strategy. In order for this to happen, it is important to have regular dialogue with policy makers and this can best be conducted by the UNIDO Representative. However, in many of the countries with active partnership projects, the involvement of UNIDO Field Offices and UNIDO representatives was very low.

So far projects are mainly focusing on one skills area, such as mechanics. The number of trainees remains limited and there is no or weak linkages to sector strategies or development plans. One of the donors would like to see more emphasis on working with groups of companies for higher impact. There is also a call for linking up with industry and to have industrial strategies as an entry point. It was suggested that UNIDO should put more emphasis on analyzing national trends in industrial development and to review how UNIDO and private partners can support growing sectors and dynamic national companies.

## **4.8. Cross-cutting issues**

**(11) Main findings: The advancement of women and the promotion of gender equality receive attention in some partnerships. Environmental sustainability receives significant attention as it is a key objective in a number of partnerships. However, both dimensions are not systematically addressed as cross-cutting issues.**

## Gender

In some partnerships, the gender dimension is important like in the HP partnership where the selection of partner organizations is based on a scoring system, which, inter alia, includes gender equality. Also, results achieved are analysed on a gender-disaggregated basis. For example, a gender-based analysis showed that a substantially higher proportion of male entrepreneurs than female entrepreneurs (79.1 percent versus 61.5 percent) reported an increase in their use of computer software and telecommunication tools as a result of training.

There was a strong correlation between reported increased income among female trainees and the benefit of mentoring experienced during the HP LIFE training.<sup>29</sup> Moreover, as mentioned above, UNIDO started a new project with HP in Tunisia in 2012.<sup>30</sup> In the project document it is foreseen that *'the project will build on a gender analysis in Tunisia. A gender specialist, hired under preparatory assistance financed by the Italian contribution, has initiated a gender analysis and will be hired again in the inception phase of the project to provide operational guidance on gender related issues.'*<sup>31</sup>

In the case of the Scania partnership, it was foreseen to actively promote the participation of women. The target participation rate of 30% was reached: 30.2% of the graduates of the first year were female. Moreover, the highest performers of the first two courses organized were women. However, looking more closely at the enrolment figure for 2012, there was only a total number of four or 10 per cent female student enrolled in the mechanics courses while there were 49 per cent women in the computer training and 35 per cent in the English training. This gender imbalance is not Iraq-specific but can be found in mechanics courses worldwide. The project should get credit for addressing gender issues and establishing gender targets but needs to intensify its efforts to reach the established target in core areas. It could also be the case that the project established an unrealistic target.

The Entrepreneurship Curriculum Programme (ECP) in Angola that has been supported by Chevron is also expected to contribute to women's participation in economic activities. In this connection, the Project Document states the following: *'In order to encourage the female students to complete a full school period, the project will pay particular attention to increase the number of female teachers who successfully complete teacher-training programmes. The curriculum development will consider gender specific topics such as female drop out and concrete application of entrepreneurship in managing business.'* Looking at the

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<sup>29</sup> Process and Outcome Evaluation Report, USAID/ Equip, April 2012.

<sup>30</sup> The title of the project is 'Facilitating youth employment through entrepreneurship and enterprise development in vulnerable regions of Tunisia: El Kef, Kairouan, Kasserine and Sidi Bouzid'.

<sup>31</sup> Project Document, p.14.

actual results, the percentage of female students is 42% of the total population and the variation of the gender ratio across provinces is not very high, ranging from a maximum of 50% to a minimum of 39%.

The 3ADI project documents equally made reference to gender and the logical frameworks included gender-specific indicators. The same is true for the 3ADI-wide logical framework used by UNIDO (both the initial and amended version). As regards implementation, it is evident that several projects had a gender focus, considering the active participation of women in agriculture and agro-processing (in some vocational training centres even predominantly). However, there is no 3ADI-wide M&E system in place that captures and consolidates the involvement of women in 3ADI interventions and the effects of these interventions on women. Neither has there been any consolidated reporting on the gender equality dimension neither any indication of 'upstream work' in this field, whereas this was launched in the areas of environment (see also below) and investment promotion.

The Samsung project will encourage the participation of women in what is considered a male-dominated sector (electronics). The number of women participating will be monitored. The project, however, is still at a too early stage in order to be able to assess this dimension.

In other partnerships, the advancement of women or the promotion of gender equality is largely absent (Microsoft, Chemical Leasing, Metro).

Donors have sometimes felt that draft project documents and various outputs of business partnership projects reveal insufficient attention to gender (and environmental sustainability). Donors expect that projects are holistically managed by UNIDO and that for instance, expertise of the technical branches is complemented by staff resources from gender and environmental units.

### **Environmental sustainability**

Protecting the environment is a key objective of 5 of the 12 ongoing or new partnerships reviewed under this evaluation (Table 6): Microsoft, Samsung, Chemical Leasing, Green Industry Platform, Carlsberg.

Through the partnership with Microsoft, e-waste studies were done for five countries (Uganda, Kenya, Tanzania, Nigeria and Trinidad and Tobago). In addition, one of the projects implemented with Microsoft in Uganda had the goal to refurbish imported second-hand computers, hence reducing e-waste and ultimately having a positive impact on the environment. This project, however, had to stop since a new law forbidding the import of used computers was passed. Also, the Samsung partnership is about reducing e-waste. One of the two expected outcomes is: *'E-waste management skills, knowledge and practices are improved'*, making the environmental dimension one of the main pillars of the project.

Another project whose main pillar is the environmental dimension is the Chemical Leasing initiative. The objective of the initiative is *'to enhance sustainable productivity through the application of ChL business models. The idea of CL is to shift the focus from increasing sales volume of chemicals towards a value-added approach, resulting in the reduction of the chemicals used and ultimately having a positive impact on the environment.'*<sup>32</sup>

The Green Industry Platform intends to assist countries and companies to create green industries and to bring together businesses, governments and civil society at the highest levels, in an effort to scale up and mainstream the application of Green Industry policies and practices throughout global manufacturing. The Carlsberg partnership is aiming at reducing the greenhouse gas emissions of 10 breweries operated by Baltika Breweries.

Also the HP partnership has an environment component. UNIDO is developing an environmental training module for the HP LIFE curriculum.

Other partnerships with Metro, AEON, Scania and Volvo have not mainstreamed gender.

Overall it should be noted that environmental issues are generally treated in manuals provided by the business partners and used in the training programmes. There is however no review by UNIDO as to whether or not this is being adequately and appropriately treated nor has UNIDO developed any guidance on how to mainstream these issues or actively promoted them.

## **4.9. Institutional arrangements**

**(12) Main Finding: UNIDO has made significant progress in strengthening the institutional framework to manage business partnerships, in particular with the review of 2010 ('Strategic Framework'), by establishing the Business Partnerships Group (BPG) and by adopting the Policy on Business Partnerships. However, the Organization has no clear strategic approach in partnering with businesses.**

### **4.9.1. 'Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations' (2010)**

**(12.1) Finding: The 'Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations' (2010) was a milestone in the evolution of UNIDO business partnerships as it provided a sober analysis of the implementation of UNIDO's business partnership**

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<sup>32</sup> UNIDO Factsheet 'The Green Industry Platform', 2010.

**programme. At the same time, it was not a strategy in itself but rather a review with recommendations.**

In 2011, the UNIDO Executive Board approved<sup>33</sup> ‘The Strategic framework for UNIDO partnerships with multinational companies and private sector foundations’ (Strategic Framework). This Strategic Framework was developed based on a stocktaking exercise of UNIDO’s partnerships since 1999 and a mapping of best practices within the UN-system. The exercise was initiated because UNIDO recognized the relevance of collaborating with business partners and the perception that progress was modest.

The Strategic Framework contains a frank gap analysis of UNIDO’s weaknesses in collaborating with business partners (Table 13). The analysis highlights that ‘no more than seven institutionalized business partnerships have been signed over the period of eleven years’ (p. 15). The analysis goes on by stating that UNIDO’s track record in maintaining longer-term partnerships with business has been weak (p. 16). Finally, the analysis shows that other UN agencies are more active in partnering with business (p.19).

**Table 13: Gap Analysis 2010**

Gap 1	UNIDO engagement in business partnerships is not supported by any dedicated specific division, unit or programme. At present, partnership activities are not yet strongly integrated into UNIDO main planning mechanisms and operational procedures.
Gap 2	UNIDO lacks an organization-wide and coherent perception of business partnerships, the value they can bring to the accomplishment of industrial development, and which form of collaboration is most suitable under which circumstances
Gap 3	UNIDO lacks guidelines and processes for business partnerships 1) to clarify essential areas such as governance and accounts management, related roles and responsibilities, communication and intellectual property, partner selection criteria; 2) to define the different forms of engagement, and3) to monitor and evaluate partnerships.
Gap 4	UNIDO’s approach to multi-stakeholder platforms, although modest and not evenly spread across its technical branches and units, is still encouraging. Nevertheless, the engagement of UNIDO with multinationals within the framework of multi-stakeholder platforms remains limited.
Gap 5	Private foundations offer an important capacity for partnerships beyond resource mobilization, which remains under-explored by UNIDO.
Gap 6	In its cooperation with MNCs, UNIDO lacks diversity of strategic partnering industries.

*Source: Strategic Framework for UNIDO Partnerships with Multination Companies and Private Foundations’, UNIDO, 2010.*

<sup>33</sup> Executive Board/Summaries/2011 – Agenda item 1, minutes of meeting no. 08/2011.

The document concludes with two key recommendations. While the first recommendation stresses – in general terms - the need to adopt a strategic approach towards business partnerships, the second recommendations outlines – in a nutshell - what such a strategy should look like: *‘The goal of business partnerships will be to mobilize companies’ technologies, skills and products to build sustainable inclusive business models.’* (p.19). ‘Inclusive business’ is introduced as a key concept, which should allow for ‘replicability and scalability of solutions, mapping to one or more thematic priorities’.

In order to fill existing gaps, the report proposes an agenda for action with four key areas of activities (Table 14).

**Table 14: Agenda of action (2010)**

1. Establish a specialized partnerships management team
2. Enhance Organizational Capacity (i.e. develop guidelines, train staff, new website, case studies, networking)
3. Establish Multi-Stakeholder Platforms
4. Develop Private Foundations Partnering Network

*Source: Strategic Framework for UNIDO Partnerships with Multination Companies and Private Foundations’, UNIDO, 2010.*

Overall, the Strategic Framework was a key document, needed to advance UNIDO’s business partnerships. The situation analysis clearly identifies UNIDO’s weaknesses, also compared with other UN agencies. The document makes sensible recommendations and proposes an agenda of action.

However, while the document contains elements of a strategy, it can’t be considered a strategy, as understood in management thinking (an example is provided in Box 5) as too many elements of a strategy are missing. A possible strategic approach has been outlined only very briefly (focus on replicable and scalable Inclusive Business Models) and the agenda of action does not clearly illustrate how to develop replicable and scalable Inclusive Business Models. Rather, the document is a *review* with a number of recommendations. In fact, it was never intended to be a strategy but was intended to serve ‘as a basis towards UNIDO’s strategic framework for business partnership’ (p. 5). However, by the Executive Board’s approval, the document *de-facto* became UNIDO’s business partnership strategy. In later internal documents, the Strategic Framework was referred to as the ‘organization-wide strategy for enhancing UNIDO’s engagement with business.’<sup>34</sup> No strategy was developed thereafter.

<sup>34</sup> Project Document, XPGLO11020, 2013, p.7.

#### **Box 5: The meaning of the term ‘Strategy’**

‘The term ‘strategy’ should mean a cohesive response to an important challenge. Unlike a stand-alone decision or a goal, a strategy is a coherent set of analysis, concepts, policies arguments, and actions that respond to a high-stakes challenge. ... Strategy is about *how* an organisation will move forward.’

Source: Good Strategy - Bad Strategy – The Difference and Why it Matters, Richard P. Rumelt, 2011.

#### **4.9.2. The Business Partnership Group (BPG)**

**(12.2) Findings: UNIDO made an effort to implement the Strategic Framework by approving two projects for establishing/supporting the Business Partnerships Group. The Business Partnership Group is focusing on outreach activities, due diligence screening, provision of in-house advisory services, staff training and communication.**

Following the approval of the Strategic Framework, a Core Working Group was established to serve as an advisory body for the implementation of the Strategic Framework. This Core Working Group met on a regular basis to discuss various topics and activities including new partnerships, due diligence and sensitive industries, communication and networking events and requests for business partnerships from Member States.

Also as a follow up to the approval of the Strategic Framework, the Executive Board approved twice EUR 200,000 for two global projects for the implementation of the Strategic Framework: one in 2011 and one in 2013.

The projects allowed for establishing the Business Partnerships Group (BPG) by engaging two international experts in business partnerships in addition to the one staff member.

#### ***Main activities of the Business Partnership Group (BPG)***

The first global project foresaw two main outcomes:

- 1) UNIDO’s technical cooperation portfolio related to strategic business partnerships of all technical branches is enlarged
- 2) UNIDO’s visibility is increased within UN system, development agencies, the donor community and the private sector

The two expected outcomes – enlarged portfolio and increased UNIDO visibility – are not very specific. Neither does expanding the portfolio for the sake of expansion appear to be very strategic. One would expect the outcomes to be more specific: what are the development challenges that UNIDO should address in collaboration with businesses? In which sectors and for which results does

UNIDO require business partners? In which regions? What kind of resources? Without this information, it is not clear what UNIDO/BPG intends to achieve apart from expanding the number of partnerships and increase UNIDO's visibility in general.

The activities of the project have been focused on i) providing strategic and managerial advice to all PTC branches on the establishment of business partnerships, ii) build the capacity of UNIDO staff members by providing them with training and iii) ensure efficient communication of business partnership activities for internal and external audiences.

A self-evaluation<sup>35</sup> conducted in 2013 concludes that, while activities i) and iii) have been achieved, activity ii) has been partially achieved.

*i) Strategic and managerial advice to PTC branches*

The BPG is responsible for conducting the due diligence screening which assesses a company's commitment to responsible corporate practice and governance. Although the major part of this is outsourced, this is a time-consuming service that takes up almost 80% of one person in the BPG team.

The BPG has furthermore provided advisory services on the management of business relationships to PTC technical branches or regional offices: For example, the BPG advised the regional office in Thailand on the design of the partnership with Samsung.

For the Green Industry Platform (GIP) the BPG provided a private sector outreach strategy, assisted with identifying business members, did due diligence screening, liaised with the Global Compact office, and promoted the GIP at various events and in the UN Private Sector Focal Points Newsletter.

For the 3ADI: the Business Partnerships Group worked with PTC/AGR on screening potential private sector partners, discussing partnership models, reviewing the 3ADI Public Private Partnership (PPP) platform, promoting 3ADI at various events and in the UN Private Sector Focal Points Newsletter.

However, the provision of advisory services to other entities in UNIDO appears to be rather the exception than the rule. Interviews revealed that only very few of the Project Managers consulted the BPG in order to get advice as regards specific

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<sup>35</sup> Self-Evaluation Progress Report - XPGLO11020 - Implementing the 'Strategic framework for UNIDO partnerships with multinational companies and private sector foundations', Prepared by: Barbara Kreissler, Dated: 19 March 2013.

strategic or implementation aspects. The collaboration of the BPG with UNIDO country offices, ITPOs or ITCs is also limited.

*ii) Capacity building of UNIDO staff members*

In cooperation with the Partnering Initiative, a programme of the International Business Leaders Forum (IBLF), the BPG organized a business partnerships workshop on partnering skills and techniques in Vienna in October 2012. The workshop was attended by around 80 technical staff who ranked the training high as regards its quality and the relevance of its content. A comprehensive Power Point Presentation provides useful guidance also for staff that could not participate. In addition, the BPG conducted webinars targeting field office staff in 2013.

*iii) Communication of business partnership activities for internal and external audience*

The BPG created a UNIDO business partnerships web page under the main UNIDO website ([www.unido.org/businesspartnerships](http://www.unido.org/businesspartnerships)), of which the content is continuously updated with the latest partnership materials, news and events.

UNIDO business partnerships featured several times in the quarterly newsletter 'UN Business Focal Point' published online by the UN Global Compact Office. For example in November 2012 the Newsletter featured UNIDO's Green Industry Platform.<sup>36</sup>

A partnerships brochure presenting UNIDO's approach to partnering with the private sector and containing *fact sheets* of all ongoing partnerships was developed and circulated at headquarters and in the field. The fact sheets summarize individual partnerships on two pages in an easy-to-read and mostly standardized manner highlighting the development challenge, the response to the challenge, results achieved, etc.. It was observed that the company logos were given prominent visibility, whereas other (often national) partners are only mentioned under 'programme partners'. The Chevron case is a striking example suggesting that Chevron is the main partner while in reality the company is one donor among several others.

The UNIDO focal point of the UN network of private sector focal points is located in the BPG. This role entails liaising with the Global Compact on a variety of activities including providing inputs to the Secretary-General's bi-annual report to the General Assembly on item 'Towards global partnerships', attending information sharing and learning meetings, reviewing publications and participating in/convening the Annual UN Private Sector Focal Points Meeting.

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<sup>36</sup> See: <http://business.un.org/en/documents/10832> (accessed 17 November 2013).

UNIDO and the UN Office on Drugs and Crime (UNODC) hosted the 2012 annual United Nations System Private Sector Focal Points Meeting in Vienna. These annual meetings provide participants with an opportunity to exchange experiences and build on lessons learned in the context of partnerships between the UN and businesses with a view to achieving enhanced development impact. The BPG profiled UNIDO's flagship multi-stakeholder platforms at the event; the 3ADI and the GIP.

Furthermore, the BPG staff regularly travels in order to promote UNIDO's Business Partnership Programme, conduct meetings in relation to projects under its direct management or to make presentation, at the request of UNIDO management. In 2013, 12 missions took place of which 10 went to developed countries. It is difficult to assess the results of these missions which are often very costly. Moreover, the missions absorb a large part of BPG's limited capacity.

It is not always evident why the BPG should do all the outreach activities related to business partnerships, while other entities (e.g. UNIDO representation offices, country offices) could as well interact with the business community.

In 2013, the Director General moved the BPG to the Office of the Managing Director of PTC due to the cross-cutting nature of the Business Partnership Group function. This was a step intended to strengthen the institutional set up for the management of business partnerships.

Phase II of implementing the 'Strategic framework for UNIDO partnerships with multinational companies and private sector foundations' started in May 2013 with the second global project. Phase II of the project aims at launching new UNIDO-business partnerships for inclusive and sustainable industrial development, and strengthening the enabling environment for business partnerships at UNIDO.

