

Independent Thematic Evaluation
UNIDO's Contribution to
One UN Mechanisms



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

UNIDO EVALUATION GROUP

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Acronyms and Abbreviations

AMC	UNIDO Approval and Monitoring Committee
CCA	Common Country Assessment
CEB	UN System Chief Executives Board
DaO	Delivering as One
DOCO	United Nations Development Operations Coordination Office
EFW	Expanded DaO Funding Window for Achievement of the MDGs
FAO	Food and Agriculture Organization of the United Nations
FO	UNIDO Field Office
FR	UNIDO Field Representation
GC	UNIDO General Council
GEF	Global Environment Facility
HACT	Harmonized Approach to Cash Transfers
HLCM	High-level Committee on Management
HLCP	High-level Committee on Programmes
HUO	Head of UNIDO Operations
IDB	Industrial Development Board
IFAD	International Fund for Agricultural Development
ILO	International Labour Organization
ITC	International Trade Centre
JP	Joint programme
MDG	Millennium Development Goal
MDG-F	Spanish MDG Fund
MP	Montreal Protocol
MPTF	Multi-Partner Trust Fund
NPC	UNIDO National Programme Coordinator
NRA	Non-resident agency
ODG/EVA	UNIDO Evaluation Group
OMT	Operations Management Team
PAD	Project allotment document
PCF	Programme Coordination and Field Operations Division
PTC	UNIDO Programme Development and Technical Cooperation Division
RB	Regular Budget
RDT	Regional Directors Team
RRT	Rapid Response Team
RSF	UNIDO Regional Strategies and Field Operations Division

SP	Enhancing the Coordination and Support of UNIDO Involvement in DaO and CCA/UNDAF Processes Programme
TCPR	UNGA Triennial Comprehensive Policy Review
UNCT	United Nations country team
UNCTAD	United Nations Conference on Trade and Development
UNDAF	United Nations Development Assistance Framework
UNDAP	United Nations Development Assistance Plan
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
UNEP	United Nations Environment Programme
UNGA	United Nations General Assembly
UNRC	United Nations Resident Coordinator
UNSG	United Nations Secretary-General
UN Women	United Nations Entity for Gender Equality and the Empowerment of Women
UR	UNIDO Representative

Glossary of Evaluation Terms

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

Executive summary

Introduction

The present evaluation serves to:

- inform UNIDO management and policy organs about UNIDO's contribution to One UN mechanisms in, primarily, the Delivering as One United Nations (DaO) pilot countries, factors weakening/strengthening its contribution, as well as results in relation to UNIDO thematic priority areas and other benefits to partner governments and UNIDO;
- provide guidance to UNIDO management and policy organs on key opportunities and constraints for sustaining and expanding the coverage and quality of its contribution; and
- assess the effectiveness and efficiency of the project "Enhancing the Coordination and Support of UNIDO Involvement in DaO and Common Country Assessment/UN Development Assistance Frameworks", also known as the "Support Programme".

Conducted between September 2011 and February 2012, the evaluation was primarily designed to aggregate findings from a series of UNIDO country evaluations and other relevant documentation ("meta-evaluation"). It was carried out by an independent consultant, Ms. Alison King, in collaboration with Ms. Margareta de Goys, Director of the UNIDO Evaluation Group.

Delivering as One United Nations

Calls for achieving greater coherence, effectiveness, efficiency and relevance of the UN development system at the country level have been frequent. A 2006 report entitled "Delivering as One - Report of the High-level Panel on United Nations System-wide Coherence in the areas of development, humanitarian assistance and the environment" led to the design of the DaO or "One UN" initiative. At their request, the then UN Secretary-General (UNSG) selected Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Vietnam for the pilot exercise. Consequently, pilot countries commenced to put in place five pillars: One Programme, One Budgetary Framework/One Fund, One Leader, One Office and One Voice. At the global level, the initiative found financial support in the creation of the Multi-Partner Trust Fund "Expanded DaO Funding Window for Achievement of the MDGs".

The 2007 Triennial Comprehensive Policy Review (TCPR) Resolution A/RES/62/208 encouraged the UNSG to support the pilots to evaluate and exchange their experiences. A number of inter-agency and intergovernmental reviews and evaluations have since pronounced themselves on the opportunities and constraints of DaO. Recent important sources of information on progress made are the 2010 country-led evaluations of the DaO programme country pilots. The 2007 TCPR resolution furthermore emphasized the need for an independent evaluation of lessons learned from such efforts. Further resolutions requested that its outcome be submitted to the UN General Assembly (UNGA) in 2012.

Since 2007, a number of so-called self-starters have joined the row of programme countries pursuing a more integrated approach to UN system assistance. As of January 2012, an estimated 47 programme countries have adopted or were in the process of adopting the DaO approach. At the June 2010 High-Level Tripartite Conference on Delivering as One: Lessons from the Country-led Evaluation and Way Forward in Hanoi, Vietnam, and again in Montevideo in 2011, participants affirmed that there is no going back to doing business in the manner prior to the DaO initiative. In other words, the DaO approach, from the point of view of those directly involved, seems to have become a “*conditio sine qua non*” for future UN operations.

UNIDO’s participation in Delivering as One United Nations

UNIDO is a UN specialized agency mandated to promote sustainable industrial development for poverty reduction, inclusive globalization and environmental sustainability. It provides policy advice, institutional capacity building and specialized technical support in three thematic priority areas, i.e. poverty reduction through productive activities, trade capacity building, and environment and energy. It is guided by the policy orientations contained in UNGA comprehensive policy reviews. UNIDO has participated in the DaO pilot initiative since its launch.

UNIDO is a relatively small UN organization physically present, but not always officially accredited, in 55 countries, including all DaO pilot countries with the exception of Albania. In this regard, the 2007 TCPR emphasizes that programme countries should have access to and benefit from the full range of mandates and resources of the UN development system, thus including from non-resident agencies. National governments should be the ones to determine which resident and non-resident UN organizations could best respond to the specific needs and priorities of the individual country.