Phase II emphasizes the following approaches:

- Reach out to private sector support schemes of donor countries (e.g. Norway, Denmark);
- Reach out to businesses in middle-income countries (MICs);
- Reach out to the private sector in conferences, events and other multi-stakeholder fora organized by UNIDO at national, regional and global levels;
- Introduce clear policy guidelines and procedures on business partnerships as the lack thereof has proven a significant obstacle for strengthening UNIDO's engagement in partnerships with the private sector.
- Introduce knowledge about monitoring and evaluation tools and methodologies to be used throughout the lifecycle of a partnership;

The introduction of policy guidelines and procedures was overdue. The 'UNIDO Policy on Business Partnerships' has since been issued (June 2013) and is discussed in the next section. The introduction of monitoring and evaluation tools and methodologies is relevant as the monitoring of business partnerships has been largely focused on tangible outputs rather than on the contribution to development results (see above).

The outreach to donors' schemes to support the private sector and the outreach to the private sector of middle-income countries (MICs) are potentially critical strategic changes in UNIDO's approach to partnering with business. This is quite different from the first project document (Phase I) which included very little strategic guidance and was rather focusing on the role of the BPG as a service provider to the Organization. However, the strategic guidance is neither comprehensive nor relevant for UNIDO as a whole, as the project document only provides guidance to the BPG.

#### **4.9.3. UNIDO Policy on Business Partnerships (2013)**

**(12.3) Finding: The 'UNIDO Policy on Business Partnerships' was introduced only in 2013. It is a significant step forward in guiding the Organization and its staff in partnering with the private sector. Still, additional strategic and methodological guidance is required.**

The 'UNIDO Policy on Business Partnerships' was issued in June 2013 as a Director-General Bulletin (UNIDO/DGB/(P).125). This is late given the fact that the first partnership with FIAT began in 1999 and the UN's landmark General Assembly resolution for the collaboration with the private sector was adopted in 2000.<sup>37</sup>

The new Policy contains a number of useful elements like definitions (chapter 1.3.) and general guidelines to UNIDO staff dealing with business partnerships (Chapter 2). Highlighting the reputational risk of partnering with business, key principles are established (Chapter 2.1.). In this regard, the Policy devotes quite some room to the need for a due diligence screening of potential business partners (Chapter 2.2.). Moreover the Policy provides guidance on formalizing partnerships (Chapter 2.3.). The Policy goes on in describing how to communicate about partnerships (Chapter 2.4.). Chapter 3 is devoted to the function of the Business Partnerships Group. The Policy also includes an overview of the business partnership lifecycle in an annex (Figure 5). Finally, the Policy provides links to model partnership agreements, including 'Memorandum of Understanding' and 'Trust Fund Agreement' (Annex 4 of Policy).

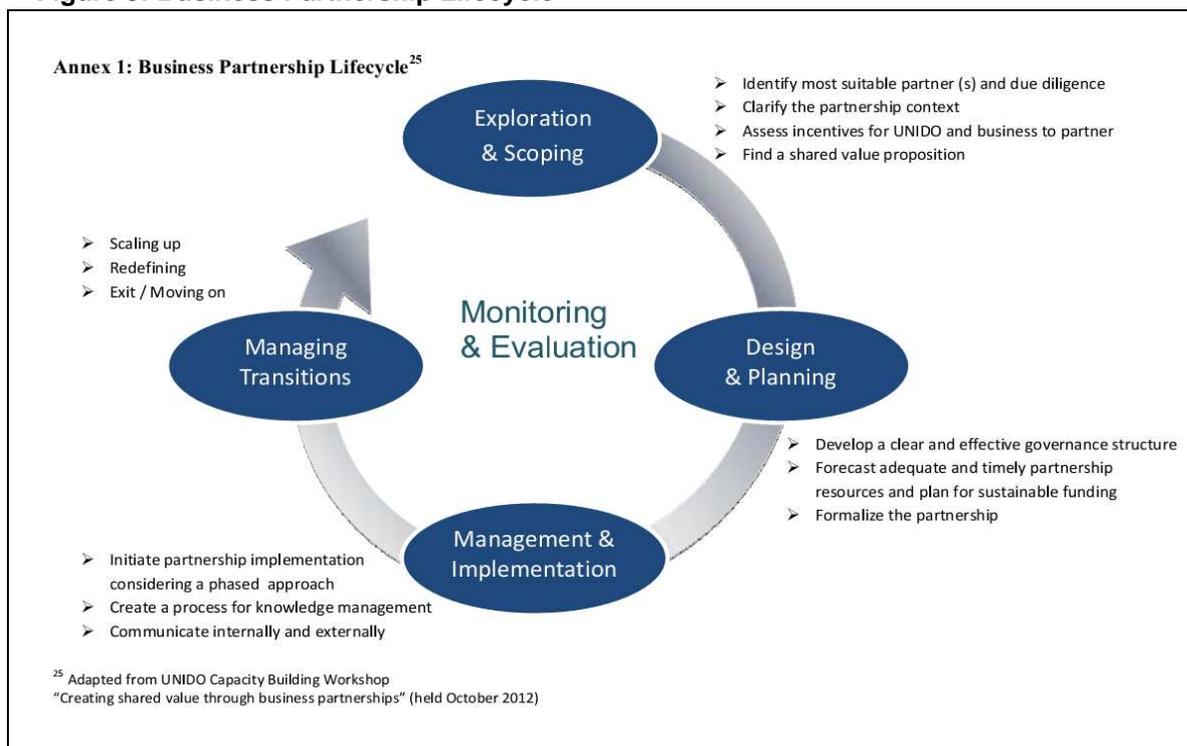
While the Policy is well drafted and useful in the areas mentioned above, it also has several weaknesses. The Policy stipulates that it 'aims at ensuring and

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<sup>37</sup> GA Res. A/54/2000.

institutionalizing a consistent and strategic approach towards UNIDO business partnerships' but this is not really the case. The Policy provides limited *strategic* guidance and it is not clear from the Policy, what the *strategic approach* is. Following principles and adhering to a due diligence process – while important - cannot be regarded as strategic. For example, the Policy does not include guidance on preferred business partners in terms of thematic areas, regions or private sector expertise or other resources. Also, the Policy does not make reference to the - in the approved Strategic Framework stipulated – ‘focus on developing replicable and scalable Inclusive Business Models through business partnerships’.

**Figure 5: Business Partnership Lifecycle**



Source: UNIDO Policy on Business Partnerships, 2013.

Overall, the Policy is more guidelines than strategy. In fact, according to the BPG, it was never intended to be/replace a strategy. In addition, the policy contains references to several internal and UN-system guidelines. While considered useful, UNIDO staff expressed a need for more guidance. An issue is the trust fund agreement which according to some staff is not a smooth modality to work with businesses and needs to be reviewed. There is also some uncertainty with regard to the use, by business partners, of the UNIDO name and emblem.

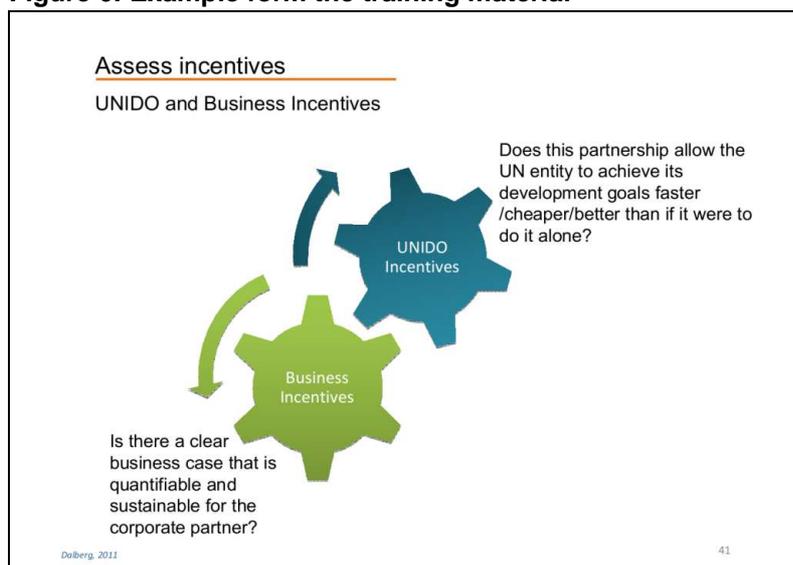
#### 4.9.4. Training and knowledge management

**(12.4) Findings: The UNIDO training material provides guidance on developing, designing, implementing, monitoring and evaluating business partnerships. The material is, however, quite generic and does only provide limited UNIDO specific guidance. No overall mechanism to share experiences in business partnerships on a regular basis is in place. A promising and worthwhile initiative is the LKD Facility, established by the Agro-industry Branch and encompassing features of results based knowledge sharing and monitoring, management training and quality assurance tools. UNIDO in-house expertise is not sufficiently used.**

## Training

The Power Point Presentation used for the training workshop in October 2012 provides guidance to the different phases of the business partnership lifecycle. The training material points to a number of questions which must be asked over the lifecycle, for example with regard to incentives that drive partners (Figure 6). The presentation also includes a chapter on governance of partnerships, one chapter on monitoring and evaluating business partnerships and provides frameworks to analyze partnerships (e.g. cost/benefit analysis).

**Figure 6: Example form the training material**



Source: UNIDO Capacity Building Workshop, October 2013.

While providing useful guidance and examples, the training material is somewhat generic and includes only limited UNIDO specific guidance, probably because it was done in collaboration with the International Business Leaders Forum (IBLF). While there is no need to reinvent the wheel, key elements, which are missing in the Policy, are also missing in the training material (funding arrangements/modalities, use of UNIDO emblem by business, excluded companies, etc.). Above all, the overall UNIDO strategy for partnering with businesses does not come out.

## Sharing of experience

Interviews with UNIDO staff revealed that the BPG has not established a mechanism to regularly and systematically share experiences among different staff/branches in UNIDO on partnering with business (e.g. community of practice, Newsletter, etc.). The transfer of knowledge appears to be limited to ad-hoc advice and interaction or occasional training events.

However, the Agro-industry Branch has launched an innovative approach in connection with the Scania and Volvo projects among others - the Learning and Knowledge Development (LKD) Facility. The LKD Facility is focusing on areas like results-based knowledge management and sharing, the development of baselines, manuals and tools for partnership development and management as well as quality assurance, monitoring and evaluation systems, including for impact evaluation. The LKD Facility, mainly financed by Sida, is seen as a tool for efficiency (and effectiveness) as it should enable the sharing of experience and resources for wider and more effective learning. It is also a tool for imparting management skills with external stakeholders, Sida views the Scania and Volvo projects as models for skills development that could be used for other sectors. As such, Sida looks at the LKD Facility as an important learning and knowledge-sharing tool.

Yet, it is also noteworthy that in-house BPG colleagues have not been consulted when setting up the LKD and the setting up of a monitoring and evaluation system could have benefited from guidance from ODG/EVA and some inaccuracies could have been avoided. It is, for example, mentioned that mid-term and final evaluations are the responsibility of the country project monitoring & evaluation team, while these, due to the size and clauses in the project document would often come under the responsibility of ODG/EVA.

Often, LKD products such as manuals and concepts have been developed without inputs from branches and units with specific competence in a certain area. UNIDO has, for instance, in house capacity in areas such as gender, CSR, cleaner production, green industry, monitoring and evaluation and in managing partnerships. On the whole, however, the LKD is a worthwhile and groundbreaking initiative.

#### **4.9.5. Private foundations**

##### **(12.5) Findings: UNIDO has not succeeded in establishing partnerships with private foundations.**

One of the key activities in the Strategic Framework, approved by the Executive Board, was to develop partnerships with private foundations (Activity 4). However, since 2011, UNIDO has not succeeded in establishing any partnerships with private foundations and this has not been a priority. This is also the case for the two project documents for implementing the Strategic Framework and for the new Policy: foundations are hardly mentioned. It was noted that 'develop private foundation partnering network' was mentioned as a function of the BPG in the training material used for the training workshop in October 2012. However, in the Terms of Reference of the BPG included in the new Policy, this function no longer appears. The reason is that since the policy explicitly lists "corporate foundations" in the definition of the private sector to which the policy applies

(footnote 1, iii) the ToRs do not list the specific sub-sections of this definition anymore.

#### 4.9.6. Definitions

**(12.6) Findings: The definitions of business partnerships and partnership categories are not clear. The principles for business partnerships as stipulated in the new Policy are useful.**

UNIDO defines business partnerships in its new Policy as follows:

*‘UNIDO views business partnerships as non-commercial collaboration between UNIDO and private sector entities, which have the purpose of achieving common goals and objectives in the field of industrial development. Such partnerships can involve two or more parties, including business and industry, academia, governments and local authorities, NGOs and intergovernmental organizations.’*

While at first the definition appears to be meaningful, a second look raises several questions, which might require further clarification.

First, the term ‘non-commercial’: Does it mean that there is no procurement relationship where UNIDO buys goods or services from companies? Or does it mean that companies have no commercial interest in the partnership? While the first option would be sensible (and probably meant), the second reading would be problematic, as many partnerships address core business operations (e.g. Chemical Leasing), which are closely linked to commercial interests. Moreover, commercial interests are the strongest incentive for companies to partner (‘business case’). In any case, the term ‘non-commercial’ leaves room for interpretation and should be clarified.

Second, how is the defined form of collaboration with the private sector entities any different from the business, investment and technology services provided by UNIDO to the private sector? UNIDO is collaborating with private sector entities in many ways including through technical cooperation projects: *‘UNIDO supports capacity-building initiatives, partnerships, and the sharing of knowledge and best practices to promote private sector development in manufacturing industries, with particular emphasis on improving the competitiveness of enterprises, mobilizing investments, and facilitating access to appropriate technologies’* (UNIDO Website). Obviously, the ‘traditional’ technical cooperation does not fall under ‘business partnerships’. However, the used definition does not allow for a clear distinction.

In this regard, it is interesting to note the shift from focusing on 'Multinational Companies and Private Foundations' in the Strategy Framework (2010)<sup>38</sup> to 'private sector entities' in the Policy (2013). The definition used in the Policy is much broader compared with the one used in the Strategic Framework and includes SMEs, cooperatives, state-owned enterprises, corporate foundations, business associations and others.<sup>39</sup> This very broad meaning of what business partnerships can include appears to be diluting rather than sharpening the concept.

Third, what is meant by 'common goals and objectives in the field of industrial development'? Again this is very general and identical with the objectives of 'traditional' technical cooperation. Moreover, it is likely that goals for the business partners are not the same as for UNIDO. This is not necessarily a problem, as long as the partnership contributes to the achievement of *development results* (e.g. clean air, reduced unemployment, etc.). While companies may have commercial objectives, the ultimate benefit of the partnership should be a *public good* (e.g. cleaner air, more safety, higher level of education, development of a sector, etc.).

## Categories

The UNIDO Policy on Business Partnerships defines three broad business partnership categories (Box 1, Background Chapter). The categories follow the UN Global Compact definitions used across the UN system.

Of the three categories, the category 'Core Business Operations and Value Chains' is the most obvious and straightforward. This partnership has to do with the core business of a company either by benefitting from the private sector's core competencies (e.g. food safety in the case of Metro) or by changing its core business (Chemical Leasing).

While the definition provided for the second category 'Social Investments and Philanthropy' is somewhat convoluted, in essence it is comprehensible. Companies make contributions, which have basically nothing to do with their core business. However, almost everything is somewhat related to the core business. Let's take the example of Chevron in Angola. UNIDO labels this partnership as 'Social Investment and Philanthropy'. At first, the promotion of entrepreneurship curriculum material seems to have nothing to do with the core business of Chevron (energy). However, a second look reveals that Chevron is *obliged* by the Government of Angola to contribute to the development of the country and to engage beyond its core business. In other words, the partnership project with

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<sup>38</sup> The definition of business partnerships in the Strategic Framework (2010): 'partnerships refer to non-commercial alliance, collaboration or association involving essentially UNIDO and MNCs and/or private foundations.'

<sup>39</sup> Footnote no. 1 in the Policy, 2013.

UNIDO contributes to keep Chevron's 'license to operate' in Angola – which is obviously very much in the commercial interest of Chevron.

The third category 'Multi-stakeholder Partnerships' is the most difficult category to assess. It is the newest form of engagement in the UN system and entails a different form of engagement. The characteristics of a multi-stakeholder platform as stipulated by the Global Compact are as follows: *“multi-stakeholder issue networks include actors from governmental institutions, business and civil society, including academia, who come together to develop and implement a common approach to a complex, urgent issue that affects them all. The geographic scope and scale of the issues being addressed by proliferating multi-stakeholder networks range from global and multi-sectoral to local and industry-specific. Multi-stakeholder partnerships are issue-driven, with dynamic governance structures, processes and activities that tend to evolve with their mission and time.”* As the name already indicates, this category includes a diverse range of stakeholder of which businesses is only one. One of the UNIDO business partnerships labelled this way is 3ADI. The partnership includes FAO, AfDB, IFAD, finance providers, processors, packaging companies, retailers, etc.. As mentioned in the fact sheet, 3ADI are basically a series of 'technical assistance programmes' with several donors, which result in 'traditional' technical assistance.

The second example of a 'Multi-stakeholder Partnership', the Chemical Leasing initiative, is fundamentally a concept and an initiative, not a partnership. While the concept is promoted by the National Cleaner Production Centers, the essential partnership in this concept is usually between *two categories of companies* – the buyers and sellers of chemicals. As a matter of fact, it clearly falls under the category 'Core Business Operations and Value Chains' as the Chemical Leasing concept changes production processes. Finally, the third example the Green Industry Platform, clearly brings together various categories of actors and is beyond any doubt issue driven and an important initiative but it is too early to assess any results.

### **Principles for the engagement with business partners**

The Policy defines four key principles for business partnerships. The principles provide clear criteria for business partnerships. Particularly important elements are underlined in Box 6 below.

#### **Box 6: Key principles for all business partnerships**

(i) Create **added-value**

UNIDO seeks to partner with the private sector in order to maximize the impact of its efforts to achieve sustainable industrial development in developing countries and countries with economies in transition. Business partnerships are thus based on the principle that by working together and combining resources additional and more effective results can be achieved.

**(ii) Endorse shared values & vision**

Clearly setting out why the partnership is established by defining its purpose and agreeing on a shared vision is the first step to partnering. Activities which are undertaken to achieve these aims should take into account the core UN values as reflected in the UN Charter.

**(iii) Respect UNIDO's impartiality and the principles of fair competition**

Partnerships shall not grant an unfair advantage upon any partner of UNIDO, provide exclusivity in its collaboration or imply endorsement of, or preference for, a particular business entity or its products or services. No partnership shall compromise the independence and impartiality of UNIDO.

**(iv) Be based on sound partnering terms, which minimize risks for UNIDO**

All collaborative engagements need to clearly define the partnership's objectives, the responsibilities of the parties, as well as their committed resources. Partnerships should be regularly assessed and reviewed in terms of the results achieved for stakeholders and beneficiaries. In addition, they should respect the integrity of all parties and embrace a culture of trust and transparency.

*Source: UNIDO Policy on Business Partnerships, 2013; underlining by evaluation team.*

## 5. What makes business partnerships work successfully?

While many efforts have been made to capture key factors for successful partnership between public and private partners, the features mentioned below emerge from this evaluation in particular from the interviews with stakeholders. Some are rather general while others more UNIDO specific.

### ***What are features of UNIDO valued by business partners?***

- UNIDO is a respected organization. UNIDO as a brand gives credibility, reputation gain and an international dimension. It helps to build trust. Having UNIDO as partner makes it easier to operate ('we work with UNIDO', 'we care')
- UNIDO has a very good network as regards national governments and institutions. UNIDO's good relations with governments are a great asset, which is valued by companies. It helps to have UNIDO as a neutral, impartial actor between companies and governments.
- Presence in developing countries.
- UNIDO's competence in project management is very important.
- UNIDO's technical expertise.
- UNIDO's policy advisory role.
- Companies learn about development cooperation from UNIDO.

### ***What are key factors for successful partnership building?***

- Commercial interests are a strong incentive for companies to engage in partnerships. Commercial benefits are OK, as long as the main focus is on development and preferably industry-related development (win-win).
- Successful partnerships build on core competencies, each partner adding complimentary value.
- Involve partners at an early stage.
- Trust between partners is very important: start with a small pilot in order to gain trust.
- Be very clear on the roles of and value added from each partner: private company, UNIDO, government, donor, etc.
- Successful partnerships address existing challenges or constraints.
- Partnership which last over many years need to be able to evolve and change (partnership evolution). It is a joint learning experience. In this regard, monitoring of activities throughout the implementation is highly important.

***What are elements for successful implementation of UNIDO partnership projects?***

- ☑ For partnerships involving technical cooperation, UNIDO's project management competence is a key element for a successful implementation.
- ☑ For partnerships with technical cooperation, UNIDO's country presence is another key element for the implementation of business partnerships.
- ☑ Building on previous technical cooperation projects appears to be a key factor for the success of business partnerships. This can mean 'piggybacking' on institutional capacities built or for example using the same experts or consultants.
- ☑ UNIDO's direct contacts with governments and local institutions are an enabling factor for the implementation of partnership projects.
- ☑ Having the Government in the partnership helps to build trust among various stakeholders.
- ☑ Capacities built can be used at a later stage if activities are replicated.

***What are some of the challenges and risk?***

- ☑ It is a challenge for UNIDO to be seen a neutral actor when partnering with large companies. UNIDO has to be strictly neutral and should not give any privilege to any company.
- ☑ UNIDO is 'giving its name' when partnering with a business partner and cannot fully control the use of it nor the operations undertaken by the partnering company. Continuous due diligence analyses are key to all partnerships in order to avoid reputational risks.

## **6. Conclusions**

### **6.1. Positive trend**

Some of the results achieved from partnering with the private sector are remarkable: The Chemical Leasing initiative has led to positive changes for the environment. Over 40 projects have been successfully implemented. The use of some chemicals was significantly reduced (up to 90%) in participating companies. HP LIFE, supported by UNIDO, reports to have created 15,000 jobs.

Individual partnerships are relevant to UNIDO priorities in the area of environmental sustainability, agro-industry development or entrepreneurship development. Partnering with business is also relevant for UNIDO in terms of strengthening the UNIDO constituency.

Since 2010 UNIDO has accelerated efforts to reach out to private companies and a number of new and promising partnerships with large international companies have been established and thereby diversified the portfolio. Some new partnerships with global companies are currently under discussion.

The Organization has significantly strengthened the institutional arrangements to promote business partnerships by establishing the Business Partnership Group with dedicated professionals (staff and long-term consultants) and by endorsing the Policy on Business Partnerships providing useful guidance to the Organization on how to partner with private companies. Training of staff has started and communication material has been developed. A sound due diligence process is in place.

### **6.2. Below potential**

Overall, however, the number of projects is small and results achieved by the business partnership portfolio at the outcome (and impact) level are modest. Business partnerships are largely implemented as projects producing certain outputs, such as trained people, upgraded processes or established institutions, but there is limited attention to results at outcome or impact levels. What are these outputs actually leading to and which objectives do they contribute to? Contributions of the private sector are often small. The financial and in-kind contributions from private partners amount to only about 1% of UNIDO's overall technical assistance budget. Unlike Chemical Leasing and HP LIFE which have achieved results in several countries, most activities are small in scale and with limited multiplier effects. Furthermore, the strategic relevance of individual partnerships is limited. Many partnerships appear to be rather ad-hoc and opportunity-driven than based on developing country priority needs.

The scale and scope of the UNIDO business partnership programme is significantly below potential. This is astonishing, given that UNIDO is a UN agency mandated with private sector and industrial development. Compared to other international agencies, UNIDO has a strong advantage as its mandate strongly overlaps with the core of many businesses. Interviews with company representatives and the growing pipeline of possible partnerships reveal that private companies have indeed an interest in collaborating with UNIDO in the core area of their business – sometimes with commercial interests, which is not a bad thing as long as partnerships contribute to development objectives.

Industrial development issues cannot be tackled without the economic actors' involvement. The potential to expand the portfolio exists. However, UNIDO must not only expand the portfolio in terms of number of partnerships, but also find ways of using this modality to address key development challenge and to scale-up as well as replicate successful models and develop tools to efficiently manage partnerships.

The extension of business partnerships is relevant also in view of declining aid. However, in order for business partnerships to be relevant to UNIDO in terms of scale, a lot of work still needs be done. The newly signed partnership with Carlsberg is a good start in this sense: Carlsberg committed total investments of 30 million USD over the next five years with an additional 6,300,000 USD funding from GEF.

### **6.3. No clear strategy**

Efforts have been made to make the business partnerships programme more strategic. A first attempt was the 'Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations' (2010). However, while the Framework contains elements of a strategy, it is fundamentally a review of past experience with recommendations for the future.

A second attempt to be more strategic is the new Policy on Business Partnerships. It contains elements of a strategy as for example the 'key principles'. However, the Policy lacks crucial elements like measurable objectives, an overall approach to achieve the objectives, thematic or geographic priorities, and a plan of action.

Another source of strategic guidance is the latest project document in support of the implementation of the Strategy. An example is the proposed outreach to the private sector of middle-income countries (MICs). However, as this is a project document it is only relevant for the Business Partnership Group and not meant to guide the Organization as a whole.

This leaves a patchwork of different documents containing elements of a possible strategy. A coherent and comprehensive strategy looks differently – and is clearly missing.

Business partnerships should be embedded in the overall UNIDO strategy and support UNIDO priorities and government objectives. The selection of partners should primarily be demand-driven. Many outstanding questions remain. In which industrial sectors should UNIDO partner with private companies? Which industrial ‘problems’ can efficiently be addressed together with private companies? Why should UNIDO partner with private companies? Which regions/countries should benefit from business partnerships? Just as business partners have reasons to partner with UNIDO, UNIDO itself should have specific reasons as to why it would partner with a company.

Currently, these questions are unanswered at a strategic level within UNIDO (they are answered to some extent at the level of the individual partnerships). As a consequence, the organization’s current approach to partnering with business is largely opportunity-driven, which leads to a diverse group of business partners from various sectors, providing a - rather small mix of cash and in-kind contributions and having partnership activities dispersed across the globe. In other words, the partnership portfolio does not have a clear profile. The significant and swift expansion of the business partnerships portfolio also implies that the Organization needs to develop a more strategic and structured approach to partnering – not least because of limited capacities to manage partnerships.

There are good examples of strategic thinking. Of all the partnerships, the multi-stakeholder partnerships are the most strategic. They are clearly driven by UNIDO and by UNIDO priorities. The Chemical Leasing approach and the Green Industry Platform clearly fall into UNIDO’s environmental priority. The 3ADI Initiative is targeting Least Developed Countries. In addition, all three multi-stakeholder partnerships offer great potential for leverage and scaling up.

#### **6.4. Not without government**

Most business partnerships are driven either by UNIDO or private companies. Only a few are started by governments like the project which involves Samsung initiated by the Cambodian Government.

While the value added to UNIDO and business partners come out clearly in project documents, the value added to partner countries is often not explicitly mentioned. This is not to say, that the partnerships are not relevant for Member States. On the contrary, this evaluation concludes that partnerships with businesses can be relevant for governments as they address national challenges. Moreover, public entities play a role in all (!) of the 12 business partnerships projects reviewed for this evaluation. In fact, almost all receive financial contributions from governments. The contribution from donors to the partnership

is relevant for the success of the partnerships: more than half of the value of the projects designated as 'business' partnerships comes from other sources than business.

UNIDO's collaboration with the private sector is largely embedded in its mainstream activities and the involvement of public entities (and other partners) is positive. It would neither be easy nor desirable for UNIDO to operate without government involvement.

However, it appears that partnerships would benefit from more programme country governments ownership. There is a need for increased dialogue with national partners in order for the BP projects to be fully aligned with national strategies and policies. A deepened dialogue with donor governments is equally required not the least, as demonstrated earlier, because they can support business partnership projects financially.

## **6.5. Business Partnership Group**

The establishment and strengthening of the Business Partnership Group was an important step in furthering UNIDO's capacity to partner with private companies. While still rather small (3 persons), the BPG has provided relevant support to the Organisation in developing the new Policy, establishing the due diligence process, conducting training, advising different branches on current and new partnerships, and by developing communication material.

A lot of attention is given to outreach activities (including participation in international meetings and conferences) which absorbs limited BPG capacities. A significant part of the BPG's activities is promoting UNIDO's visibility as regards business partnerships but without clearly defined results. However, the fact that few of the Project Managers directly interact with the BPG suggests that the BPG could spend more time providing in-house guidance.

Also, the collaboration with UNIDO country offices, ITPOs or ITCs appears to be limited. All these entities have large amounts of experience and contacts with private companies. This resource based should be tapped. This is a two-way process. It is also the responsibility of the UNIDO offices around the globe and the technical branches to interact with the BPG when relevant.

Another indication of limited in-house interaction is the non systematic attention to cross-cutting issues, in particular gender, environmental sustainability, and CSR.

Also, there is no systematic in-house knowledge sharing of the experience made in partnering with business. The present portfolio should be used for learning and for promoting more involvement of the private sector and not the least in the partner countries. The LKD Facility is an innovative approach and a facility for

learning and methodological development (M&E, management, gender mainstreaming, BP development, etc.) but it is only benefitting a few partnerships and does not involve the Business Partnership Group.

It seems that the BPG should put more emphasis on in-house coordination. At the same time, other entities within UNIDO must step up efforts to strengthen business partnerships for development.

## **6.6. Roles and responsibilities**

It would be a mistake to assume, that by establishing the BPG, the development of new partnerships was taken care of. For that, the BPG is not only too small, but also not the appropriate unit. The BPG has a subsidiary, coordinating and supportive role. The management and development of new of business partnerships is and must be the responsibility of the technical branches. Business partnerships must be aligned with and contribute to the branches' objectives and priorities. Outreach to potential business partners is also the task of UNIDO's 'outposts': UNIDO country offices, representation offices, etc. It does not happen automatically. Branches and country programme managers must think – together with Governments - along the following lines: when should private companies be part of the solution? Which companies? For that, the Organization requires a clear strategy. And that is why **any successful business partnership strategy must encompass the entire house.**

## **6.7. Definition of business partnerships**

The definition and the categories used in the Policy of 'business partnerships' are not precise, leave room for interpretation and add only limited value. However, the question - what constitutes a 'business partnership' - is relevant, not least for UNIDO staff. The current definitions must either be reviewed or supplemented with a set of criteria to further sharpen the concept of business partnerships.

## 7. Recommendations

The following are the key recommendations of the evaluation:

1. Define a comprehensive **business partnership strategy**. The strategy should:
  - a) include a coherent set of **objectives**, an **overall approach** to achieve the objectives and a **plan of action**;
  - b) be sufficiently specific with regard to UNIDO **thematic and geographic priorities**; identify which 'problems' need to be addressed;
  - c) identify **industrial sectors** which are of strategic relevance for UNIDO and in which partnering with private companies can be an asset;
  - d) identify partnership activities with the **potential for scaling-up and replication**; these should be given priority; consider working with groups of companies when this is possible for legislative or other reasons;
  - e) identify partnerships that could directly contribute to **industrial development** and go beyond vocational training and youth employment;
  - f) encompass the entire Organization and define **roles and responsibilities** of all relevant UNIDO branches;
  - g) take into account UNIDO's limited **capacity** to manage business partnerships;
  - h) take into account **legal** and **other limitations**;
  - i) be **time-bound** (e.g. four years);
2. Based on the new business partnership strategy, identify business partners of the current portfolio which **match the strategy**. Consolidate the current portfolio and decide which of the current partnerships can be phased out.
3. Give priority to multi-stakeholder platforms like the **Green Industry Platform** and the **Chemical Leasing** approach as they offer significant leverage and scaling-up potential and are driven by core (UNIDO mandate-related) issues. The Chemical Leasing approach should be brought to a higher level and UNIDO should establish partnerships with big chemical companies at the corporate level.
4. Reflect the collaboration with business partners in the **work plans** of the branches and allocate the required resources (staff time, funding).
5. Strengthen the **dialogue with programme country governments and donors** about the role of private companies in pursuing development objectives.

6. The **Business Partnership Group** should pursue its role as defined in the UNIDO Policy on Business Partnerships. However, the BPG should:
  - a) strengthen the in-house advisory services, coordination and interaction with colleagues, including UNIDO country offices, ITPOs or ITCs;
  - b) keep outreach activities and representation functions at events to a minimum and in any case align them with the implementation of the new strategy (to be developed); involve UNIDO staff around the globe in reaching out to business community;
  - c) be the custodian of the development of a new business partnership strategy.
  
7. Review the current definition of business partnerships and the three categories and supplement them with a set of criteria for good business partnerships in order to further sharpen the concept of business partnerships. Consider the following **set of criteria for relevant business partnerships**:
  - I. Shared development objectives;
  - II. Objectives in line with UNIDO priorities;
  - III. Business partnership can make a direct contribution to industrial development;
  - IV. Business partner provides more than financial contribution;
  - V. Business partner is a large company and partnership offers potential for scaling up, for instance in additional countries;
  - VI. Business partner is active in developing countries and countries in transition;
  - VII. Beneficiaries are also others beyond the business partner (in addition);
  - VIII. No payment by UNIDO for goods and services provided by business.
  
8. Develop **supplementary guidelines** addressing issues missing in the UNIDO Policy on Business Partnerships Policy, i.e.
  - a) reference to the use of the UNIDO logo;
  - b) good examples (MoUs, etc.);
  - c) funding arrangements/modalities;
  - d) questionnaires for screening partnerships and criteria for acceptance/rejection (based on criteria elaborated in the policy);
  - e) guidance on gender, environmental mainstreaming and CSR, including on Key Performance Indicators (KPIs);
  
9. Strengthen **monitoring and evaluation** of business partnerships. This includes:

- a) develop monitoring and evaluation tools and methodologies to be used throughout the lifecycle of all partnerships (as already envisaged in the BPG work plan; also taking into account the experience from the LKD Facility); particular emphasis should be given to assessing the contribution to industrial development and results at the outcome and impact level;
  - b) prepare yearly progress reports on the development of the portfolio and actual results achieved by business partnerships;
  - c) evaluate key business partnerships in order to strengthen learning;
  - d) develop a reporting tool and indicators for Green Industry platform partners reporting back;
  - e) evaluate the implementation of the 'UNIDO Policy on Business Partnerships' after three years of implementation.
10. In order to enhance knowledge-sharing and transparency, establish a **community of practice** for business partnerships for UNIDO staff, in particular also staff in UNIDO country offices, ITPOs or ITCs. Consider issuing a newsletter.
11. Establish a committee consisting of representatives of legal Office, Business Partnership Group, funds mobilization group, finance to look at the applicability of **trust fund agreements** and possible make proposal for revisions and, if deemed necessary, bring in external expertise to provide additional guidance.

## Annex A: Evaluation work plan

Tasks	Schedule	Evaluation Team Responsibilities in work days		
		Senior consultant	EVA staff member	Junior consultant
Initial desk review	August 2013	4	4	2
Inception report, interview guidelines, analysis templates	August 2013	3	1	--
Interviews at HQ, Vienna (incl. travel)	16-20 September 2013	5	3	6
Skype interviews	September/October 2013	4	2	--
Mission to Sweden (incl. travel)	October 2013	--	3	--
Analysis of UNIDO / UN general documents	September/October 2013	5	2	3
Partnership/project document analysis (desk review) (9 ongoing partnerships)	Until 21 October 2013	--	--	12
Basic project data compilation (all projects)	Until 21 October 2013	--	--	3
Meta evaluation	Until 21 October 2013	2	--	--
Portfolio analysis	End of October 2013	3	--	2
Overall analysis Drafting and validation of evaluation report	October/November 2013	9	7	2
Validation: presentation of preliminary findings at UNIDO HQ (incl. travel)	27 November 2013	2	1	1
Review feedback and finalisation of evaluation report	November/December 2013	3	2	2
Total number of work days		40	25	33

## Annex B: Evaluation Framework

Evaluation criteria	Key evaluation questions	Sub-questions	Sources of Information	Data Collection /Analysis Methods
<b>1. Relevance</b>	<b>1. Are the UNIDO business partnerships relevant for partner countries, business and UNIDO?</b>	1.1. To what extent do UNIDO business partnerships address development challenges of partner countries? Were the key objectives in line with needs and priorities of partner countries?	National partners UNIDO BPG team, project managers Evaluation reports Project documents	Interviews Interviews/group discussion Meta evaluation Content analysis and portfolio analysis
		1.2. Are the objectives of the business partnerships aligned with UNIDO's thematic priorities and the overall results framework of the organization?	UNIDO BPG team, project managers Project documents Business partners	Interviews/group discussion Content analysis Interviews
		1.3. What is the added value to partner countries, institutional and business partners (at both ends), donors and UNIDO? What were the main reasons (of various stakeholders) to get involved in the partnership?	National partners UNIDO BPG team, project managers Business partners Donors	Interviews Interviews/group discussion Interviews Interviews
		1.4. What is the added value for various stakeholders compared with 'traditional' technical assistance?	National partners UNIDO BPG team, project managers Business partners Donors	Interviews Interviews/group discussion Interviews Interviews
<b>2. Design and ownership</b>	<b>2. How were the partnerships designed?</b>	2.1. To what extent and how have national and local stakeholders and other external partners been involved and participated in the needs assessment and design? To what extent is there national ownership?	National partners UNIDO BPG team, project managers	Interviews Interviews/group discussion
		2.2. Is there a logical framework for the partnership model or individual partnerships? Are the underlying	UNIDO general documents	Content analysis

		objectives clear and consistent? Are objectives, at various levels, clearly formulated and have appropriate indicators been developed for the objectives?	Project documents UNIDO BPG team	Content analysis Interviews/group discussion
<b>3. Effectiveness</b>	<b>3. How effective are UNIDO business partnerships in achieving the established objectives?</b>	3.1. To what extent have the intended outputs and outcomes been achieved?	Project documents Evaluation reports National partners Business partners	Content analysis Meta evaluation Interviews Interviews
<b>4. Sustainability</b>	<b>4. How sustainable are results achieved and the partnership?</b>	4.1. Will the services /entities developed or put in place be financially, institutionally and technically sustainable?	Evaluation reports National partners Business partners UNIDO BPG team, project managers	Meta evaluation Interviews Interviews Interviews
		4.2. Will the partnership continue beyond the "project"?	Evaluation reports National partners Business partners UNIDO BPG team, project managers	Meta evaluation Interviews Interviews Interviews
<b>5. Impact</b>	<b>5. What is the impact of UNIDO business partnerships?</b>	5.1. Which long term developmental changes (economic, environmental, and social) have occurred or are likely to occur as a result of the interventions and what are the indications as regards their sustainability?	Project documents Evaluation reports National partners Business partners Donors UNIDO BPG team, project managers	Content analysis Meta evaluation Interviews Interviews Interviews Interviews/group discussion
		5.2. Were the projects replicated/did they have multiplier effects? Has the business partnership model demonstrated by the projects been replicated by other actors?	National partners Business partners Donors UNIDO BPG team, project managers	Interviews Interviews Interviews Interviews/group discussion