In his address to the 32nd session of the UNIDO Industrial Development Board, the UNIDO Director-General highlighted that UNIDO's approach to reform included the following elements: a) sharpening and aligning the focus of UNIDO's work to the internationally agreed development goals; b) building and strengthening UNIDO's partnerships with United Nations and other organizations that have complementary mandates to achieve synergies and increase UNIDO's development impact; c) continuously increasing the volume and improving the quality and efficiency of UNIDO's programme delivery; d) strengthening and integrating the activities of UNIDO at country level in line with its new Field Mobility Policy and through innovative modalities such as the UNIDO Desks established in partnership with the United Nations Development Programme (UNDP); and e) actively contributing to system-wide coherence through concerted and coordinated approaches at the global, regional and country levels. During the 12th Session of the UNIDO General Conference, UNIDO Member States requested the Director-General "to continue the coordination and promotion of UNIDO activities in relation to the on-going discussions on UN system-wide coherence at the global, regional and country levels". Furthermore, they requested him "to inform the governing bodies of UNIDO on the results of discussions on UN system-wide coherence and its implications for UNIDO. A series of reports have since been presented.

Early 2008, UNIDO established the Office of the Senior Coordinator for UN System Coherence within its Regional and Field Operations Branch in order to strengthen the Organization's contribution to DaO. In May 2008, the project "Enhancing the Coordination and Support of UNIDO Involvement in DaO and Common Country Assessment/UN Development Assistance Frameworks" was approved for implementation during the 2008/2009 biennium. A follow-up project has subsequently been approved and is ongoing. The objective of these projects was to contribute to greater UN contribution to member states' economic and industrial development priorities by strengthening headquarter coordination of UNIDO engagement in UN system-wide coherence as well as the active participation of UNIDO field offices in the implementation of the DaO initiative and other UN common programming processes at the country level.

Assessment of UNIDO's contribution to One UN mechanisms

One Programme design

UNIDO contributed to formulating initial One Programmes in all eight pilots, thus helping to ensure that economic, trade and industrial expertise was included in the UN system's response to national development priorities. Initial obstacles to

the Organization's participation in the design of One Programmes in some countries have given way to a general appreciation of the Organization's relevance to governments and One UN agendas. Subsequently, UNIDO has found itself better positioned to influence the design of second-generation One Programmes and to consolidate its own role therein.

One Programme implementation

Today, as opposed to pre-DaO, UNIDO is member of UN country teams also in those countries where it does not have an official presence. The Organization is also active, including as lead agency, in a number of One Programme management and thematic working groups, not the least in pilot countries where it has limited or no presence. However, the Organization is not always directly involved in strategic decision-making by One UN Steering Committees. UNIDO's delivery of One funds is fairly high (82.2% at the end of 2011). It is performing better than the average participating organization in half of the DaO pilots.

Effectiveness of One Programme implementation

UNIDO is partnering with other UN organizations that have complementary mandates, inter alia in joint programmes. Opinions on the efficiency and effectiveness of joint programmes differ. Per se, this modality is not considered to have performed better than stand-alone projects. Factors found to have weakened the Organization's effectiveness under DaO are funding constraints and dependence on the performance of partner UN agencies to access funding for follow-up phases. Factors strengthening its effectiveness are joint planning, clear division of labour and strong coordination. UNIDO's visibility at country level has clearly increased thanks to its participation in the DaO initiative.

Participation in One Budgetary Frameworks/One Funds

UNIDO planned to implement activities amounting to USD 71.5 million under One Programmes in the DaO pilots. Planned budgets differed considerably in size ranging from around USD 400,000 in Albania to USD 22 million in Vietnam. With the exception of Albania and Uruguay, they were considerably higher than the Organization's disbursements in earlier years. Ultimately, DaO has led to greater funding, mainly thanks to funds channelled through One Funds. With the exception of Mozambique and Pakistan, UNIDO's actual budgets under One Programmes are larger than its pre-DaO disbursements.

UNIDO pledged to contribute USD 29.2 million to One Programmes in the DaO pilots (41% of its total planned budget), a combination of available and expected

resources. The extent to which UNIDO anticipated contributing its own resources ranges widely, from 0% in Albania, Pakistan and Uruguay to nearly 90% of its planned budgets in Vietnam and Cape Verde. UNIDO's planned share of total One Programme resources was often lower than the average agency share. To date, UNIDO has made available 84% of its financial commitments for implementing One Programmes. The extent to which it has met expectations differs from country to country.

Overall, UNIDO's initial funding gap of USD 42.3 million is larger than its projected financial contribution (59% of its total planned budget). Anticipated funding gaps ranged from a low 10% in Cape Verde and 13% in Vietnam to 100% in Albania, Pakistan and Uruguay. UNIDO's dependence on country-level One Funds does not stand out against the average participating organization. In absolute terms, anticipated funding gaps ranged from a low USD 418,000 in Albania and 529,000 in Cape Verde to over USD 13 million in Pakistan and Rwanda. Meanwhile, UNIDO has raised USD 19.1 million from One UN Funds in the DaO pilot countries, representing 41.6% of the Organization's initial funding gap. In addition, it has received USD 2.8 million from the MDG-F for activities in Mozambique, Uruguay and Vietnam.

Mobilization of One Funds varies considerably. Country-level transfers range from only 16% of UNIDO's initial funding gap in Rwanda to 230% in Cape Verde. In Albania, Uruguay, Cape Verde and Vietnam, original expectations have been met and even exceeded. Compared with other participating organizations, UNIDO's share of One Funds is average or above average in Cape Verde, Uruguay and Rwanda. In the remaining five pilots, it is below average; but only in Mozambique and Pakistan less than originally expected.

There is no correlation between the type of UNIDO country presence and its participation in One Budgetary Frameworks/One Funds. On the other hand, having no permanent country presence such as in Albania appears to be a disadvantage in terms of tapping opportunities.

Contribution to operational coherence

The extent to which UNIDO uses common services and has harmonized business practices depends on the country context. Where One UN Houses exist or are about to be opened in the DaO pilots, UNIDO has joined with the exception of Uruguay. Agency execution/implementation remains UNIDO's standard modality for delivery in the DaO pilots despite growing expectations to include the possibility of national implementation. UNIDO has made only limited use of the

Harmonized Approach to Cash Transfers (HACT), however an instrument that has been assessed as highly complex and only partly successful.