<b>6. Cross-cutting issues</b>	<b>6. To what extent are the cross-cutting issues gender and environment a dimension in the partnerships?</b>	6.1. To what extent have partnerships contributed to the advancement of women or promoted gender equality?	Project documents Evaluation reports National partners Business partners UNIDO BPG team, project managers	Content analysis Meta evaluation Interviews Interviews Interviews/group discussion
		6.2. Were there any environmental dimensions of the partnerships? Was environmental sustainability promoted or did the project set out to offset negative effects on the environment?	Project documents Evaluation reports National partners Business partners UNIDO BPG team, project managers	Content analysis Meta evaluation Interviews Interviews Interviews/group discussion
<b>7. Efficiency</b>	<b>7. How efficient have individual business partnerships and the related projects been implemented?</b>	7.1. Which inputs have been provided by the core partners (business partner, UNIDO and counterparts)?	Project documents	Content analysis and portfolio analysis
		7.2. Were the inputs of the core partners provided as planned and were they adequate to meet requirements?	Project documents Evaluation reports UNIDO BPG team, project managers	Portfolio analysis Meta evaluation Interviews
		7.3. How well have the partnerships be managed?	National partners Business partners Donors UNIDO BPG team, project managers	Interviews Interviews Interviews Interviews
		7.4. To what extent was coordination between the partners (at their respective HQs and at the field level) adequate?	National partners Business partners UNIDO BPG team, project managers	Interviews Interviews Interviews
		7.5. To what extent was the reporting, monitoring and evaluation system adequate? Was baseline data collected prior to the start of interventions or during the inception phase? Are there clear target and	Project documents Evaluation reports	Portfolio analysis Meta evaluation

		indicators?		
		7.6. Are there synergies with other UNIDO or UN interventions?	National partners UNIDO BPG team, project managers UN Global Compact, FAO, UNEP staff	Interviews Interviews Interviews
<b>8. Institutional arrangements</b>	<b>8. How efficient are UNIDO's institutional arrangements in managing the business partnership programme?</b>	8.1. To what extent were the Guidelines (2002) used? Have they been revised?	UNIDO general documents  UNIDO BPG team	Content analysis Interviews/group discussion
		8.2. To what extent is the typology of business partnerships models used by UNIDO clear and consistent? Have there been changes over time?	UNIDO general documents  UNIDO BPG team	Content analysis Interviews/group discussion
		8.3. To what extent are the current Strategic Framework and the Policy on Business Partnerships adequate? To what extent do they provide clear directions for staff engaged in planning, designing and implementing partnerships? To what extent is it aligned with UNIDO's strategic objectives?	UNIDO general documents UNIDO BPG team, project managers	Content analysis Interviews
		8.4. What has UNIDO's strategy to identify and promote new business partners been?	UNIDO BPG team	Interview/group discussion
		8.5. How has the Partnership Programme been managed over time? How adequate is the Business Partnership Group to manage the Programme? To what extent did the Business Partnership Group provide guidance and monitor implementation to individual partnerships?	UNIDO general documents UNIDO BPG team, project managers	Content analysis Interview/group discussion
		8.6. Are UNIDO procedures regarding procurement, funding and implementation of business partnership appropriate?	UNIDO BPG team, project managers	Interviews
		8.7. Has UNIDO senior management support been adequate in terms of strategic guidance to staff involved in business partnerships and resource allocation?	UNIDO BPG team, project managers	Interviews/group discussion

		8.8. To what extent are there tools pertaining to business partnerships (UNIDO; UN-wide; other) and to what extent were/are they used?	UNIDO general documents UNIDO BPG team, project managers	Content analysis Interviews/group discussion
		8.9. Is a programme-wide monitoring and evaluation system in place?	UNIDO general documents UNIDO BPG team	Content analysis Interviews/group discussion
		8.10. To what extent and how is UNIDO involved in UN-wide networks on business partnerships under the umbrella of the UN Global Compact? What are possible benefits?	UNIDO BPG team UN Global Compact, FAO, UNEP staff	Interview/group discussion Interviews
<b>9. Lessons learned</b>	<b>9. What are key factors that make business partnerships work successfully? (best practices, challenges, lessons learned, etc.)</b>	9.1. Which lessons were learned from the first generation of UNIDO's partnerships (Fiat, Ericson, BASF, and Bajaj) and how have these been taken on board in (i) the design of subsequent partnerships, (ii) the Strategic Framework (2011) and (iii) Policy (2013)?	UNIDO General documents Project documents Evaluation reports UNIDO BPG team, project managers	Content analysis Content analysis Meta evaluation Interviews/group discussion
		9.2. Which lessons can be learned from the second generation of UNIDO business partnerships (including ongoing)?	Project documents Evaluation reports UNIDO BPG team, project managers National partners Business partners Donors	Content analysis Meta evaluation Interviews Interviews Interviews Interviews
		9.3. Which lessons can be learned from UN-wide experiences in this field?	UNIDO general documents UN documents UN Global Compact, FAO, UNEP staff	Content analysis Content analysis Interviews

## Annex C: Reference documents

### UN

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- UN - The Secretary-General's Five-Year Action Agenda, 25 January 2012.
- Catalyzing transformational partnerships between the United Nations and Business, UN Global Compact Office, 2012.
- UN Global Compact, Bertelsman Stiftung and UNDP, Partners in Development - How Donors Can Better Engage the Private Sector for Development in LDCs, 2011.
- UN Global Compact; Coming of Age; UN-Private Sector Collaboration Since 2000, 2010
- UN Global Compact; Catalyzing Transformational Partnerships between the United Nations and Business, 2011
- Coming of Age: UN-Private Sector Collaboration since 2000, UN Global Compact Office, 2010.
- Guidelines on Cooperation between the United Nations and the Business Sector, UN Global Compact, 2009.
- Evaluation of Partnerships and Alliances, FAO, 2006.

### General documents

- Institute of Development Studies (IDS); What is Business and development – An Annotated Bibliography, 2013.
- Policy and Operations Evaluation Department of the Ministry of Foreign Affairs, Netherlands, Public-Private Partnership in Developing Countries, 2013.
- IOB Study - Public-Private Partnership in developing countries, Ministry of Foreign Affairs of the Netherlands, 2013.
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- UNIDO Business Partnerships Website:  
<http://www.unido.org/businesspartnerships.html>
- DG Bulletin "UNIDO Policy on Business Partnerships", UNIDO, 2013.
- Overview of UNIDO's portfolio of selected public-private partnerships, UNIDO Evaluation Group, DRAFT, 2013.
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- Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations UNIDO, 2010.

- UNIDO Business Partnerships – Partnering for Prosperity, UNIDO, 2012.
- Business Partnerships Capacity Building workshop (Presentation), UNIDO/International Business Leaders Forum, 2012.
- Partnerships with Multinational Companies and Private Sector Foundations (Presentation), Barbara Kreissler/ Rana Fakhoury, 2011.
- List of agreements concluded by UNIDO with other entities, UNIDO, 2013.

### **UNIDO Evaluation reports**

- Independent Evaluation UGANDA - UNIDO Integrated Programme - Agro-processing and Private Sector Development—Phase II, UNIDO, Evaluation Group, 2009.
- Independent UNIDO Country Evaluation – Federal Republic of Nigeria, UNIDO, Evaluation Group, 2009.
- Independent Thematic Evaluation UNIDO's Contribution to the Millennium Development Goals, UNIDO, Evaluation Group, 2012.
- Independent evaluation – INDIA – UNIDO Country Service Framework, UNIDO, Evaluation Group, 2007.
- Independent evaluation - UGANDA - Strengthening the Ugandan Business Information Network II - Establishment of 8 Pilot District Business Information Centres - UNIDO Project UE/UGA/04/062, UNIDO, Evaluation Group, 2008.
- Independent Evaluation of the African (Accelerated) Agribusiness and Agro-industries Development Initiative (3ADI), UNIDO Evaluation Group, January 2014.
- Independent UNIDO Evaluation - ECP Evaluation report, 2013 (draft November 2013).

### **Individual UNIDO business partnerships**

#### **Microsoft**

- Project Document, Support Programme under the UNIDO-Microsoft framework agreement, XP/GLO/07/023, August 2007.
- Progress Report, Support Programme under the UNIDO-Microsoft framework agreement, XP/GLO/07/023, June 2008.
- Project Document, UNIDO-Business Partnership Programme, TE/GLO/08/023, August 2008.
- Progress Report, UNIDO-Business Partnership Programme, January 2009-August 2010, XP/GLO/08/022, September 2010.
- Progress Report, UNIDO-Business Partnership Programme, March 2010-October 2010, YA/GLO/08/021 and XP/GLO/08/022, October 2010.
- Progress Report, UNIDO-Business Partnership Programme, July-December 2010, TE/GLO/08/023, December 2010.
- Project Document, Design and Implementation of a Computer Refurbishment Centre in the Republic of Trinidad and Tobago, SF/TRI/09/001, July 2009.
- Factsheet: Real impact for better economic opportunity: Enabling innovation and jobs through ICT, UNIDO, 2012.

- Findings from previous evaluations regarding the business partnership with Microsoft, SF/NIR/09A0, based on Nigeria Country Evaluation report, 2011.
- Promoting Public-Private Partnerships: An innovative business model to foster pro-poor growth through Information and Communication Technology (ICT), UNIDO/Microsoft, 2008.

### **Hewlett Packard**

- Project Document, UNIDO\_HP Cooperation to deploy the GET-IT Programme in six African countries, TF/RAF/08/016 and YA/RAF/08/018, May 2008.
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- Service Summary Sheet and Results of UNIDO-HP partnership projects 2008-2010, TF/INT/11/015, June 2011.
- Factsheet: UNIDO-HP - Joining hands to provide business and IT training for job creation, UNIDO, 2012.
- Progress Report May 2010 – April 2011 (TFINT10004), 2011.
- Modified Project Document for the project entitled “UNIDO – Hewlett Packard cooperation for entrepreneurship and IT capacity building in Africa, Asia, Latin America, and the Middle East, August 2011.
- UNIDO-HP Partnership Programme, Success stories LIFE, 2011.
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- HP LIFE Program Process and Outcome Evaluation Report, USAID/ Equip, April 2012.

### **Metro Group**

- Factsheet: UNIDO-METRO GROUP- Improving livelihoods and sustainable food supplies through inclusive value chains, UNIDO, 2012.
- Project Document, July 2009 (UE/GLO/09/017).
- Progress Report November 2009 – January 2010, UE/GLO/09/017, February 2010.
- Progress Report January 2010 – October 2010, UE/GLO/09/017, November 2010.
- Progress Report August 2010 – October 2010, UE/GLO/09/017, November 2010.

### **Chevron**

- Factsheet: UNIDO-Chevron - Supporting the next generation of entrepreneurs in Angola, UNIDO, 2012.
- Independent UNIDO Evaluation - ECP Evaluation report, 2013 (draft November 2013).
- Findings from previous evaluations in connection with the business partnership with Chevron, based on Mozambique Country Evaluation report, 2011.

- Project Document, Technical Assistance for Angola's Entrepreneurship Curricula in Secondary Schools programme, November 2008.
- Progress report, January 2009 – September 2010.

### **Scania**

- Factsheet: UNIDO-SCANIA- Partnering for Employment & Economic Revival of Iraq's Industrial Manufacturing Sector, UNIDO, 2012.
- Project Document: Operations and industrial maintenance training academy project - A UNIDO – SCANIA partnership project to support economic recovery in Iraq, UNIDO/SCANIA, 2011.
- Service Summary Sheet, 2011.
- Annual report 2012 – Swedish Academy for Training Operations and Industrial Maintenance of Heavy Vehicles, 2013.

### **Samsung**

- Factsheet: UNIDO-SAMSUNG - Transforming e-waste into job and business opportunities, UNIDO, 2012.
- Project Document, Creating employment opportunities and ensuring effective e-waste management, July 2012.
- Trust Fund Agreement between UNIDO and Samsung Electronics, July 2012
- Project Steering Committee Meeting, Power Point Presentation, June 2013.

## **Multi-stakeholder partnerships**

### **Chemical Leasing**

- Project Document, Promotion and Implementation of Chemical leasing Business models in industry, UE/GLO/07/031, December 2007.
- Revised Project Document, Promotion and Implementation of Chemical leasing Business models in industry, UE/GLO/07/031, January 2009.
- Biannual report, Promotion and Implementation of Chemical leasing Business models in industry, UE/GLO/07/031, TE/GLO/09/012, UE/GLO/09/032, 2010.
- Annual Report, Promotion and Implementation of Chemical leasing Business models in industry, UE/GLO/07/031, TE/GLO/09/012, UE/GLO/09/032, 2010.
- Factsheet: Chemical Leasing- Redefining the sustainable management of chemicals, UNIDO, 2012.
- Applying Sustainability Criteria for Chemical Leasing Business Cases at the Global Level, Final Report / TGLO-09012, UNIDO/Bundesministerium für Umwelt, Naturschutz und Reaktorsicherheit, 2011.
- Final report on Applying Sustainability Criteria for the Chemical Leasing Business Cases at the Global Level, February 2011.
- Annual report 2012: Global Promotion and Implementation of Chemical Leasing Business Models in Industry.

### **3ADI**

- Factsheet: 3ADI - Agribusiness development for food security and poverty reduction, UNIDO, 2012.

- Independent Evaluation of the African (Accelerated) Agribusiness and Agro-industries Development Initiative (3ADI), UNIDO Evaluation Group, January 2014.
- Project document: Support to agribusiness and agro-industry development initiatives: Implementing the Three Frameworks, UNIDO, 2010.

### **The Green Industry Platform**

- Factsheet: The Green Industry Platform- An action-based initiative for a greener industrial footprint, UNIDO, 2012.
- Introducing the Green Industry Platform, UNIDO, 2012.

### **LKD Facility**

- Learning and knowledge development (LKD) facility: A Sida-UNIDO industrial skills development resource, Inception Report, Sida/UNIDO, 4.6.2013.
- PROJECT Steering Committee (PSC) - Learning and knowledge development (LKD) facility: A Sida-UNIDO industrial skills development resource, Terms of Reference (no date)
- LKD Facility—Proposals for the Monitoring and Evaluation System, Prepared by Philip Blue (no date).

## Annex 4: List of persons interviewed

### Persons interviewed at UNIDO HQ

<b>Name</b>	<b>Position</b>	<b>Business partnership</b>
Mr. Johannes Dobinger	Evaluation Officer, ODG/EVA	
Ms. Rana Fakhoury	Consultant, PTC/OMD	Business Partnership Group
Ms. Sabine Haspel	Consultant, PTC/OMD	Business Partnership Group
Mr. Chakib Jenane	Unit Chief and Deputy to the Director, PTC/AGR/AIT	Scania
Ms. Barbara Kreissler	Industrial Development Officer, PTC/OMD	Business Partnership Group Hewlett Packard Microsoft
Mr. Heinz Leuenberger	Director, PTC/EMB/OD	Green Industry Platform
Ms. Gabriele Ott	Industrial Development Officer, PTC/AGR/RES	Chevron
Mr. Gerardo Pataconi	Unit Chief, PTC/BIT/CBL	Metro Aeon
Mr. Karl Schebesta	Unit Chief, PTC/AGR/ABD	TetraLaval
Mr. Philippe Scholtes	Director and Officer in Charge PTC	Business Partnership Group
Ms. Petra Schwager	Industrial Development Officer, PTC/EMB/CPU	Chemical Leasing
Ms. Lelde Spuldzeniele	Consultant, PTC/BIT/CUP	Hewlett Packard
Ms. Nilguen Tas	Unit Chief and Deputy to the Director, PTC/BIT/CUP	
Mr. Dejene Tezera	Industrial Development Officer, PTC/AGR/ABD	Volvo
Ms. Virpi Stucki	Industrial Development Officer, PTC/AGR/AIT	LKD facility
Ms. Petra Wenitzky	Industrial Development Expert, PTC/BIT/CUP	Hewlett Packard

### Other UNIDO staff/ experts interviewed

<b>Name</b>	<b>Organization, Country</b>	<b>Position</b>	<b>Business partnership</b>
Ms. Gloria Adapon	UNIDO, Field Office Thailand	Industrial Development Officer	Samsung
Mr. Mahmoud Chouchene	HP Tunisia	HP LIFE Project Coordinator	Hewlett Packard
Mr. Alaa FAHMY	UNIDO, Egypt	National Programme Officer	Metro
Mr. Reinhard Joas	Bipro, Germany	UNIDO expert	Chemical Leasing

Mr. Patrick KORMAWA	UNIDO Regional Office, Nigeria	Representative and Director	Hewlett Packard
Mr. Erik Ladefoged	UNIDO, Swedish Academy for Training, Iraq	Project coordinator	Scania
Mr. Francis UKOH	UNIDO Nigeria	National UNIDO expert	Hewlett Packard

#### Persons interviewed from partnering companies

Name	Company, Country	Position	Business partnership
Ms. Sally Elsherif	Makro (Metro), Egypt	Head of Quality Assurance	Metro
Mr. Yongjae Kim	Samsung Electronics, Korea	Assistant Manager	Samsung
Ms. Daniela Opp	HP Germany	Global Manager Entrepreneurship Education HP LIFE	Hewlett Packard
Mr. Karl-F. Stuetzle	Safechem Europe, Germany	Former General Manager	Chemical Leasing
Mr. Gustaf Sundell	Scania Sweden	Former County Manager Iraq, Sales Director Asia and Pacific	Scania

#### Persons interviewed from government and implementing partners, donors and other UN organizations

	Organization/ Company, Country	Position	Business partnership
Mr. Branko Dunjic	Cleaner Production Centre, Serbia	Director	Chemical Leasing
Mr. Hany El Salamony	Agriculture and Agro-industries Technology Center (ATC), Ministry of Industry and Foreign Trade, Egypt	Executive Director and Global Project Coordinator	Metro
Mr. Arif Hito	Ministry of Labour and Social Affairs in the Kurdistan Regional Government	Director General for Social Insurance	Scania
Mr. Thomas Jakl	Ministry of Life, Austria	Deputy Director General	Chemical Leasing
Mr. Dohyun Park	Korea International Cooperation Agency (KOICA)	Climate Change Specialist and Program Manager	Samsung

Annex D: List of persons interviewed

Ms. Melissa Powell	UN Global Compact Office, New York	Head, Strategy and Partnerships	Global
Mr. Yok Sothy	National Technical Training Institute (NTTI), Cambodia	Director	Samsung
Ms. Anne Kullman	The Swedish International Development Cooperation Agency (SIDA)	SIDA Official	
Ms. Anna Rosendahl	The Swedish International Development Cooperation Agency (SIDA)	SIDA Official	
Ms. Sara Spånt	The Swedish International Development Cooperation Agency (SIDA)	SIDA Official	

## Annex 5: Evaluative material of UNIDO business partnerships

Evaluative material	Closed partnerships			Ongoing partnerships and multi-stakeholder partnerships									New partnerships		
	Fiat	BASF	Erikson	Microsoft	HP	Metro	Chevron	Scania	Samsung	ChL	GIP	3ADI	AEON	Calsberg	Volvo
Independent evaluation – INDIA – UNIDO Country Service Framework, 2007	■														
Independent evaluation - UGANDA - UNIDO Project UE/UGA/04/062, 2008				■											
Independent Evaluation UGANDA – UNIDO Integrated Programme, 2009				■											
Independent Country Evaluation India, 2011	■											■			
Independent UNIDO Country Evaluation – Federal Republic of Nigeria, 2011					■										
Independent Thematic Evaluation UNIDO's Contribution to the MDGs, 2012												■			
Independent UNIDO Country Evaluation - Republic of Kenya, 2013					■										
Independent evaluation – Russia, 2013						■								■	
Independent Evaluation - Technical Assistance for Angola's Entrepreneurship Curricula in Secondary Schools Programme (ECP), 2013							■								
3ADI Evaluation, 2013												■			
<span style="color: red;">■</span> partnership evaluation <span style="color: blue;">■</span> other type of evaluation															

Source: Evaluation Team, based on UNIDO documents.

## Annex F: Basic project data templates

3ADI – Agribusiness development for food security and poverty reduction							
<b>Industry/sector:</b> Agri-business (food & non-food commodities)		<b>Partnership Category:</b> Multi-stakeholder and Transformational Partnerships			<b>Beneficiaries:</b> MSMEs, training centers		
<b>Partnership objectives:</b> Value addition to food and non-food commodities along the entire supply chain, mostly in Least Developed Countries and countries in post-conflict situations.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>Value chain studies in 18 target countries completed</li> <li>Training centres in selected countries established</li> <li>Access to finance for target beneficiaries facilitated</li> </ul>							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Afghanistan, Brazil, Burkina Faso, Comoros, Democratic Republic of Congo, Ghana, Haiti, India, Liberia, Madagascar, Nigeria, Rwanda, Sierra Leone, Republic of the Sudan, Republic of South Sudan, Tanzania	UEGLO10016	Support to agri-business and agro-industry development initiatives: implementing the three frameworks	144,373 EUR	141,454 EUR	Closed	No direct input from businesses, since the partnership is a multi-stakeholder and transformational partnership. The 3ADI aims at enhancing the productivity and profitability of agribusinesses. In support of this goal, UNIDO designs and implements action-oriented technical assistance	<u>National Counterparts:</u> Ministries of Industry and Ministries of Agriculture in the target countries <u>Donors:</u> <ul style="list-style-type: none"> <li>FAO</li> <li>Government of Canada</li> <li>Government of the Czech Republic</li> <li>Government of Finland</li> <li>Government of Italy</li> <li>Government of Japan</li> <li>Government of Nigeria</li> </ul>
	TEGLO10017		560,094 EUR	556,603 EUR	Ongoing		
	USGLO10018	Support in the implementation of UNIDO's agri-business development strategy and the 3ADI programme	87,890 USD	87,890 USD	Closed		
	YAIN11025	Support to agri-business and agro-industry development initiatives: implementing the three frameworks	209,609 EUR	209,609 EUR	Closed		
	YAIN11026	Support to agri-business and agro-industry development initiatives: implementing the three frameworks	140,607 EUR	140,607 EUR			

TFGLO12022	Agro-industry development initiatives – contribution from FAO	13,274 USD	10,978 USD	Closed	programmes and provides integral policy support.	<ul style="list-style-type: none"> <li>• MDG Fund</li> <li>• One UN Fund</li> </ul> <p><u>Implementing partners:</u></p> <ul style="list-style-type: none"> <li>• AfDB</li> <li>• FAO</li> <li>• IFAD</li> </ul>
FMAFG09002	Nutrition and Household Food Security in Afghanistan	447,500 USD	434,206 USD	Ongoing		
TFZAI11001	Bringing Support to the National Reconstruction Programme of DRC for Livelihoods Recovery and Peace Building	1,130,130 USD	1,078,302 USD	Completed		
TFZAI12001	Developing the Agro-Processing Sector for Livelihoods Recovery, Jobs Diversification and Peace-Building	1,150,443 USD	969,746 USD	Completed		
SAP 120624	Supporting Nigeria's Staple Crop Processing Zones (SCPZs)	1,234,300 USD	745,070 USD	Ongoing		
FBRWA08G01	One UN Programme for Rwanda - Capacity Building Through Technical Assistance Programs for Mainly Artisans in Leather Products Development, Component 4.1.10	417,450 USD	419,108 USD	Ongoing		

	FBRWA08H01	One UN Programme for Rwanda - Capacity Building for the PSF and MSMEs Associations Mainly Through Technical Assistance Programs, Component 4.2.1	288,496 USD	272,771 USD	Ongoing	
	FBRWA08K01	One UN Programme for Rwanda - Dairy Component	28,037 USD	27,707 USD	Ongoing	
	TFSIL11002	Rehabilitation of Training-Cum-Production Centres in Vulnerable Communities of Koindu, Kpandebu and Pujehun in Sierra Leone	1,167,412 USD	1,188,059 USD	Completed	
	TESUD12006	Technical Assistance to Establish a Model Tannery Treatment Plant (Primary)	277,334 USD	55,212 USD	Ongoing	
	FBURT11D04	Country Framework of Support to UNDAP 2011-2015 - Economic Growth	336,706 USD	283,775 USD	Ongoing	
	FBURT11E04		993,451 USD	511,728 USD		
	FBURT11F04		243,254 USD	158,597 USD		
	TFGUI12003	Supporting Job Training for Youths in Guinea	2,091,521 USD	1,044,479 USD	Ongoing	

	TFSUD11003	Sustainable Food Security Through Community-Based Livelihood Development and Water Harvesting	2,584,058 USD	1,727,147 USD	Ongoing		
	TESUD12006	Technical Assistance to Establish a Model Tannery Treatment Plant (Primary)	277,334 USD	55,212 USD	Ongoing		

AEON Group							
<b>Industry/sector:</b> Retail		<b>Partnership Category:</b> Core business and value chain partnership			<b>Beneficiaries:</b> Malaysian suppliers (MSMEs and small farms), local institutions and experts		
<b>Partnership objectives:</b> Facilitating the access of clusters of suppliers to profitable new market opportunities, thus increasing the availability of safe and sustainable products and improving livelihoods.							
<b>Partnership results</b> (if already achieved): Implementation started in January 2013; joint declaration signed in June 2013.							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Malaysia		Sustainable Supplier Development Programme (SSDP): a public-private partnership to increase safe and sustainable sourcing and business linkages between suppliers in Malaysia and Japanese retailers	500,000 USD		(2012-14, ongoing)	<u>In-kind:</u> 100,000USD	<u>National Counterparts:</u> <ul style="list-style-type: none"> <li>Ministry of International Trade and Industry (MITI)</li> <li>Federation of Malaysian Manufacturers</li> </ul> <u>Donors:</u> <ul style="list-style-type: none"> <li>Government of Japan</li> </ul> <u>Implementing partners:</u> <ul style="list-style-type: none"> <li>University of Kebangsaan (UNIQ)</li> <li>Small and Medium Enterprise Cooperation (SME Corp.)</li> </ul>

Carlsberg (Baltika)							
Industry/sector: Retail		Partnership Category: Core business and value chain partnership			Beneficiaries:		
Partnership objectives: Catalysing market transformation of breweries from a natural resource consuming industry to a pro-active steward for resource efficient cleaner production.							
Partnership results (if already achieved): Declaration of intent was only signed in September 2013.							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs	Partners (national counterparts, donors, implementing partner)
Russia		Promoting resource efficient cleaner production along the entire brewery value chain	6,000,000 USD (planned)	—	(2013-18, ongoing)	Over the next five years, Baltika Breweries will invest 30 million USD in resource efficient cleaner production and pollution reduction to improve the direct and indirect environmental footprint of all of its breweries in Russia.	<u>National Counterparts:</u> ? <u>Donors:</u> GEF <u>Implementing partners:</u> <ul style="list-style-type: none"> <li>Centre for International Industrial Cooperation in the Russian Federation</li> <li>Volga International Cleaner Production Centre</li> <li>St. Petersburg National Cleaner Production Centre</li> </ul>

Chemical Leasing <sup>40</sup>							
Industry/sector: Any sector using chemicals			Partnership Category: Multi-stakeholder and Transformational Partnerships			Beneficiaries: Private companies	
Partnership objectives: A win-win situation for both business and the environment.							
Partnership results (if already achieved):							
<ul style="list-style-type: none"> <li>Methodology, tools and sustainability criteria developed</li> <li>Over 40 projects successfully implemented (reduction of the use of chemicals)</li> <li>Global Chemical Leasing Award launched</li> </ul>							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Brazil, Colombia, Croatia, Egypt, Mexico, Morocco, Nicaragua, Russia, Serbia, Sri Lanka, Uganda, Ukraine	UEGLO0703 1	Promotion and implementation of chemical leasing business models in industry	207,734 EUR	204,071 EUR	2007-2011; closed	No direct input from businesses, since the partnership is a multi-stakeholder and transformational partnership. UNIDO has a conveying role to link up businesses and to provide the chemical leasing business model through its NCPCs.	<u>Donors:</u> <ul style="list-style-type: none"> <li>Austrian Federal Ministry for Agriculture, Forestry, Environment and Water Management</li> <li>German Federal Ministry for the Environment, Nature Conservation and Nuclear Safety</li> </ul> <u>Implementing partner:</u> <ul style="list-style-type: none"> <li>UNIDO/ UNEP Global Resource and Efficient Cleaner Production Network (NCPCs)</li> </ul>
	UEGLO0902 3		132,743 EUR	131,482 EUR			
	TEGLO0901 2		68,670 EUR	68,670 EUR			

<sup>40</sup> Business partners are suppliers and users of chemicals.

Chevron							
<b>Industry/sector:</b> Oil and Gas, Mining		<b>Partnership Category:</b> Social Investment and Philanthropy Partnerships		<b>Beneficiaries:</b> students, teachers, education officials			
<b>Partnership objectives:</b> Building a foundation for a sustainable private sector by introducing entrepreneurship curricula in secondary education.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>• Entrepreneurship curriculum materials developed and approved for pilot testing</li> <li>• 139 teachers trained and qualified to teach entrepreneurship</li> <li>• 70 education officials trained to implement entrepreneurship curriculum</li> <li>• More than 10,000 students learning entrepreneurship in secondary pilot schools</li> </ul>							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status (e.g. 2012-14; ongoing/closed)	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Angola	USANG08001	Technical assistance for Angola's entrepreneurship curricula in secondary schools programme	353,982 USD	258,739 USD	Ongoing	Cash contribution: 1 mio. USD In-kind: 250,00USD (estimate)	<u>National counterparts:</u> <ul style="list-style-type: none"> <li>• Ministry of Education</li> </ul> <u>Donors:</u> <ul style="list-style-type: none"> <li>• Government of the Republic of Korea</li> <li>• Government of Portugal</li> <li>• UNDP</li> </ul> <u>Implementing partner:</u> <ul style="list-style-type: none"> <li>• National Institute for Educational Research and Development (INDE)</li> </ul>
	USANG08002		353,982 USD	328,261 USD	Ongoing		
	XPANG08003		72,597 EUR	72,597 EUR	Closed		
	TFANGI0001		884,956 USD	637,874 USD	Ongoing		

<b>Green Industry Platform<sup>41</sup></b>							
<b>Industry/sector:</b> All sectors		<b>Partnership Category:</b> Multi-stakeholder and Transformational Partnerships			<b>Beneficiaries:</b> governments, businesses, civil society and international organizations		
<b>Partnership objectives:</b> To bring together business, government and civil society at the highest levels, in an effort to scale up and mainstream the application of Green Industry policies and practices throughout global manufacturing.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>Launched on June 16th 2012 at the United Nations Conference on Sustainable Development (Rio+20)</li> <li>Over 160 signatories and rapidly growing</li> <li>Business plan for 2013-2014 adopted</li> </ul>							
<b>Geographic scope</b>	<b>Number(s)</b>	<b>Project Title</b>	<b>Allotment</b>	<b>Expenditures</b>	<b>Project duration and status</b>	<b>Business inputs</b> (e.g. in-kind, financial resources, etc.)	<b>Partners</b> (national counterparts, donors, implementing partner)
Global	XPGLO10005 SAP ID: 104151	Follow-up and implementation of green industry initiative	372,000 EUR	369,569 EUR	2010-12; closed	No direct input from businesses, since the partnership is a multi-stakeholder and transformational partnership. UNIDO has a convening role and, through the platform, aims at promoting the creation of new green industries and help existing industries improve their contributions to economic development and to ecological protection.	<u>Implementing partner:</u> UNEP <u>Additional stakeholders (globally):</u> Governments, CSOs, Academia, International Organizations
	XPGLO12008 SAP ID: 120023	Preparatory meeting for the launch of the GIP and the dissemination of green industry concepts at RIO+20 and B20 summit	62,000 EUR	61,972 EUR			
	XPGLO12035 SAP ID: 120107	UNIDO green industry initiative Phase II	300,000 EUR	279,171 EUR	2012-14; ongoing		
	GFGLO12036 SAP ID: 120107		100,000 USD	76,594 USD			
	TEGLO12049 SAP ID: 120107		176,991 EUR	125,095 EUR			

<sup>41</sup> Business partners are more than 150 signatories from all geographies, sizes and sectors.

<b>Hewlett Packard</b>							
<b>Industry/sector:</b> Information technology		<b>Partnership Category:</b> Social Investment and philanthropy partnership			<b>Beneficiaries:</b> students, trainers, entrepreneurs, local training centers in the partner countries		
<b>Partnership objectives:</b> Provide business and IT training to enhance job creation and entrepreneurship development.							
<b>Partnership results:</b> Created over 20,000 jobs, trained more than 50,000 students, set up 122 LIFE centres in 15 countries, certified more than 270 trainers.							
<b>Geographic scope</b>	<b>Number(s)</b>	<b>Project Title</b>	<b>Allotment</b>	<b>Expenditures</b>	<b>Project duration and status</b>	<b>Business inputs</b> (e.g. in-kind, financial resources, etc.)	<b>Partners</b> (national counterparts, donors, implementing partner)
Inter-regional:  Algeria, Brazil, China, Colombia, Egypt, India, Kenya, Morocco, Nigeria, Saudi Arabia, South Africa, Tunisia, Turkey, UAE, Uganda	TFRAF08016	UNIDO - HP cooperation to deploy the GET-IT programme in 6 African countries in 2008-2009	67,065 USD	67,065 USD	2008-09; closed	<b>HP</b> <u>In-kind:</u> 5 mio. USD (contributions to GET-IT and LIFE centers, 2008-09) <u>Cash contribution:</u> 1,422,344 USD <b>National training centers</b> <u>In-kind:</u> training room, time of trainers, technical support for granted equipment and software, assignment of a project leader, reporting, access to defined target group;	<b>Implementing partners:</b> • Education Development Center, Inc. (EDC) • Micro-Enterprise Acceleration Institute (MEA-I) • National training centers (122 LIFE centers in 15 countries)
	YARAF08018		21,800 EUR	21,800 EUR			
	TFINT09003	UNIDO - HP cooperation for youth entrepreneurship development in Africa and the Middle East	191,920 USD	191,920 USD	2009-10; closed		
	XPINT09004		5,741EUR	5,741EUR			
	YAIN09005		33,881EUR	33,881EUR			
	TFINT10004 SAP: 102087	UNIDO - HP cooperation for entrepreneurship and IT education in Africa, Asia, Latin America and the Middle East	230,000 USD	223,428 USD	2010-11; operationally completed		
TFINT11015 SAP: 102173	536,585 USD		322,353 USD	2011-ongoing			
Tunisia	TFTUN12004	Facilitating youth employment through entrepreneurship and enterprise development in 4 vulnerable regions of Tunisia – supports HP LIFE programme in the scope of UNIDO-HP partnership	USD 1027434 (for HP LIFE component)	500,000 USD	On-going	Cash contribution USAID	Government Partner: Ministry of Industry, Implementing partner UNIDO

<b>Metro</b>							
<b>Industry/sector:</b> Retail		<b>Partnership Category:</b> Core Business and Value Chain partnerships			<b>Beneficiaries:</b> food suppliers		
<b>Partnership objectives:</b> Enable clusters of suppliers in developing countries to gain access to profitable new market opportunities and establish long-lasting business linkages with potential buyers.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>• Cost-sharing business model developed and implemented</li> <li>• Egypt: 90 suppliers upgraded; India: 10 suppliers upgraded; Russia: 22 suppliers upgraded</li> <li>• Upgraded SMEs have shown a significant improvement in the compliance with basic food safety standards (45% increase) as well as in their individual competencies (14% increase in performance) and were accepted as reliable METRO suppliers</li> <li>• The partnership served as a basis to develop a global Sustainable Supplier Development Programme (SSDP) which UNIDO will also implement in partnership with other private sector companies and their suppliers throughout the world</li> </ul>							
Geographic scope	The business partnership was implemented under the following different projects:		Allotment	Expenditures	Project duration and status (e.g. 2012-14; ongoing/closed)	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
	Number(s)	Project Title					
Egypt		There is no project document				In-kind contributions from METRO	<u>National counterpart:</u> <ul style="list-style-type: none"> <li>• Egyptian Ministry of Trade and Industry</li> </ul>
India		There is no project document					