Benefits and costs

DaO has had a price tag attached to it. The DaO approach has not resulted in savings for UNIDO, but greater costs. Moreover, from the outset, coordination requirements and active participation in DaO have resulted in considerable additional workloads for UNIDO staff. However, benefits of being part of One UN have outweighed costs of UNIDO's participation. Besides greater funding availability, another key and immediate benefit is the clear increase in UNIDO's visibility at the country level.

Roles, responsibilities and capacities of UNIDO staff

UNIDO's situation is characterized by limited human resources coping with increased coordination requirements and delivery expectations. UNIDO's country presence, including through UNIDO Desks, is key to contributing to One UN mechanisms. Consultants compensate for UNIDO's relatively small country presence. However, they are not in a position to contribute fully due to temporary contracts and limited authority and UNIDO knowledge. Timely decisions and technical inputs from headquarter-based project managers are fundamental, but not always realistic.

UNIDO Support Programme

As a response to high demands on FO and HQ staff and the need for DaO-related guidance and support, the SP was highly relevant to UNIDO and the UN as a whole. The choice of a project modality and the creation of an ad hoc support facility, as opposed to the creation of a post and consultancy funds using regular budget resources, was not optimal, but a pragmatic solution to an internal situation of capacity constraints. The initial budget was divided between international consultants, project assistant, travel of consultants and HQ staff, national consultants and coordination activities, including a UNRC meeting in 2008. In all, 106 national and 6 international consultants had been fielded by the third quarter of 2011. The greatest use of consultancy funds has been to recruit national consultants to conduct research or other preparatory project/programme activities. Short-term consultants are, however, not the optimum way to ensure efficient participation in country programming exercises, which demand UN and UNIDO knowledge and continuity and often official representation. The major part of programme funding has been used for international consultants, including the

long-term expert/consultant based at UNIDO headquarters, followed by national consultants.

On average, an amount of USD 5,000 was allocated per field office/request. Foreseen outputs have been delivered as planned and, generally, have been of high quality, thus alleviating constraints and increasing capacities. However, the first phase also encountered some delays. A challenge has been to identify suitable national consultants, particularly in countries without UNIDO representation, explaining the relatively low rates in 2009, when only 56.5 per cent of the resources specifically allocated to Africa were spent.

The SP and related consultancy funds have enabled UNIDO to become active already at the planning stage of many UN programmes and this has increased the demand-orientation of UNIDO's programmes at national levels. The need for short-term consultants is expected to decrease somewhat in 2012 with the establishment of additional National Programme Officers posts. The first phase of the SP contributed to an adequate positioning of UNIDO in the UN system-wide coherence at country level. It also ensured better awareness and understanding by the Organization of One UN mechanisms. The second phase of the SP also contributed to UNIDO's participation in UN country-level initiatives. As to whether participation is more effective is difficult to say due to missing benchmarks and targets. The move towards a demand orientation in the use of short-term consultancy funds proved positive in that the resources were used where there was a potential for UNIDO to participate, but management was cumbersome. The SP has, beyond doubt, fostered a more integrated approach to programming and been able to provide guidance to and support the process of transferring programmatic authority to the field, which has been a vital ingredient for UNDAF and One UN participation. The SP has also been playing an important facilitating role in brokering information on best practices and lessons learned within UNIDO, but foreseen development of guidance and training material has not materialized.

Overall Conclusions

UNIDO has contributed to country-level DaO processes, both at the UNCT-level and in terms of participating in One UN mechanisms. This despite initial difficulties for specialized UN agencies and especially NRAs to participate in a process originally driven by UN funds and programmes. In particular, UNIDO participated in One Programme design in the DaO pilot countries. As such, it was an important driver in promoting industrial development issues and responding to national priorities. This resulted in the Organization being accepted as a member of UNCTs, also in countries where it was not formally represented, and improved the inclusiveness of the UN system's response to national priorities and needs.

One Programmes have provided opportunities for UNIDO to assert leadership in areas within its mandate.

UNIDO's participation in DaO is characterized by planned budgets at a higher level than pre-DaO expenditures and often a high dependence on One funds (up to 100%). UNIDO has been fairly reliable in providing announced own - core and non-core - resources for its activities (84% or USD 24.5 million). On the other hand, One funds have not been forthcoming to the extent expected (41.6% or USD 20.4 million). Nonetheless, where UNIDO has also successfully mobilized own resources, its budgets for technical cooperation under One Programmes have been larger than total expenditures pre-DaO - first and foremost thanks to the One Fund mechanism. Despite strong contributions to UN MPTFs and JPs administered by the MPTF Office in 2011¹, future funding is unpredictable. It seems unlikely that UNIDO will be able to continue to rely on One Funds.

UNIDO has proved its capacity to deliver: Of One funds received, UNIDO's delivery rate at the end of 2011 was fairly high (82.2% or USD 14.9 million). Under One Programmes, UNIDO partners with a range of other UN agencies such as FAO, ILO, ITC, UNCTAD, UNDP, UNEP and UN Women in order to improve division of labour and increase synergies in the economic sector. However, experience indicates that the stringent joint programme modality is not necessarily more efficient and effective than coordinated stand-alone activities. In addition, not all areas of UNIDO's work lend themselves to the joint programme modality given their highly specialized nature.

Opportunities and constraints for achieving operational coherence are less apparent. Co-location in One UN Houses and the use of common services have at times turned out to be more expensive than previous arrangements. However, accruing costs and necessary budget modifications need be seen in the wider context of benefits arising from DaO, such as larger project portfolios, improved intra-UN communication and a clear increase in UNIDO's visibility. UNIDO's business model is becoming increasingly contested while national implementation, including HACT, is gaining importance.