Russia		There is no project document					<p><u>Donors:</u></p> <ul style="list-style-type: none"> <li>• Government of Italy</li> <li>• Government of the Netherlands</li> <li>• Industrial Modernization Center (IMC) Egypt</li> </ul> <p><u>Implementing partner:</u></p> <p>Egyptian Traceability Centre for Agro-Industrial Exports (ETRACE/ATC) (established in 2004 by UNIDO and the Egyptian Ministry of Trade and Industry)</p>
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<b>Microsoft</b>									
<b>Industry/sector:</b> Computer Software and Technology			<b>Partnership Category:</b> Core Business and Value Chain partnerships			<b>Beneficiaries:</b> MSMEs			
<b>Partnership objectives:</b> Enabling social and economic empowerment in Africa									
<b>Partnership results</b> (if already achieved):									
<ul style="list-style-type: none"> <li>• Network of rural Business Information Centres established to foster IT training and usage</li> <li>• Electronic waste programme initiated to address responsible IT recycling practices</li> <li>• Microsoft Innovation Centre inaugurated to promote local software industry</li> </ul>									
<b>Geographic scope</b>	<b>Number(s)</b>	<b>Project Title</b>	<b>Allotment</b>	<b>Expenditures</b>	<b>Project duration and status</b>	<b>Business inputs</b> (e.g. in-kind, financial resources, etc.)	<b>Partners</b> (national counterparts, donors, implementing partner)		
Africa	XPGLO07023	Support programme under the UNIDO-Microsoft partnership framework agreement	162,000 EUR	161,153 EUR	2007-08; closed	<ul style="list-style-type: none"> <li>• Cash contributions: 300,000USD</li> <li>• In-kind contributions</li> </ul>	N/A		
	YAGLO08021	UNIDO - business partnership programme: ICT for development	147,700 EUR	147,169 EUR	2008-09; closed		<ul style="list-style-type: none"> <li>• Cash contributions: 300,000USD</li> <li>• In-kind contributions</li> </ul>	<u>National counterpart and implementing partner:</u> Ugandan Ministry of ICT and Ministry of Industry and Technology  <u>Other stakeholders:</u> Relevant local private and public sector entities in selected African countries.	
	XPGLO08022 SAP 102152		41,300 EUR	38,564 EUR	2008-11, closed				
	TEGLO08023 SAP 102057		193,262 EUR	113,005 EUR	2008-13; closed				
	SFNIR09A01 SAP 102052		Country Programme for Nigeria 2009 – 2012: Component – Industrial Information System and Computer Refurbishment	280,000 USD	230,214 USD				2009-xx; Ongoing
	SFTRI09001	Design and implementation of a computer refurbishment centre in the Republic of Trinidad and Tobago	112,750 USD	51,545 USD	2009-11; closed				<u>National counterpart and implementing agency:</u> Ministry of Public Administration (MPA)  Support also from the Commonwealth Secretariat

Samsung Electronics							
<b>Industry/sector:</b> Electronics		<b>Partnership Category:</b> Core Business and Value Chain partnerships		<b>Beneficiaries:</b> Disadvantaged youths, local trainers and experts from the private and public sector, EEE and WEEE business related company/retailers and repair shops			
<b>Partnership objectives:</b> Create employment and ensure effective e-waste management.							
<b>Partnership results, Inception Phase:</b>							
<ul style="list-style-type: none"> <li>Capacities built for project beneficiaries on installation and repair skills for 5 priority products: mobile phone, air conditioner, television, refrigerator and washing machine in 5 pilot areas</li> <li>Trained 30 local master trainers (TOT as a strategy for capacity building)</li> <li>About 110 unemployed youths capacitated from 5 pilot target provinces</li> <li>Improvement and availability of baseline information on e-waste management and for waste and non-waste related businesses as basis for tailored fit interventions</li> <li>Local and institutional capacity building strategy developed for effective e-waste management and for job creation</li> </ul>							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Cambodia	TFCMB12001 (SAP ID 120011)	Creating employment opportunities and ensuring effective e-waste management	707,965 USD	236,370 USD	2012-15; ongoing	<u>Cash contribution from Samsung:</u> 300,000 USD <sup>42</sup>	<u>National counterparts:</u> <ul style="list-style-type: none"> <li>Ministry of Environment (MOE)</li> <li>Ministry of Labor and Vocational Training</li> </ul> <u>Donors:</u> <ul style="list-style-type: none"> <li>Korea International Cooperation Agency (KOICA)</li> </ul> <u>Implementing partners:</u> <ul style="list-style-type: none"> <li>Min of Environment (MOE) – through Department of Pollution Control</li> <li>Ministry of Labor and Vocational Training (MOLVT) – through National Technical Training Institute</li> </ul>

<sup>42</sup> This cash contribution covers: provision of int'l experts, equipment for skills trainings focus on "Installation and repair services", technical workshops, curriculum development, technical exchanges, ToT and study tours as part of the overall capacity building strategy

	TFCMB120 03 (SAP ID 120011)		176,951 88,496 USD	117,100 USD			<ul style="list-style-type: none"> <li>• Local Academic institutions</li> <li>• NGOs</li> <li>• Business associations- for MSMEs related interventions</li> </ul>
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Scania							
<b>Industry/sector:</b> Heavy Duty and Industrial Vehicles		<b>Partnership Category:</b> Core business and value chain partnership			<b>Beneficiaries:</b> youths, private sector, trainers from MoLSA Training Centers		
<b>Partnership objectives:</b> To train and enhance the skills of local heavy equipment mechanics for Iraqi industry.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>• Swedish Academy for Training opened in April 2012</li> <li>• Curriculum developed, training materials and equipment in place, first round of training complete</li> <li>• Over 300 beneficiaries are trained annually, with 30% female participation in courses</li> <li>• Graduates are supported in finding jobs within local industry</li> </ul>							
Geographic scope	SAP ID 101100	Project Title	Allotment (3 tranches)	Consumed Budget	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Iraq	TFIRQ11001	Operations and Industrial Maintenance Training Academy	\$ 2,021,495.65	<b>\$ 1,501,878</b>	2011-14; ongoing	<p><b>Scania</b></p> <p><u>Financial contribution:</u> 1,600,000USD</p> <p><b>Education First (EF)</b></p> <p><u>In-kind:</u> EF is providing the Academy with access to its online English language school and virtual teacher-led classes, at no cost.</p>	<p><u>National counterparts:</u> Kurdistan Regional Government Ministry of Labour and Social Affairs (MoLSA-KRG)<sup>43</sup></p> <p><u>Donors</u> Swedish International Development Cooperation Agency (Sida)</p> <p><u>Implementing partners</u> MoLSA Training Centers</p> <p><u>Other stakeholders:</u> Education First (EF)</p>

<sup>43</sup> MoLSA-KRG is providing 1,365,000USD in-kind contributions (assignment of counterpart personnel and administrative staff, provision of buildings and facilities, allocation of operating expenses necessary for the implementation of the project).

Volvo							
<b>Industry/sector:</b> Automotive		<b>Partnership Category:</b> Core Business and value chain partnership			<b>Beneficiaries:</b> youths, private sector		
<b>Partnership objectives:</b> Specialised skills development to improve access of Ethiopian youth to employment opportunities in advanced commercial vehicle maintenance through training.							
<b>Partnership results</b> (if already achieved):							
<ul style="list-style-type: none"> <li>• Curricula developed and approved by the Government;</li> <li>• Operational standards for the training produced;</li> <li>• The workshop was refurbished (workshop);</li> <li>• 27 students have completed their first year of training, all the students have undertaken apprenticeships in relevant industries to gain experience;</li> <li>• 6 Trainers have been trained in Ethiopia</li> </ul>							
Geographic scope	Number(s)	Project Title	Allotment	Expenditures	Project duration and status	Business inputs (e.g. in-kind, financial resources, etc.)	Partners (national counterparts, donors, implementing partner)
Ethiopia	TEETH12001 SAP: 120211	A private-public partnership project: training academy in heavy duty equipment and commercial vehicles in Ethiopia	2,192,200USD	251,203USD	2012-16; ongoing	<u>Volvo:</u> 2,740,714USD (in-kind contribution/ equipment) <u>SELAM:</u> 339,000USD (in-kind) SIDA: 2.1million USD (curricula development, trainers...) SELAM: utilities, buildings	<u>National counterparts:</u> <ul style="list-style-type: none"> <li>• Ministry of Industry</li> <li>• Ministry of Education</li> </ul> <u>Donor:</u> Swedish International Development Cooperation Agency (SIDA) <u>Implementing partner:</u> Selam children's Village (SCV)/ Selam Vocational College

## Annex G: Terms of Reference

3 July 2013



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

### TERMS OF REFERENCE THEMATIC EVALUATION UNIDO's PUBLIC PRIVATE PARTNERSHIPS

SAP ID 130052

#### I. Background

##### *Introduction*

The UNIDO Executive Board has mandated the UNIDO Evaluation Group to conduct a thematic evaluation of UNIDO's Public Private Partnerships (PPPs). Subsequently, this thematic evaluation was included in the work programme of the UNIDO Evaluation Group for 2012/2013.

The evaluation will assess the performance and results of a range of (i) ongoing individual UNIDO public-private partnerships (PPPs), also referred to as business partnerships, in particular: Microsoft Corporation, Hewlett Packard, Metro Group, Chevron Corp, Scania CV AB. Also (ii) other partnerships that started recently or are in the pipeline (Samsung Carlsberg, Volvo, Aeon) will be included as this evaluation is a forward looking exercise and given the importance to capture how the programme/portfolio is evolving. Moreover, it will review (iii) ongoing multi-stakeholder and transformational partnerships, namely the Accelerated Agri-business and Agro-industries Development Initiative (3ADI), UNIDO Chemical Leasing activities, and UNIDO's Green Industry Platform that each involve cooperation with private partners. Furthermore, the evaluation will cover (iv) an overall assessment of the UNIDO Business Partnership Programme, including lessons learned since its inception. In this respect the desk review will include a brief analysis of some of the first partnership experiences, in particular work done with Fiat in India.

##### *Public private partnerships with UNIDO*

###### Concept

UNIDO defines PPPs as non-commercial collaboration between UNIDO and private sector entities, which have the purpose of achieving common goals and objectives in the field of industrial development. Such partnerships can involve two or more parties, including business and industry, academia, governments and local authorities, NGOs and intergovernmental organizations.

Here, the “private sector” is defined as

- v) Individual, for-profit, commercial businesses or companies, including SMEs and cooperatives, whether national or multinational
- vi) State-owned enterprises to the extent that they behave or operate as commercial businesses or companies
- vii) Corporate foundations, directly funded and/or governed by business
- viii) Business associations, trade and/or industry representations, and business-led groups or initiatives aimed at promoting corporate citizenship.

The UNIDO partnership programme distinguishes three partnership models which it defines as follows:<sup>44</sup>

- Core Business and Value Chain Partnerships: *harness the core strengths of the private sector and/or aim for changing the way businesses operate to be more in line with social, environmental and development goals*
- Social Investment and Philanthropy Partnerships: *provide the UN system with different types of support, including traditional philanthropy, social venture funds, hybrid or blended-value financing mechanisms, employee volunteers or contribute core business expertise, products or services to the public cause*
- Multi-stakeholder and Transformational Partnerships: *enable dynamic processes for issue-focused consultation and scalable operations among numerous private and public parties, as well as including private sector representatives in their governance structures.*

UNIDO partnerships can also be thematically classified:

- Agro-industries, Business Investment & Technology Partnerships
- Environment Management Partnerships
- Energy & Climate Change Partnerships

#### Background and evolution of the programme

UNIDO was among the “early adopters” in the UN system to develop a new model of technical assistance following a PPP modality. The first business partnership was launched in 1999 with FIAT and focused on supplier upgrading in the automotive components industry in India.<sup>45</sup> Since then UNIDO has made great strides in strengthening its collaboration with the private sector, particularly during the past decade when MoU’s were signed with several private companies.

Table 1 below lists in chronological order the past and ongoing partnerships covering collaboration in a range of sectors and types of joint interventions in different developing regions/countries. For more information on each of the *ongoing* partnerships reference is made to Annex B.

<sup>44</sup> Source: UNIDO Business Partnerships, Partnering for Prosperity, 2012

<sup>45</sup> Cf. Note on Cooperation between the Government of India, FIAT and UNIDO, May 2013

**Table 1. UNIDO PPPs (to be completed/updated)**

<b>UNIDO business partnership with</b>	<b>Partnership model</b>	<b>Launching (signing of MoU) and status</b>	<b>Allotment (USD)<sup>46</sup></b>	<b>Expenditure (USD)<sup>47</sup></b>
FIAT	Core Business and Value Chain Partnership	1999 (closed)	x	x
Ericsson	Core Business and Value Chain Partnership	2000 (closed)	x	x
BASF	Core Business and Value Chain Partnership	2002 (closed)	x	x
Microsoft Corporation	Core Business and Value Chain Partnership	2006	1,021,368	847,419
Hewlett Packard	Social Investment and Philanthropy Partnership	2008	1,376,739	866,188
Metro Group	Core Business and Value Chain Partnership	2009	1,017,160	930,960
Chevron	Social Investment and Philanthropy Partnership	2010	1,685,634	1,317,588
Scania CV AB	Core Business and Value Chain Partnership	2011	1,492,916	1,235,454
Samsung	Core Business and Value Chain Partnership	2012	796,461	127,387
Kuoni Group	Core Business and Value Chain Partnership	2009	64,935	64,935
Chemical Leasing	Multi-stakeholder and Transformational Partnership	2005	522,522	516,233
3ADI (including Louis Dreyfus); TetraLaval	Multi-stakeholder and Transformational Partnership	2010	1,448,100	1,437,617
The Green Industry Platform	Multi-stakeholder and Transformational Partnership	2012	1,037,391	785,022

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<sup>46</sup> Source: Infobase (as at 12-2012)

<sup>8</sup> *ibid*

Partnership agreements signed recently include AEON (2012), Carlsberg (2012), Volvo (2012), Louis Dreyfus Commodities (2013) and Philips (2013). There are also ongoing discussions with companies, such as Ernst & Young.

These partnerships vary in nature and focus and cover a range of strategic areas of interventions to build local productive capacities, enhance social inclusion and promote environmental sustainability. More precisely partnerships can consist of:

- developing innovative services to meet the needs of low-income groups and micro, small and medium-sized enterprises (e.g., partnership with Microsoft)
- specialized training and skills development (e.g., partnership with Scania)
- promoting entrepreneurship (e.g., partnership with HP)
- building inclusive and sustainable value chains (e.g. partnership with Metro)
- enhancing compliance with international standards (e.g., partnership with Metro)
- promoting the efficient use of energy and raw materials (“green industry”) (e.g., partnership under Chemical Leasing)
- promoting access to affordable and renewable energy. (e.g. recent partnership with Philips).

### Strategic engagement

The commitment of UNIDO management to PPP has been shown in different ways over time. First, based on the first “tests” (FIAT, Ericsson, BASF), the organization decided to join the Global Compact in 2003 (see below). At the request of PTC/OMD, a “Strategic Framework for UNIDO partnerships with multinationals and private foundations” (Strategic Framework) was developed, based on a stock taking of UNIDO business partnerships along with a mapping of best practices in dealing with business partnerships across the UN system. The Strategic Framework included a gap analysis and a recommended course of action that was approved by the Executive Board in 2011. This Framework highlights that business partnerships are critical to ensuring effective and sustainable results for industrial development, and are likely to further grow in importance.

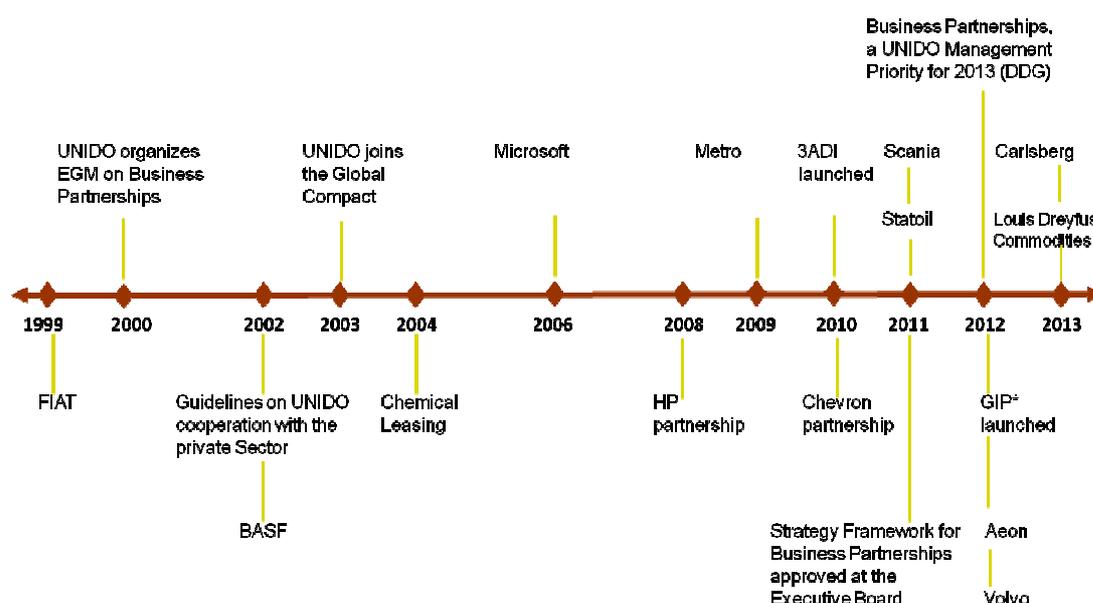
The Strategic Framework also fostered the establishment of a Business Partnerships Group (BPG) that was provided with an initial core budget of € 200.000 (12 months period, 2012) to implement the framework. The budget was to be used for consultancy services, UNIDO staff training on the development and management of business partnerships (2012), participation in/organization of relevant events (such as the annual UN System Private Sector Focal Points meeting), cost-sharing of a UN-wide due diligence service to screen partners, and communication related activities. A Core Working Group (inter-divisional) established to serve as an advisory body of the BPG has met on a regular basis and reported on its meetings.<sup>48</sup> A renewed budget of € 200.000 (2013) was approved by the Executive Board in March 2013 and aimed at pursuing and expanding the work of the BPG.

A “UNIDO Policy for Business Partnerships” has been prepared and was issued in 2013 as a Director-General’s Bulletin. The Policy aimed at (i) providing overall guidance on the establishment of business partnerships, (ii) making due diligence screening mandatory and (iii) synchronizing internal processes related to business partnerships.

Graph 1 sums up the evolution of the programme and includes the main milestones illustrating UNIDO’s engagement in this field.

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<sup>48</sup> Project document of XP/GLO/11/020 (2011) and of its successor phase (2013)



### The wider context: UN partnering with the private sector

UNIDO is actively involved in UN wide exchanges on the PPP modality, which is facilitated by “The Global Compact”. It was the former UN Secretary-General, Kofi Annan, who officially launched the UN Global Compact initiative in July 2000, with a view to strengthening the partnership between the UN system and the private sector. With meanwhile over 5,000 business participants and 2,000 other stakeholders from civil society, academia, labor and other sectors, the Global Compact has become the world’s largest corporate responsibility initiative. It provides a common platform of shared information resources and technical tools for UN agencies (e.g. the Partnership Assessment Tool).

UNIDO joined the Global Compact in 2002 and the head of the BPG is the Focal Point in UNIDO. Since UNIDO joined the initiative, there has been an active and regular participation in the meetings of the Private Sector Focal Point (UN PSFP) Network. The network is designed to facilitate frequent interaction of network members and build coherence on and capacities for UN-private sector engagement. UNIDO also contributes to the biennial report of the Secretary-General, prepared by the UN Global Compact Office, under the General Assembly agenda item Towards Global Partnerships.

The increase in cooperation with the private sector of the United Nations at large coincides with growing private investment flows to and within developing countries (largely exceeding ODA) and a growing readiness on the part of the private sector to assume a more active role in the development process and becoming active development actors. Many private sector actors now recognize the advantages of practicing good corporate citizenship and to join forces with the United Nations.

The importance of the private sector in growth and poverty reduction has been widely acknowledged and came out clearly in the outcome document of the 4<sup>th</sup> High Level Forum on Aid Effectiveness held in Busan (Republic of Korea) in 2011. The partnership principle involving the widest range of actors, including the private sector, to foster development, is at the core of the commitments made in Busan.

Also the Rio+20 conference (2012) put emphasis on partnerships with the private sector as a capacity building vehicle. The Rio+20 Outcome document has an explicit reference

in this regard:" we invite all relevant agencies of the United Nations system and other relevant organizations to support developing countries and, in particular, least developed countries in capacity-building for developing resource-efficient and inclusive economies, including through: (d) promoting public-private partnerships".<sup>49</sup>

## II. Rationale and purpose

The purpose of this thematic evaluation is to assess the value added to partner countries and UNIDO (in terms of mobilizing additional funding and expertise), the relevance and the effectiveness of UNIDO's business partnerships and to identify best practices and benchmarks to feed into a possible expansion of the programme. It will serve the purpose of learning, by UNIDO and its partners, and be forward looking, thus also guiding the development of new partnerships. Considering the growing importance of the business partnerships initiatives, the findings of the evaluation are expected to be made available at the 2013 UNIDO General Conference.

The evaluation is linked to other evaluations planned for 2013, namely the evaluation of the 3ADI (*the African - Accelerated - Agribusiness and Agro-industries Development Initiative*) and the evaluation of the partnership with Chevron in Angola, which encompasses the introduction of entrepreneurship curricula in secondary education in Angola. Both will feed into the PPP evaluation. Moreover, the evaluation will benefit from country evaluations conducted by UNIDO that covered business partnership interventions, such as the ones covering India, Nigeria, Russia and Uganda. Also a recent overview of partnership approaches and lessons compiled by the Donor Committee for Enterprise Development (DCED, March 2013) will allow for reviewing the positioning of UNIDO's approach in the landscape of business partnerships of donors/development agencies.<sup>50</sup>

## III. Scope and focus

The evaluation will encompass an overall review of the overall UNIDO partnership programme and reviews of ongoing individual and multi-stakeholder partnerships. It will also synthesize findings from previously conducted evaluations which have covered the performance of individual business partnerships.

The analysis of the *individual and multi-stakeholder partnerships* will cover the standard evaluation criteria: ownership and relevance and if possible effectiveness, efficiency, sustainability, and impact. Also cross-cutting issues will be covered, in particular gender equality, CSR, and environmental sustainability. The *programme-wide review* will include an inventory, portfolio analysis and, in addition, look at the relevance, effectiveness, sustainability and efficiency of business partnerships as a technical cooperation modality and funds mobilization mechanism. It will assess the UNIDO strategic framework and institutional arrangements governing the programme, including set-up of the current Business Partnership Group, its resources and linkages with (i) other branches and units and (ii) other UN agencies/functions actively engaged in business partnerships. UNIDO's business partnership strategy will be reviewed against UNIDO wide strategies and programmes and UN wide modalities and practices in the area of business partnerships, including those related to the Global Compact.

The evaluation will cover the UNIDO PPP programme since its inception. While it will analyse some of the first partnerships to get the historical perspective and tap into the

<sup>49</sup> Quoted in Project Document XP/GLO/11/020 (2013), p. 3.

<sup>50</sup> The Donor Committee for Enterprise Development (DCED), M. Heinrich, Donor Partnerships with Business for Private Sector Development: what can we learn from experience?, Working Paper, March 2013

lessons learned (in particular the case of Fiat), emphasis of the review will be on the ongoing PPPs and in particular those listed below:

### **Individual Partnerships**

- **UNIDO-Microsoft Corporation:** “Real impact for better economic opportunity: Enabling innovation and jobs through ICT”:

*UNIDO and Microsoft have been engaging in a strategic partnership since 2006. The ongoing cooperation focuses on fostering local innovation and promoting the growth of small businesses in Africa through the innovative use of Information and Communication (ICT) tools.*

- **UNIDO-Metro Group:** “Improving livelihoods and sustainable food supplies through inclusive value chains”:

*UNIDO and the METRO Group, one of the world's largest retailers, have joined efforts in a strategic alliance for safe and sustainable food supplies.*

- **UNIDO-Scania CV AB:** “Partnering for employment and economic revival of Iraq’s industrial manufacturing sector”:

*UNIDO and Scania, a global leader in the manufacturing of trucks, buses and engines, have been strategic partners since 2011. Together with the Swedish International Development Cooperation Agency (Sida) and the Kurdistan Regional Government Ministry of Labour and Social Affairs (MoLSA-KRG), the partners have established the Swedish Academy for Training in Erbil (in the Kurdistan region of Iraq), which was officially opened in April 2012.*

- **UNIDO-Samsung:** “Transforming e-waste into job and business opportunities”:

*UNIDO recently launched a programme together with the Republic of Korea through the Korea International Cooperation Agency (KOICA) and Samsung Electronics to ensure that Cambodia’s electronic industry is effective in promoting economic and environmental sustainability.*

- **UNIDO-Hewlett Packard:** “Joining hands to provide business and IT training for job creation”:

*Since 2010, UNIDO has been partnering with Hewlett Packard (HP) to extend the reach and impact of HP's flagship entrepreneurship education programme 'HP Learning Initiative for Entrepreneurs (HP LIFE)'.*

- **UNIDO-Chevron:** “Supporting the next generation of entrepreneurs in Angola”:

*In 2010, Chevron contributed funding of \$1,000,000 to a partnership initiative to introduce entrepreneurship as a subject in secondary schools in Angola. Supporting the Government of Angola's education reform endeavors, the Entrepreneurship Curriculum Programme aims to develop entrepreneurship skills among young people.*

### **Multi-stakeholder partnerships**

- **Chemical Leasing:** “Redefining the sustainable management of chemicals”:

*Chemical Leasing is service-orientated business model that adopts a multi-stakeholder approach to promote the sound and efficient management of chemicals throughout their life-cycle. UNIDO, with the direct support of the governments of Austria and Germany, has been pioneering Chemical Leasing in developing countries and transition economies since 2004.*

- **3ADI:** Agribusiness development for food security and poverty reduction:

*Launched in 2010, in partnership with the African Development Bank (AfDB), the Food and Agricultural Organization (FAO) and the International Fund for Agricultural Development (IFAD), the 3ADI aims at strengthening the value addition to food and non-food commodities along the entire supply chain (note: this programme is subject to a separate evaluation in 2013 that will feed into this thematic evaluation).*

- **The Green Industry Platform:** “An action-based initiative for a greener industrial footprint”:

*The Green Industry Platform is a global multi-stakeholder partnership aimed at transforming manufacturing activities with a view towards increasing resource efficiency, and at the same time reducing waste and pollution.*

The recommendations emanating from the evaluation will cover short- and medium actions and address both the programme as whole and individual partnerships. The recommendations will target different actors, such as UNIDO management, partner governments, its core business partners and other associated partners, donors having engaged in cost-sharing/funding of projects within the context of the partnership programme and other stakeholders of past/ongoing PPP related projects.

#### **IV. Key evaluation questions**

The thematic evaluation will address the following evaluation questions and sub-questions:

##### ***UNIDO’s Partnership Programme in general***

- How was the programme initiated and by whom?
- How did the programme evolve since the launching of the first partnership in 1999 in terms of the diversity and number of partnerships concluded and funding mobilized? Is there a pattern or trend as regards the types of business partnerships developed?
- To what extent is the typology of business partnerships models used by UNIDO clear and consistent? Have there been changes over time?
- Is there a logical framework for the partnership model? Are the underlying objectives clear and consistent?
- What has been UNIDO’s strategy to identify and promote new business partners?
- Which lessons were learned from the first generation of UNIDO’s partnerships (Fiat, Ericson, BASF, Bajaj) and how have these been taken on board in (i) the design of subsequent partnerships, (ii) the Strategic Framework (2011) and (iii) Policy (2013)? To what extent were the Guidelines (2002) used? To what extent have these Guidelines been reviewed and updated over time, based on the different experiences?
- To what extent and how is UNIDO involved in UN-wide networks on business partnerships under the umbrella of the UN Compact? Which lessons could be learned from UN wide experiences in this field? How were these reflected in the Strategic Framework and Policy?

- To what extent does the current Strategic Framework provide clear directions for staff engaged in planning, designing and implementing partnerships? How does it contribute to the achievement of UNIDO's strategic objectives? How were different UNIDO branches/services involved in the development of this framework?
- To what extent and have CSR, gender and environmental sustainability been addressed in individual partnerships?
- How has the Partnership programme been managed over time? What is the mandate, structure and staffing of the current Business Partnership Group?
- Are UNIDO procedures regarding funding and implementation through the business partnership modality appropriate? Has UNIDO senior management support been adequate in terms of strategic guidance to staff involved in business partnerships and resource allocation?
- To what extent are there tools pertaining to business partnerships (UNIDO; UN-wide; other) and to what extent were/are they used?
- Is a programme-wide monitoring and evaluation system in place?
- What have been the main contributions of business partners?

### ***Selected individual and multi-stakeholder partnerships***

#### Design of the partnership and of project(s)

- What was the rationale for the partnership?
- Who initiated it?
- Who designed it?
- Was there consultation with beneficiaries?
- What were the main objectives?
- How was the partner identified?
- How were target countries, sectors and intervention approaches decided on?
- Was the project logic clear and consistent?
- To what extent were lessons learned from previous partnerships taken on board in the design of the partnership and related project(s)?
- To what extent and how were CSR, gender and environmental sustainability addressed in the design of the related project(s)?

#### Ownership and relevance

- To what extent and how have national and local stakeholders been involved and participating in the needs assessment, design and implementation?
- To what extent were existing strategies, programmes and initiatives taken into consideration?
- In what way were/are the interventions relevant for the stakeholders?
- What were the reasons for the private partners and beneficiaries to participate?

#### Efficiency of implementation

- Were the existing UNIDO procedures for working with the business partner appropriate? To what extent were they used?
- Were the inputs of the core partners (the business partner, UNIDO and counterparts) provided as planned and were they adequate to meet requirements?
- Was the quality of these inputs as planned?
- Was the utilization of the available budget(s) appropriate?
- Is there a particular value-added of the business partnerships compared to working with traditional donors and, in the affirmative, to what extent and how?
- Were there synergies with other UNIDO or UN interventions?

### Effectiveness

- To what extent have the intended outputs and outcomes been achieved?

### Impact and Sustainability

- Which long term developmental changes (economic, environmental, social) have occurred or are likely to occur as a result of the interventions and what are the indications as regards their sustainability?
- Was the project replicated/did it have multiplier effects?
- Has the business partnership model demonstrated by the projects been replicated by other actors?
- Did the project approach include a sustainability strategy?
- To the extent applicable: What is the level of technical, organizational and financial sustainability of the results achieved by the interventions? What are the sustainability prospects?

### Coordination and management

- To what extent was there coordination between the partners (at their respective HQs and at the field level) adequate? Was a Steering mechanism in place? Were there periodic reviews and were decisions adequately documented?
- To what extent was the reporting, monitoring and evaluation system adequate? Were baseline data collected prior to the start of interventions?
- To what extent did the project involve different branches within UNIDO? To what extent was there cooperation with relevant UNIDO projects and those of others? Which have been the benefits of such in-house and/or external synergies?
- To what extent did the Business Partnership Group provide guidance and monitor implementation?

## V. Evaluation methodology

This evaluation will be carried out in line with the principles laid down in the “UN Norms and Standards for Evaluation” and the UNIDO Evaluation Policy <sup>51</sup> and apply the standard DAC evaluation criteria to address, as systematically and objectively as possible the evaluation questions listed above. Achievements will be assessed against the objectives and indicators set out in programme and project documents and in logical frameworks of the individual projects (under the selected partnerships) and for the partnership group.

While maintaining independence, the evaluation will be carried out following a participatory approach, which seeks the views and assessments of all parties. Considering the partnership modality, key stakeholders in including the selected business partners will be informed of this evaluation, and solicited for interviews and for sharing documentation with the evaluation team.

The evaluation will be carried out through analysis of various sources of information and triangulation/cross-validation of data. This will encompass desk review of UNIDO policies and strategies and *programme wide* documents and documents pertaining to *individual* partnerships, interviews with UNIDO managers and with staff of the Business Partnership Group, with managers/coordinators of UNIDO partnerships at the level of the selected business partnerships, relevant UNIDO staff engaged in specific interventions/projects within the context of the selected partnerships, with public and private stakeholders in partner countries, including counterparts, beneficiaries, experts and consultants attached

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<sup>51</sup> Available from [www.uneval.org](http://www.uneval.org)

to individual projects and representatives of related donors. Also interviews with UN staff involved in the UN Compact are envisaged in order to draw on their experience. For the sake of efficiency, interviews will be done mainly by phone/skype, unless direct contacts are called for (the latter could apply to interviews of selected business partners) because of the strategic importance of the partnership. There may be a field visit to 1 or 2 countries to assess individual projects implemented under the partnerships modality that are in an advanced stage of implementation (*to be decided during the inception phase*) and there will also be field visits under 2013 country evaluations. Findings of related project/country programme evaluations that reviewed/will review work done under the different business partnership initiatives (such as the country evaluations of India, Nigeria, and Russia and project evaluations in DR Congo, Angola, Uganda Sierra Leone and Iraq) will be analyzed and feed into the thematic evaluation.

More specifically, the evaluation will rest on the following methodological pillars:

#### **Desk review**

- Background analysis/document review of the overall context of business partnerships (UN Compact issue papers, tools; partnership programmes of other UN agencies; comparative studies of approaches, other relevant documents, such as the Busan and Rio+20 Outcome Documents)
- Background analysis/document review of the UNIDO business partnership programme itself (background; overview documents; project documents related to the core funding; progress reports/presentations; guidelines; Strategic Framework, draft Policy/DG Bulletin, agreements and memoranda of understanding, training materials (staff) and other tools and guidelines;
- Inventory and portfolio analysis covering number of projects, type of partners, type of contributions of private partners, donors; overall financing and individual project budgets, geographical coverage, main features of agreements and memoranda of understanding, objectives, counterparts, duration
- In-depth review of individual past and ongoing business partnerships (memoranda of understanding, project documents, progress reports, evaluations and budgetary information)

#### **Meta evaluation**

- Review of other evaluations (country and thematic) that covered findings on business partnership support (to be synthesized and feeding into this thematic evaluation)

#### **Interviews**

- Interviews with UNIDO HQ staff (Business Partnership Group team; programme/project managers of projects under individual/multi-stakeholder partnerships)
- Interviews with representatives of key business partners (ongoing and eventually also a selection of completed partnerships), counterparts, chief technical advisors and where appropriate donors involved in the partnerships
- Interviews with donors
- Interviews with national partners and beneficiaries
- Interview with UN Compact staff and staff of other UN agencies
- Field visits to 1-2 countries (to be decided which countries/sub-projects are most advanced to justify a field visit and which have not been evaluated). These field visits will include interviews with representatives of the institutional partners (public and private sector), beneficiaries, donors, in addition to project staff,

UNIDO staff and consultants (country/regional offices involved). To be confirmed and decided upon during the inception phase.

#### **Analysis and report writing.**

The analysis and report structure will follow the evaluation framework developed during the inception phase.

#### **VI. Time schedule and deliverables/outputs**

The tentative schedule of the evaluation is as follows:

<b>Tasks</b>	<b>Tentative schedule</b>
Initial Desk review	July/August 2013
Inception report (in English)	August 2013
Interviews at HQ	August/September 2013
Interviews with business partners and other associated actors	August/September 2013
Meta evaluation	September 2013
Portfolio analysis	September 2013
Field visits to selected countries (to be determined)	September/October 2013
Drafting and validation of evaluation report (in English)	October 2013
Finalisation of evaluation report	November 2013

#### **VI. Evaluation team composition**

The evaluation shall be carried out by one EVA staff member and two international consultants. Job descriptions for individual team members figure in Annex C.

The evaluation requires in-depth knowledge of UNIDO and, in particular, of UN public-private partnership programmes. The main competencies required for the evaluation are:

- Extensive evaluation experience;
- Results-based management;
- Technical competence in areas of UNIDO's mandate and, in particular, in private sector development;
- Ability to address relevant cross-cutting thematic issues, including gender
- Excellent report drafting skills
- Excellent communication skills
- Good interpersonal skills
- Knowledge of English and French

According to UNIDO rules, the consultants must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project or theme under evaluation. This principle is underlined in the UNIDO Evaluation Policy: "For independent evaluations, the members of an evaluation team must not have been directly responsible for the policy-setting, design or overall management of the subject of evaluation (nor expect to be so in the near future)".

### **VIII. Governance and management of the evaluation process**

The UNIDO Evaluation Group will manage the evaluation and be responsible for the quality control of the evaluation process and of the report.

Key stakeholders will be asked to review and provide their comments on an advanced draft version of the evaluation report.

### **IX. Quality assurance**

All UNIDO evaluations are subject to quality assessments by the UNIDO Evaluation Group. Quality control is exercised throughout the evaluation process as the above chart predicts. The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex D.