UNIDO has not always been well resourced to participate in often demanding planning and coordination processes and to deliver larger project portfolios as its human and financial resources are small compared to many other UN agencies. Recognizing staff capacity gaps in the One UN pilot countries, the UNIDO programme "Enhancing the Coordination and Support of UNIDO Involvement in CCA/UNDAF and DaO Mechanisms" (SP) was a valuable initiative addressing

¹ Multi-Partner Trust Fund Office Quarterly Newsletter, October-December 2011, Issue 12.

distinct and specific support needs. However, the choice of a project as opposed to regular staff resources, by its very nature, kept the “sub-optimal” in-house organization in place. The programme provided valuable short-term consultant support easing UNIDO’s participation in UN mechanisms, but the administration of many small consultant projects, with an average budget of EURO 5,000, was cumbersome.

The SP enabled a more systemic participation in UN-wide mechanisms and the establishment of a UNIDO information and exchange platform on One UN issues. Moreover, it contributed to UNIDO accessing One funds and to increased UNIDO visibility. It also paved the way for a more efficient and effective cooperation with UNCTs and within One UN Programmes and to UNIDO thematic priorities being included in UN-wide frameworks. Since One UN mechanisms are anticipated to become the rule rather than an exception, and there is now a wider UNIDO experience, the rationale of this kind of support modality is becoming less obvious and its continuous relevance, beyond the on-going project, is doubtful, making way for a more integrated and mainstreamed approach.

Evaluation findings suggest that country presence is important for participating in today’s One UN mechanisms. However, the type of UNIDO presence does not seem to matter. The presence of a UNIDO Regional Office or Field Office led by international staff (as opposed to UNIDO Desks or other innovative modalities) has not systematically resulted in larger project portfolios, more resources, larger transfers from or higher delivery of One Funds

Key Recommendations

- UNIDO should prioritize the establishment of new UNIDO field representations in countries applying a DaO approach while realizing that it cannot be present everywhere, and develop criteria for selecting countries, including country priorities and potential development impact.
- Available UNIDO financial resources and seed funding should be used to promote interventions in line with national needs and priorities and where there is a high likelihood to access One UN funds or other external resources.
- UNIDO should look into other (than MPTF) funding possibilities and advocate for more flexibility in soliciting funds for interventions under One Programmes at the country level.
- The SP should be replaced by a more mainstreamed approach.
- UNIDO management should include the responsibility for promoting UNIDO’s participation in One UN mechanisms in the job description of all staff of regional bureaus, but keep a staff position of a DaO/One UN focal point.

- SP staff should for the remainder of the duration of the programme provide intensive training and coaching on the participation in system-wide mechanisms and develop related learning and guidance documents and guidelines on UNDAF, DaO and One Programme preparation and implementation.
- In line with the quest to decentralize and further empower FOs, UNIDO management should discontinue the SP headquarter-managed consultancy fund and instead directly endow field offices with funds for consultants to assist in One UN processes.
- UNIDO should move towards national implementation; it should play an active role in the inter-agency review of and follow up to the 2011 Global HACT Assessment with a view to improving HACT as an efficient implementation modality that helps build national capacities.
- UNIDO management should pursue further decentralization of programme/project-related decision-making and administrative/financial authority to regional and country levels for the delivery of technical cooperation.

1.

Introduction

1.1. Evaluation purpose

This thematic evaluation of UNIDO's Contribution to One UN Mechanisms was proposed by the UNIDO Evaluation Group (ODG/EVA). It was included in the ODG/EVA Work Programme 2010/2011 and approved by the UNIDO Executive Board.

Considering that the DaO pilot countries are preparing for/have started the next programming cycle and the growing number of DaO self-starters, the present evaluation serves the following purposes:

...to inform UNIDO management and policy organs about UNIDO's contribution to DaO in the pilot countries, factors weakening/strengthening its contribution, as well as results in relation to UNIDO thematic priority areas and other benefits to the Organization and partner governments;

...to provide guidance to UNIDO management and policy organs on key opportunities and constraints for sustaining and expanding the coverage and quality of its contribution; and

...to assess the effectiveness and efficiency of the project "Enhancing the Coordination and Support of UNIDO Involvement in DaO and Common Country Assessment (CCA)/UN Development Assistance Framework (UNDAF) Processes", also known as the "Support Programme" (SP).

1.2. Methodology and scope

The present evaluation was conducted between September 2011 and February 2012. Its was primarily designed to aggregate findings from a series of evaluations and other relevant documentation ("meta-evaluation"). Main inputs are recent ODG/EVA country evaluation reports for Tanzania (2010), Mozambique (2010), Rwanda (2012) and Vietnam (2012) and the report on a fact-finding mission to Cape Verde in 2011. Additional important data sources, besides UNIDO-specific and general DaO-related documentation², were interviews at UNIDO headquarters and with representatives of UNIDO Field Offices (FO) over the phone, focus group discussions, a FO survey conducted by ODG/EVA in October 2011 and statistics published by the Multi-Partner Trust Fund (MPTF) Office Gateway.

Since the FO survey and the Support Programme cover a larger number of countries and go beyond the eight DaO pilots, relevant findings are presented in dedicated chapters, while at

² Please refer to Annex A Reference Documents for details. Important reference documents include One Programmes, One Programme Annual Reports, reports to UNIDO governing bodies, and UNIDO DaO monitoring mission reports.

the same time being used in the overall analysis. Generally, findings of the FO survey validated the information collected through interviews and the desk review.

In 2010 and 2011, independent UNIDO country evaluations assessed the main interventions, responsibilities and functions of UNIDO in four DaO pilots, i.e. Mozambique, Tanzania, Rwanda and Vietnam. A specific focus was given to UNIDO's support for UN integration at country level through active participation in UNCTs, including championing UNIDO corporate and thematic interests and contributing as appropriate to joint UN country-level initiatives. Also, in 2011, ODG/EVA conducted a fact-finding mission to Cape Verde, in particular to assess UNIDO's contribution as lead agency for the One Programme Sub-programme 4 on Promotion of Growth and Economic Opportunities and as one of the main recipients of funds from the Cape Verde Transition Fund. Findings and recommendations from these evaluations and review have provided core inputs into the present evaluation of UNIDO's Contribution to One UN Mechanisms.