### **X. Annexes**

ANNEX A: List of key documents

ANNEX B: List of selected business partnerships and related projects (tentative list of projects for review)

ANNEX C: Job descriptions for team members

ANNEX D: Checklist on evaluation report quality

**ANNEX A****Tentative list of key documents****A. General background documents****\*UNIDO**

- UNIDO Business Partnership Programme, Presentations to the Executive Board (April 2013, XXXX)
- UNIDO, DG Bulletin “UNIDO Policy on Business Partnerships”, draft version 1 June 2013
- UNIDO Evaluation Group (2013). Overview of UNIDO’s portfolio of selected public-private partnerships (DRAFT, March 2013), Vienna.
- Overview of UNIDO’s portfolio of business partnerships (DRAFT). March 2013
- UNIDO (2011). Strategic Framework for UNIDO Partnerships with Multinational Companies and Private Foundations
- UNIDO (2012). UNIDO Business Partnerships – Partnering for Prosperity, available from: [http://institute.unido.org/documents/M8\\_LearningResources/business\\_partnerships.pdf](http://institute.unido.org/documents/M8_LearningResources/business_partnerships.pdf)  
[http://institute.unido.org/documents/M8\\_LearningResources/business\\_partnerships.pdf](http://institute.unido.org/documents/M8_LearningResources/business_partnerships.pdf).
- UNIDO (2012). Business Partnerships Capacity Building workshop, October 2012, Vienna: Presentation
- Project documents XP/GLO/11/020, Implementing the “Strategic framework for UNIDO partnerships with multinational companies and private sector foundations”, 2011 and 2013
- ODG/EVA template for inception reports

**\*Other**

- The Donor Committee for Enterprise Development (DCED), M. Heinrich, Donor Partnerships with Business for Private Sector Development: what can we learn from experience?, Working Paper, March 2013
- OECD (2012). DAC Report on Aid Predictability: Survey on Donors’ Forward Spending Plans 2012-2015 and efforts since HLF-4
- UN Global Compact Office (2010). Private sector collaboration since 2000. New York
- UN Global Compact Office (2012). Catalyzing transformational partnerships between the United Nations and Business
- United Nations Global Compact Office. Corporate Responsibility & The Global compact. <http://business.un.org/en/documents/csr>
- United Nations Global Compact Office (2010). Coming of age: Private sector collaboration since 2000, New York

**B. Partnership/project-specific documents including evaluation reports****3ADI**

- Project Document, August 2010 (UEGLO10016 and TEGLO10017).
- Project Document, October 2010 (USGLO10018).
- Country Update, February 2011.
- Report on Trust Fund on Food Security, IDB.41/10 – PBC.29/10, 20 February 2013

**Chemical Leasing**

- Project Document, December 2007 (UEGLO07031).
- Project Document, revised January 2009 (UEGLO07031).
- Progress report, January - June 2010 (UEGLO07031, TEGLO09012, UEGLO09032).

- Annual report 2010 (UEGLO07031, TEGLO09012, UEGLO09032).
- Final report, February 2011 (TEGLO09012).

### ***Chevron***

- Project Document, November 2008 (USANG08001, USANG08002, XPANG08003).
- Project Document, January 2009 (TFANG09001 and TFANG10001, related to projects USANG08001, USANG08002, XPANG08003).
- Progress report January 2009 – September 2010 (USANG08001, USANG08002, XPANG08003).

### ***Green Industry Platform***

- UNIDO (2012). Introducing the Green Industry Platform, available from: [http://www.unido.org/fileadmin/media/documents/pdf/Energy\\_Environment/Green\\_Industry/Green%20Industry%20Platform%20-%20-%20Introductory%20Note.pdf](http://www.unido.org/fileadmin/media/documents/pdf/Energy_Environment/Green_Industry/Green%20Industry%20Platform%20-%20-%20Introductory%20Note.pdf)[http://www.unido.org/fileadmin/media/documents/pdf/Energy\\_Environment/Green\\_Industry/Green%20Industry%20Platform%20-%20-%20Introductory%20Note.pdf](http://www.unido.org/fileadmin/media/documents/pdf/Energy_Environment/Green_Industry/Green%20Industry%20Platform%20-%20-%20Introductory%20Note.pdf).
- UNIDO (2012). Statement of Support.
- UNIDO (2012). Administrative Bodies Composition.
- List of signatories as of March 2013.

### ***Hewlett Packard***

- UNIDO-HP Memorandum of Understanding, May 2008.
- Project Document, February 2009 (TFINT09003).
- Project Document, May 2010 (TFINT10004).
- Progress Report May 2010 – April 2011 (TFINT10004).
- UNIDO-HP Partnership Programme (2009). Factsheet on the GET-IT Programme.
- UNIDO-HP Partnership Programme (2011). Factsheet on the HP LIFE Programme.
- UNIDO-HP Partnership Programme (2011). Success stories LIFE.
- UNIDO-HP Partnership Programme (2011). Curriculum of the LIFE Programme.
- UNIDO-HP Partnership Programme (2011). ToT in China, Tunisia, Turkey.

### ***Metro Group***

- Project Document, July 2009 (UEGLO0901).
- Progress Report, November 2009-January 2010 (UEGLO0901).
- Progress Report, January-October 2010 (UEGLO0901).
- Progress Report, August-October 2010 (UEGLO0901).

### ***Microsoft***

- Project Document, August 2007 (XPGLO07023).
- Progress Report, June 2008 (XPGLO07023).
- Project Document, August 2008 (TEGLO08023).
- Progress Report, July-December 2010 (TEGLO08023).
- Project Document, August 2008 (XPGLO08022, YAGLO008021).
- Project Document, July 2009 (SFTRI09001).
- Progress Report, January 2009 -August 2010 (XPGLO08022, YAGLO008021).
- Progress Report, March-October 2010 (XPGLO08022, YAGLO008021).
- Various documents related to the Nigeria Country Programme and SFNIR09A01.

### ***Samsung***

- First quarterly report (January-March 2013) on the main activities and achievements carried out as per approved project document (work plan)
- Project milestones 2012 presented within the framework of the 1st Project Steering Committee Meeting on “Transforming e-waste into job and business opportunities”
- UNIDO-Samsung Factsheet (2013).

**Scania**

- MoU between MOLSA, Scania and UNIDO, September 2011.
- Agreement between Sweden and UNIDO (no date).
- Project Document, May 2011 (TFIRQ11001).
- Progress Report, May-October 2011 (TFIRQ11001).
- Project Activity Tracking against Outputs, February 2009.

**FIAT**

- See note on Fiat Partnership, May 2013

**Country/project evaluations covering activities of the business partnerships programme**

- **Country Evaluations:** India, Nigeria, Iraq, Uganda, Mozambique, DR Congo, Sierra Leone and Russia (forthcoming)
- **Project evaluations:** Uganda, Mozambique, Iraq, Angola (forthcoming)
- 

**Annex B**

List of selected business partnerships and related projects  
(Tentative list of projects for review)

Country	Number(s)	Project Title	Allotment (USD)	Expenditures (in USD)
<b>Partnership and related projects:</b>				
<b>Business Partnerships project document for Phase I:</b> XP/GLO/11/020, Implementing the “Strategic framework for UNIDO partnerships with multinational companies and private sector foundations”, USD 260,000+ Phase II				
<b>Hewlett Packard.</b> The UNIDO-HP partnership focuses on training of unemployed youth. To date, under the joint Graduate Entrepreneurship Training through Information Technology (GET-IT) programme, over 12,000 persons in Africa and in the Arab region have been trained.				
Inter-regional	TF/INT/11/015	UNIDO-Hewlett Packard cooperation for entrepreneurship and I T capacity-building in Africa, Asia, Latin America and the Middle East	536,585	322,353
	TF/INT/10/004	UNIDO-Hewlett Packard cooperation for entrepreneurship and IT education in Africa, Asia, Latin America and the Middle East	230,000	223,428

Country	Number(s)	Project Title	Allotment (USD)	Expenditures (in USD)
	TF/INT/09/003 XP/INT/09/004 YA/INT/09/005	UNIDO-Hewlett-Packard Cooperation for Youth Entrepreneurship Development in Africa and the Middle East	192,880 10,025 <u>49,869</u> 252,774	192,880 10,025 <u>49,869</u> 252,774
Regional Africa	TF/RAF/08/016 YA/RAF/08/018	UNIDO-Hewlett-Packard Cooperation to deploy the GET-IT Programme in Six African Countries in 2008-2009	67,065 <u>29,576</u> 96,641	67,065 <u>29,576</u> 96,641
<p><b>Microsoft Corporation.</b> The UNIDO-Microsoft partnership seeks to enhance the transfer of skills to and the competitiveness of SMEs. An example is the computer refurbishment programme, launched in Uganda to provide affordable computers to SMEs. At the request of the Government, a similar programme has been started in Trinidad and Tobago and others are planned for selected countries in sub-Saharan Africa and the Caribbean.</p>				
Uganda	UE/UGA/09/003	Establishment of two District Business Information Centres to promote Private Sector Development and Information and Communication Technologies- Phase II	348,014	348,014
Trinidad and Tobago	SF/TRI/09/001	Design and implementation of a computer refurbishment centre in the Republic of Trinidad and Tobago	51,545	51,545
Nigeria	SF/NIR/09/A01	Country Programme for Nigeria 2009 – 2012: Component – Industrial Information System and Computer Refurbishment	280,000	230,214
Global	TE/GLO/08/023 XP/GLO/08/022 YA/GLO/08/021	UNIDO Business Partnership Programme – ICT for development	212,505 55,312 <u>206,274</u> 474,091	122,651 49,250 <u>187,950</u> <u>359,851</u>
Global	XP/GLO/07/023	Support Programme under the UNIDO-Microsoft Partnership Framework Agreement	237,668	205,808

Global	XX/GLO/11/X02	UNIDO Business Partnership Programme: Information and Communication Technology for Development	485,333 (planned budget)	-
<p><b>Metro Group.</b> Within the framework of the Global Food Safety Initiative (GFSI), the METRO Group and UNIDO jointly strengthened SMEs in Egypt to enhance supplier compliance of food safety standards. After this first demonstration phase, it is expected that the programme will be replicated in other countries.</p>				

## Annex G: Terms of Reference

Global	UE/GLO/09/017	Programme to increase availability of high quality and safe food and reduce post-harvest losses in ACP countries: Establishment of ETRACE as an excellence center for traceability and agribusiness trade development	1,017,160	930,960
The <b>UNIDO – SCANIA</b> . Operations and industrial maintenance training academy project In Iraq aims at improving the performance of the industry to service and maintain modern equipment and generate employment opportunities in the sector.				
Iraq	TE/IRQ/11/001	Operations and Industrial Maintenance Training Academy	1,492,916	1,235,454
<b>UNIDO – SAMSUNG</b> . UNIDO, together with the Republic of Korea through Korea International Cooperation Agency (KOICA) and Samsung Electronics joined hands in 2012 to design and implement a programme that aims at ensuring effective e-waste management and creating employment opportunities in the electronics industry in Cambodia.				
Cambodia	TFCMB12001	Creating employment opportunities and ensuring effective e-waste management	707,965	81,673
	TFCMB12003		88,496	45,714
<b>UNIDO – CHEVRON</b> . Supporting the next generation of entrepreneurs in Angola				
Angola	USANG08001	Technical assistance for Angola's entrepreneurship curricula in secondary schools programme	353,982	258,739
	USANG08002		353,982	328,261
	XPANG08003	x	92,714	92,714
	TFANG10001	X x	884,956	637,874
<b>Accelerated Agribusiness and Agro-industries Development Initiative (3ADI)</b> . Launched in 2010, in partnership with the African Development Bank (AfDB), the Food and Agricultural Organization (FAO) and the International Fund for Agricultural Development (IFAD), the 3ADI aims at strengthening the value addition to food and non-food commodities along the entire supply chain. Download the factsheet to learn more about how 3ADI mobilizes private sector resources to transform traditional agriculture into flourishing agribusinesses.				
Global	UEGLO10016	Support to agri-business and agro-industry development initiatives: implementing the three frameworks	184,379	180,650
	TEGLO10017		715,296	710,837
Global	USGLO10018	Support in the implementation of UNIDO's agri-business development strategy and the 3ADI programme	87,890	87,890
Inter-regional	YAIN11025	Support to agri-business and agro-industry development initiatives: implementing the three frameworks	267,691	267,691
	YAIN11026		237,668	205,808

## Annex G: Terms of Reference

Global	TFGLO12022	Agro-industry development initiatives – contribution from FAO	13,274	10,978
<b>Chemical Leasing.</b> The partnership is a multi-stakeholder and transformational partnership. UNIDO has a conveying role to link up businesses and to provide the chemical leasing business model through its NCPCs.				
Global	UEGLO07031	Promotion and implementation of chemical leasing business models in industry	265,297	260,619
	UEGLO09023		169,526	167,916
	TEGLO09012		87,698	87,698
<b>The Green Industry Platform.</b> An action-based initiative for a greener industrial footprint				
Global	XPGLO10005	Follow-up and implementation of green industry initiative	475,081	471,976
	XPGLO12008	Preparatory meeting for the launch of the GIP and the dissemination of green industry concepts at RIO+20 and B20 summit	79,180	79,144
	XPGLO12035	UNIDO green industry initiative Phase II	383,130	233,901
	GFGLO12036		100,000	0

Source: Agresso and UNIDO InfoBase, as at 2011-12

**Annex C.1**

**Job Description**  
**Thematic Evaluation of**  
**UNIDO's Partnerships with the Private Sector**  
**(SAP ID 130052)**

**Post title:** Senior International Consultant and Team leader

**Duration:** 40 days over a 4 months period (August to November 2013)

**Date required:** 15 August 2013

**Duty station:** Home-based (40 days) including missions to UNIDO HQ (7 days)

**Duties of the consultant:**

The evaluation consultant will act as team leader and conduct, in close cooperation with the Director of the Evaluation Group and with the support of a junior evaluation consultant, the Thematic Evaluation of UNIDO's Partnerships with the Private Sector and carry out the duties as per the table below:

<b>Duties</b>	<b>Duration (work days)</b>	<b>Deliverables</b>
Desk review: study (i) programme-wide documentation, (ii) documentation pertaining to each of the partnerships covered by the evaluation and (iii) general documentation pertaining to the theme (Global Compact, other)	5 days	List of issues to be clarified in line with evaluation questions; elements for inception report. Background chapter
Inception report: prepare an inception report based on the desk review and including a further developed methodology based on the ToR of the thematic evaluation	2 days	Inception report (in the format of the UNIDO Evaluation Group)
HQ interviews: (i) discuss the inception report and complete information (in case of gaps identified during the desk review) and (ii) conduct interviews at UNIDO HQ with the relevant staff (iii) data collection	5 days incl. travel	Information collected and systemized for evaluation report
Phone interviews with key business partners	4 days	Information on and feed back on implementation of business partnerships on individual partnerships/on the programme in general
Phone interviews with and associated actors (UN Compact, UN agencies and other)	2 days	Information on and assessment of perceptions of the business partners/other associated on individual partnerships/on the programme in general

Meta evaluation: collection and synthesis of findings from past evaluations of direct relevance to this thematic evaluation	2 days	Evaluation report sub chapter
Portfolio analysis: overall review of the portfolio of partnership projects and desk review individual projects	5 days	Report chapters
Drafting of evaluation report (in English)	10 days	Draft report including conclusions and recommendations submitted to ODG/EVAL and presented at UNIDO HQ
Validation: presentation of draft findings at UNIDO HQ	2 days incl. travel	Draft conclusions and recommendations presented at UNIDO HQ
Review feedback received on draft report and prepare the final report	3 days	Final report of the thematic evaluation

**Qualifications:**

- Advanced university degree in a field related to development cooperation, , economics or business administration
- Extensive knowledge and experience in the field of evaluation of technical cooperation;
- Extensive knowledge of UNIDO and Private Sector Development
- Good understanding of business partnership mechanisms
- Excellent analytical and drafting skills

**Languages:** French and English

**Impartiality:**

According to UNIDO rules, the consultant must not have been involved in the preparation, implementation or supervision of the Business Partnership Programme/initiatives within the context of this Programme.

**Annex C.2**

**Job Description**  
**Thematic Evaluation of**  
**UNIDO's Partnerships with the Private Sector**  
**(SAP ID 130052)**

**Post title:** Junior evaluation consultant

**Duration:** 21 days over period August – mid October 2013)

**Date required:** 1 September 2013

**Duty station:** Vienna (UNIDO HQ based)

**Duties of the consultant:**

The junior consultant will be part of the team to conduct the Thematic Evaluation of UNIDO's Partnerships with the Private Sector. He/she will work under the guidance of the senior evaluator and in close cooperation with staff of the Evaluation Group that manages this evaluation. He/she will carry out the duties as per the table below:

<b>Duties</b>	<b>Duration (work days)</b>	<b>Deliverables</b>
Desk review: contribute to the collection, compilation, analysis and synthesis of background documentation and documentation on individual partnerships	10	Background information for inception report collected. Evaluation matrix for individual partnerships completed.
Complete information (in case of gaps identified during the inception phase and collect and analyse data for portfolio analysis	5	Statistical and qualitative information available on partnership portfolio
	5	Preparation of annexes for report and contribution to main body of the report.
Validation: take part in the presentation of draft findings at UNIDO HQ	1	Slides for power point presentation prepared

**Qualifications:**

- University degree in a field related to economics, international relation or industrial and private sector development
- Experience in the field of evaluation of technical cooperation

**Languages:** English

**Impartiality:** According to UNIDO rules, the consultant must not have been involved in the preparation, implementation or supervision of the Business Partnership Programme/initiatives within the context of this Programme.

**ANNEX D****Checklist on evaluation report quality****Independent Terminal Evaluation of the UNIDO Project*****"title....."***

(Project Number: .....)

Evaluation team leader:

Quality review done by:

Date:

<b><i>Report quality criteria</i></b>	<b><i>UNIDO Evaluation Group Assessment notes</i></b>	<b><i>Rating</i></b>
<b>Report Structure and quality of writing</b>		
The report is written in clear language, correct grammar and use of evaluation terminology. The report is logically structured with clarity and coherence. It contains a concise executive summary and all other necessary elements as per TOR.		
<b>Evaluation objective, scope and methodology</b>		
The evaluation objective is explained and the scope defined. The methods employed are explained and appropriate for answering the evaluation questions. The evaluation report gives a complete description of stakeholder's consultation process in the evaluation. The report describes the data sources and collection methods and their limitations. The evaluation report was delivered in a timely manner so that the evaluation objective (e.g. important deadlines for presentations) was not affected.		
<b>Evaluation object</b>		
The logic model and/or the expected results chain (inputs, outputs and outcomes) of the object is clearly described. The key social, political, economic, demographic, and institutional factors that have a direct bearing on the object are described. The key stakeholders involved in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles are described. The report identifies the implementation status of the		

object, including its phase of implementation and any significant changes (e.g. plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation.		
<b>Findings and conclusions</b>		
<p>The report is consistent and the evidence is complete (covering all aspects defined in the TOR) and convincing.</p> <p>The report presents an assessment of relevant outcomes and achievement of project objectives.</p> <p>The report presents an assessment of relevant external factors (assumptions, risks, impact drivers) and how they influenced the evaluation object and the achievement of results.</p> <p>The report presents a sound assessment of sustainability of outcomes or it explains why this is not (yet) possible.</p> <p>The report analyses the budget and actual project costs.</p> <p>Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report.</p> <p>Reasons for accomplishments and failures, especially continuing constraints, are identified as much as possible.</p> <p>Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings.</p> <p>Relevant cross-cutting issues, such as gender, human rights, environment are appropriately covered.</p>		
<b>Recommendations and lessons learned</b>		
<p>The lessons and recommendations are based on the findings and conclusions presented in the report.</p> <p>The recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?').</p> <p>Recommendations are implementable and take resource implications into account.</p> <p>Lessons are readily applicable in other contexts and suggest prescriptive action.</p>		

Rating system for quality of evaluation

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.