The evaluation focuses on the post 2007 period, when UNIDO started to contribute to One UN programmes in the eight DaO pilot countries. In addition to emphasizing the overall effort of the Organization to optimize its contribution to DaO in the pilots, the report also reflects on actual results achieved by UNIDO under the One Programmes.

While the evaluation assesses UNIDO headquarters and field offices' involvement in and direct support to One UN mechanisms, and particularly One Programmes, it does not attempt to evaluate the Organization's contribution to UN reform-related bodies or cooperation committees, such as the UN Development Group (UNDG).

The evaluation aims to determine as systematically as possible UNIDO's contribution to One UN mechanisms in, principally, the DaO pilot countries, to identify factors that have facilitated or impeded its contribution, and to provide guidance on key opportunities and constraints. Furthermore, its aim is to indicate results achieved in UNIDO thematic priority areas and other benefits to partner governments or UNIDO. To this intent, the evaluation addresses several aspects:

- UNIDO's contribution to One Programme design
- UNIDO's contribution to One Programme implementation
- Effectiveness of UNIDO's contribution to One Programme implementation
- UNIDO's participation in One Budgetary Frameworks/One Funds
- UNIDO's contribution to operational coherence
- Benefits and costs of UNIDO's contribution to One UN mechanisms
- Performance of UNIDO's CCA/UNDAF/DaO Support Programme
- Roles, responsibilities and capacities of UNIDO staff in relation to One UN mechanisms

While UNIDO's contribution to One Programmes (design and implementation), participation in One Budgetary Frameworks/One Funds and One Office at the country level are a specific focus of the evaluation, UNIDO's participation in One Voice and implications of the One Leader concept will not be specifically assessed but issues integrated where applicable.

This thematic evaluation was managed by ODG/EVA. It was conducted by an independent consultant, Ms. Alison King, in collaboration with Ms. Margareta de Goys, Director of ODG/EVA.

1.3. Limitations and constraints

The bulk of the present thematic evaluation builds on the results and findings of four UNIDO country evaluations (Mozambique, Tanzania, Rwanda and Vietnam) and a fact-finding mission to a fifth DaO pilot country, i.e. Cape Verde. However, the reports did not systematically respond to all aspects of this evaluation. No country missions were undertaken to Albania, Pakistan and Uruguay. For all countries, however, interviews were conducted with UNIDO staff at headquarters and in the field and a range of mission reports, project documents and progress reports consulted. The evaluation team is of the opinion that the key evaluation questions have been verified sufficiently to form a basis for conclusions and recommendations.

1.4. Structure of the report

This report is organized into eight chapters. Chapter 1 provides the rationale, scope and methodology of the evaluation. Chapters 2 and 3 give background on DaO and UNIDO's involvement in the initiative. Chapter 4 assesses UNIDO's contribution to One UN mechanisms in the DaO pilot countries. Chapter 5 is a review of the UNIDO Support Programme "Enhancing the Coordination and Support of UNIDO Involvement in CCA/UNDAF and DaO Mechanisms". Chapter 6 focuses on the DaO-related responses of the 2011 UNIDO FO survey. Chapter 7 presents overall conclusions of the evaluation. Chapter 8 proposes a number of recommendations for UNIDO's future engagement in DaO.

2.

Delivering as One United Nations

2.1. Delivering as One

2.1.1. Triennial Comprehensive Policy Review and System-wide Coherence

The 2001 and 2004 Triennial Comprehensive Policy Reviews of Operational Activities for Development of the United Nations System (TCPR) call for greater coherence, effectiveness, efficiency and relevance of the UN development system at the country level.

Further to that, the Outcome Document adopted at the 2005 World Summit in New York called for stronger system-wide coherence across the various development-related UN agencies, funds and programmes. It specifically invited the UN Secretary-General (UNSG) to “launch work to further strengthen the management and coordination of UN operational activities” to ensure that the UN maximizes its contribution to achieving internationally agreed development goals, including the Millennium Development Goals (MDGs). This particular call was repeated at the September 2010 Millennium Development Goal Summit.

In February 2006, the UNSG established the High-level Panel on UN System-wide Coherence. Building on earlier TCPRs, its November 2006 report entitled “Delivering as One - Report of the High-level Panel on United Nations System-wide Coherence in the areas of development, humanitarian assistance and the environment” calls for greater coherence across the UN system in order to respond most effectively to global development challenges of the 21st century. High-level Panel recommendations address specific clusters of development, governance and institutional reform, humanitarian assistance and recovery, environment, gender, UN system funding and business practices. Most importantly in the present context, under the heading “development: delivering as one at the country level”, the High-level Panel recommended “the establishment of One UN at country level with One Leader, One Programme, One Budgetary Framework, and, where appropriate, One Office”. Meanwhile, One Voice or Communicating as One has become a fifth pillar.

In response to the High-level Panel report and progress since made, the UN General Assembly (UNGA) considered and pronounced itself in 2008, 2009 and 2010 on five areas with a view to enhancing UN system-wide coherence, i.e. i) gender equality and women’s empowerment; ii) governance; iii) funding; iv) delivering as one at country level; and v) business practices. In its resolution A/64/289, the UNGA decided to merge the four gender entities of the United Nations into the United Nations Entity for Gender Equality and the Empowerment of Women (UN Women). Legislation on the other areas of UN system-wide coherence is envisaged at the 66th session of the UNGA, in 2012.

2.1.2. Delivering as One pilot initiative

In early 2007, almost ten years after introducing the CCA and UNDAF³, design of the DaO or “One UN” initiative started based on the principle of “no one size fits all”. At the request of the respective governments, the UNSG selected eight countries for the pilot experience, i.e. Albania, Cape Verde⁴, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Vietnam. The design is based on five pillars:

One Programme: One Programmes, according to the High-level Panel, are country-owned documents signed off by governments, responsive to national development frameworks, including internationally agreed development goals, and reflecting the UN’s added value. They are to be strategic, focused and results-based, with clear priorities and outcomes. UN Programmes draw on all UN services and expertise, including non-resident agencies (NRAs), in order to deliver a multi-sectoral approach to development, with due attention to crosscutting issues. Compared to UNDAFs, meanwhile endorsed by the UNGA as the common programming and monitoring tool for UN country teams (UNCTs)⁵, One Programmes also consolidate the UN’s operational activities at the country level (i.e. outputs and indicative activities). They are to be revised regularly to reflect countries’ emerging needs. While joint programmes (JPs) can be useful mechanisms for UN agencies to implement together, the main point of One Programmes is joint programming as a process of planning and reflecting together, and later on possibly implementing together.

One Budget/One Fund: Under the One Budget, agreed-upon results under the One Programme are costed and presented in one financial framework, showing each participating organization’s planned input. Since the One Budget also identifies and highlights unfunded portions, stakeholders have a clear picture of total resources required to implement the One Programme. The One Fund is a key tool for jointly mobilizing, preferably, un-earmarked resources to close the funding gap. Progress made against planned results and actual expenditures is assessed and allocations from the One Fund to participating organizations are made accordingly.

One Leader: The concept of One Leader is for an empowered UN Resident Coordinator (UNRC) and an empowered UNCT to work together with clear accountabilities. Under the One Leader concept, the UNRC provides strategic leadership throughout the development programming and implementation process, including in relation to mobilizing and allocating country-level resources. The UNRC is to lead the process in a collegial and participatory way and is held accountable to governments and participating UN organizations. In turn, the UNRC also holds UNCT members accountable for results to which they committed themselves.

3 A/RES/53/192 of 15 December 1998.

4 At the outset of DaO, Cape Verde was already unique in its set up as a so-called Joint Office since the beginning of 2006 with a common country programme, common operations services, one budget and one representative for UNDP, UNICEF, UNFPA and WFP located in a One House with other UN organizations.

5 See 2007 TCPR.

One Office: One Office unites UN agencies working at the country level through harmonized business processes, common services and, where appropriate, common premises or a UN House. By physically and functionally bringing organizations together, One Offices can help UNCTs achieve greater economies of scale, improve collaboration and present a unified UN image at the country level.

One Voice: Under this particular One UN mechanism, the UNCT speaks with One Voice – with partners, media and the public – to raise awareness of key development issues and to position itself in development discussions. Thus, the UNCT strives to shift from agency-based to issue-based communication.

2.1.3. Expanded DaO Funding Window for Achievement of the MDGs

At the global level, the DaO initiative found financial support in the creation of the Multi-donor Trust Fund “Expanded DaO Funding Window for Achievement of the MDGs” (EFW), launched in September 2008 and operational since July 2009. To date, the governments of Spain, United Kingdom, Norway and the Netherlands have deposited around USD 233.2 million in the EFW. Just under USD 234.2 million have been transferred as un-earmarked resources to nineteen One Funds⁶ to help fill funding gaps. Of this amount, USD 152.2 million have been allocated to the One Funds in the eight DaO pilot countries (see Table 1).

At the country level, EFW funds are complemented and mingled with donor contributions to the One Funds. It is thus not possible to track the EFW shares going to individual participating organizations. Up until November 2011, in his capacity as Vice-Chair of the UN Development Group (UNDG), the UNIDO Managing Director, Mr. Wilfried Luetkenhorst, chaired the EFW Steering Committee.

Table 1: Expanded DaO Funding Window - by DaO pilot country	
DaO countries	Transfers in USD
Albania	3,608,000
Cape Verde	3,462,000
Mozambique	34,975,000
Pakistan	20,861,000
Rwanda	35,304,000
Tanzania	32,272,000
Uruguay	3,563,000
Viet Nam	18,129,000
Total	152,174,000

Source: MPTF Office Gateway statistics, 18 January 2012.

⁶ Albania, Bhutan, Botswana, Cape Verde, Comoros, Kiribati, Kyrgyzstan, Lesotho, Malawi, Maldives, Montenegro, Mozambique, Pakistan, Papua New Guinea, Rwanda, Sierra Leone, Tanzania, Uruguay, Vietnam.

2.1.4. Tracking progress in implementing DaO

The TCPR resolution A/RES/62/208, adopted at the end of 2007, encouraged the UNSG to support programme country pilots to evaluate and exchange their experiences. Based on various stocktaking exercises and reviews, a number of inter-agency and intergovernmental processes, including the High-level Dialogue organized by UNIDO in March 2008 at its Vienna headquarters and High-level inter-governmental conferences in Maputo (May 2008), Kigali (October 2009), Hanoi (June 2010) and Montevideo (November 2011), have since pronounced themselves on the opportunities and constraints of DaO. A recent important source of information, as requested by the 2007 TCPR, is the 2010 country-led evaluations of the Delivering as One country pilots, conducted with the support of the United Nations Evaluation Group (UNEG).

The 2007 TCPR resolution furthermore emphasized “the need for an independent evaluation of lessons learned from such efforts⁷ for consideration by Member States, without prejudice to a future inter-governmental decision”. A/RES/63/311 of September 2009 and A/RES/64/289 of July 2010 respectively reaffirmed the importance of an independent evaluation, and requested that its outcome be submitted to the UNGA at its 66th session in 2012. Work of an independent evaluation team started in July 2011. The report is expected to be available by July 2012.

At the June 2010 High-Level Tripartite Conference on Delivering as One: Lessons from the Country-led Evaluation and Way Forward in Hanoi, Vietnam, and again in Montevideo in 2011, participants affirmed that there is no going back to doing business in the manner prior to the DaO initiative. In other words, where already applied, the DaO concept seems to have become a “conditio sine qua non” for future UN technical cooperation.

Since 2007, a number of so-called DaO self-starters have joined the row of programme countries pursuing a more integrated approach to UN system assistance. As of January 2012, an estimated 47 programme countries had adopted or were in the process of adopting the DaO approach.⁸

⁷ I.e. voluntary efforts towards Delivering as One United Nations.

⁸ Indicative figures. Source: UNIDO CCA/UNDAF/DaO Support Programme.

3.

UNIDO's participation in Delivering as One United Nations

3.1. UNIDO and Delivering as One

"Much has already been done to bring greater coherence to our work. But there is a great deal more work ahead of us if we are to continue delivering as one, whether at the country level or on global issues. If we stay on track, I have no doubt we will eventually get to our common destination." Kandeh K. Yumkella, UNIDO Director-General, Statement at the Meeting on UN System-wide Coherence, Vienna, March 2008

3.1.1. Background

UNIDO is a UN specialized agency mandated to promote sustainable industrial development for poverty reduction, inclusive globalization and environmental sustainability. It provides policy advice, institutional capacity building and specialized technical support in three thematic priority areas, i.e. poverty reduction through productive activities, trade capacity building, and environment and energy. As a specialized agency of the UN, it is guided by the policy orientations contained in UNGA comprehensive policy reviews. UNIDO has participated in the DaO initiative since its launch.

UNIDO is a relatively small UN organization, not always having an official presence on the ground. In this regard, the 2007 TCPR emphasizes that programme countries should have access to and benefit from the full range of mandates and resources of the UN development system, thus including from NRAs. National governments should be the ones to determine which resident and non-resident UN organizations could best respond to the specific needs and priorities of the individual country, including, in the case of NRAs, through hosting arrangements with resident organizations and the use of advanced information and communication technology, including knowledge management.

In his address to the 32nd session of the UNIDO Industrial Development Board (IDB), the UNIDO Director-General highlighted that UNIDO's approach to reform included the following elements: a) sharpening and aligning the focus of UNIDO's work to the internationally agreed development goals; b) building and strengthening UNIDO's partnerships with United Nations and other organizations that have complementary mandates to achieve synergies and increase UNIDO's development impact; c) continuously increasing the volume and improving the quality and efficiency of UNIDO's programme delivery; d) strengthening and integrating the activities of UNIDO at country level in line with its new Field Mobility Policy and through innovative modalities such as the UNIDO Desks established in partnership with the United Nations Development Programme (UNDP); and e) actively contributing to system-

wide coherence through concerted and coordinated approaches at the global, regional and country levels.

In February 2007, the Director-General and other UNIDO staff carried out a series of fact-finding and assessment missions to the DaO pilot countries to gain better understanding on how UNIDO could support the UN coherence initiative.

Following an information session on UN reform and system-wide coherence in March 2007, and the submission of Conference Room Papers on System-wide Coherence to the 33rd session of the IDB and the 12th Session of the UNIDO General Conference (GC)⁹, UNIDO Member States requested the Director-General “to continue the coordination and promotion of UNIDO activities in relation to the on-going discussions on UN system-wide coherence at the global, regional and country levels”.¹⁰ Furthermore, they requested him “to inform the governing bodies of UNIDO on the results of discussions on UN system-wide coherence and its implications for UNIDO. A series of reports have since been presented to the IDB at its 34th, 35th and 36th sessions.”¹¹

As mentioned above, a High-level Dialogue on System-wide Coherence was organized by UNIDO, at its Vienna headquarters, in March 2008. At about the same time, UNIDO established the Office of the Senior Coordinator for UN System Coherence within its Regional and Field Operations Branch to strengthen the Organization’s contribution to DaO. Two months later, in May 2008, the project “Enhancing the Coordination and Support of UNIDO Involvement in DaO/CCA/UNDAF Processes”¹² was approved for implementation during the 2008/2009 biennium with a budget of Euro 705,000, including a contribution from the United Kingdom Government¹³. A follow-up project with an additional Euro 541,000 is under implementation and scheduled to end in the first quarter of 2012. The objective of these projects was to contribute to greater UN contribution to member states’ economic and industrial development priorities by strengthening headquarter coordination of UNIDO’s engagement in UN system-wide coherence as well as the active participation of FOs in the implementation of the DaO initiative and other UN common programming processes at the country level. The achievements of these projects, or what is usually referred to as the “Support Programme” (SP), will be further analysed in Chapter 5.

In June 2008, the UNIDO Strategic Planning and Coordination Group, in cooperation with the Regional and Field Operations Branch, made a presentation at the divisional level on UN system-wide coherence and Delivering as One, during which the importance and implications of UN reforms for UNIDO were discussed amidst a large audience. Furthermore, newly recruited UNIDO staff members are briefed on the subject during induction courses organized on a yearly basis at headquarters.

9 IDB.33/CRP.6 & GC.12/CRP.6.

10 GC.12/Res.6.

11 IDB.34/7, IDB.35/12 and IDB.36/15.

12 UF/GLO/06/200, XP/GLO/08/037, YA/RAF/08/031 and XP/GLO/10/019 and YA/RAF/10/013. For additional information on the relevance and results of the Support Project please refer to Chapter 5.

13 Euro 249,599.

In terms of collaboration in inter-agency bodies at the global level, UNIDO has been involved, often through the Senior Coordinator, in the High-level Committee on Programmes (HLCP), the High-level Committee on Management (HLCM) and the undg, all subsidiary organs of the Chief Executives Board for Coordination (CEB). More specifically, the Organization co-chaired the undg between October 2010 and November 2011. It also participates in the CEB Inter-Agency Cluster on Trade and Productive Capacity and various undg working mechanisms. These include the undg Working-Group on Resident Coordinator System Issues, the UNDAF Programming Network, the Joint Funding and Business Operations Network and the undg/Executive Committee on Humanitarian Affairs Working Group on Transition. UNIDO also participated in the Inter-Agency Task Team on Change Management, which concluded its operations in 2009. At the regional level, UNIDO formalized in 2010 its participation in Regional undg Teams to contribute to improved regional coherence and to support UNCTs.

The UNIDO Management Priorities and expected key results for the year 2011, reflecting the Medium-Term Programme Framework 2008-2011 adopted by the IDB¹⁴, set the frame for further UNIDO participation in UN system-wide mechanisms and at country/regional level. Three key results are outlined, i.e.:

- Increase in UNIDO's involvement in the formulation of UNDAF and UNCT joint programmes;
- Delivering as One concepts mainstreamed and reflected in UNIDO's programme activities; and
- UNIDO is a major voice in the CEB and its High-level Committees (HLCP, HLCM and undg) and UNIDO's objectives are effectively projected within them.

3.1.2. UNIDO presence in DaO pilots

As the following Table 2 shows, UNIDO has some sort of presence in all DaO pilot countries except Albania. Despite a physical presence in Cape Verde, Mozambique and Rwanda, UNIDO is in these countries considered a Non-resident agency (NRA) because it is officially represented by a Regional/Country Office.

DaO has facilitated UNIDO's entry into and brought about a physical presence in Cape Verde. In all other pilot countries, it was already implementing activities.

¹⁴ IDB.32/8 & IDB.32/8/Add.1.

Table 2: UNIDO presence in DaO pilot countries			
DaO countries	UNIDO presence	Responsible FO	Resident or NRA
Albania	-	-	NRA
Cape Verde	National Programme Coordinator	Senegal (Country Office)	NRA
Mozambique	UNIDO Desk	South Africa (Regional Office)	NRA
Pakistan	Country Office	n/a	Resident
Rwanda	UNIDO Desk	Ethiopia (Regional Office)	NRA
Tanzania	Country Office	n/a	Resident
Uruguay	Regional Office	n/a	Resident
Vietnam	Country Office	n/a	Resident

Source: UNIDO.

4.

Assessment of UNIDO's contribution to One UN mechanisms

4.1. UNIDO's contribution to One Programme design

4.1.1. Which roles did UNIDO play in relation to the design of One Programmes?

Under the One UN, UNIDO has contributed to designing One Programmes in all eight pilot countries. In some instances, e.g. Cape Verde and Mozambique, the design process included full UNIDO participation from the start. In others, e.g. Albania, Rwanda and Vietnam, contributing to One Programme design was less straightforward because of traditional UN country-level emphasis on the social sector, specialized UN agencies having a different business model than that of the resident funds and programmes, and/or its status as NRA (in the case of Albania and Rwanda).¹⁵

The 2009 Joint Terminal Evaluation of the Implementation of the Cooperation Agreement between UNIDO and UNDP confirmed that earlier efforts to seek inputs from NRAs with expertise relevant to UNDAF priorities were left to the discretion of the UNRC. Later on, however, the United Nations Development Operations Coordination Office (DOCO) facilitated the introduction of new arrangements to institutionalize the participation of NRAs, thereby providing the full range of UN technical expertise in support of country efforts to achieve development goals.¹⁶

Inclusion of economic development in the Rwanda One Programme

The design of the One Programme began with an UNDAF prioritization retreat in December 2006 with the participation of Government representatives, development partners and the UNCT (including the Head of UNIDO Office and UNIDO's counterparts) in a participative manner. Initially, governance, health, social protection, education and the environment were confirmed as UNDAF priorities covering 80 per cent of the UN's work in the country. Later, however, the UNDAF priority "social protection" was replaced by "sustainable growth and social protection" to accommodate views following additional discussions between participating organizations and with the GoR, including with the UNIDO Director-General in February 2007. Source: UNIDO Rwanda Country Evaluation Report, Final Draft

¹⁵ In Vietnam, UNIDO was included in the One Plan 2 in June 2008 alongside other agencies; in Albania, the One Programme was modified in June 2009 to include UNIDO and IFAD.

¹⁶ Joint Terminal Evaluation, pages 10/11.

Still, UNIDO has often made considerable efforts to promote its priority areas in system-wide mechanisms. Specifically, in view of supporting the design of One Programmes, the evaluation team found that UNIDO:

- fielded its own missions (e.g. Albania and Cape Verde) and was part of One Programme-related inter-agency missions (e.g. Albania and Cape Verde);
- recruited short-term consultants, inter alia funded through the CCA/UNDAF/DaO Support Programme;
- collaborated with high-level government representatives (e.g. Albania, Rwanda and Vietnam);
- participated in and led (e.g. Cape Verde) the development of joint programme components;
- joined One Programme drafting committees (e.g. Cape Verde, Tanzania and Vietnam);
- helped conceptualize One Budgetary Frameworks and One Funds (e.g. Mozambique, Pakistan and Vietnam); and
- led the finalization of the One Plan/Programme Management Plan in Vietnam.

UNIDO contribution to common country programming in Mozambique

UNIDO was not always in a position to fully participate and was not always able to provide inputs to the process. Often, national and international UNIDO consultants took part, but worked on project-specific issues and could not always properly represent UNIDO and its thematic priorities. Another problem was that the UNDAF preparation was such a rapid process that inputs and feedback had to be provided in real time. There is no possibility to wait for headquarter response, which in many cases takes far too long to arrive in Mozambique. Given the centrality of the UNDAF preparation process in defining the problems and priorities that will be the focus of UNIDO's future work, as well as the types of projects and activities that will become/remain UNIDO's niche, this is an issue. Source: 2010 UNIDO Mozambique Country Evaluation

As already mentioned, UNIDO's mandate is to promote sustainable industrial development for poverty reduction, inclusive globalization and environmental sustainability. To this intent, it provides policy advice, institutional capacity building and specialized technical support in three thematic priority areas: poverty reduction through productive activities, trade capacity building, and environment and energy.

Table 3 lists initial One Programme thematic areas. It specifies where these thematic areas envisaged UNIDO support. The Organization and its thematic priorities are generally represented, however often as components of various One Programme thematic areas. This has required scarce UNIDO human resources to involve themselves in a number of thematic working groups.

Table 3: UNIDO involvement in One Programme thematic areas, pilot phase (2007/2008-2010/2011/2012)		
Albania	• More transparent and accountable governance (<i>including energy and trade</i>)	
	• Greater participation in public policy and decision-making	
	• Increase and more equitable access to basic social services	
	• Regional development to reduce regional disparities	
	• Environmentally sustainable development (<i>including energy</i>)	✓
Cape Verde	• Good governance (<i>including trade</i>)	✓
	• Promotion of growth and economic opportunities	✓
	• Environment, energy, disasters prevention and response	✓
	• Human capital and social protection	
Mozambique	• Governance	✓
	• Human capital	
	• HIV/AIDS	
	• Economic development (<i>including trade and environment</i>)	✓
Pakistan	• Agriculture, rural development and poverty reduction (<i>including trade</i>)	✓
	• Health and population	✓
	• Education	✓
	• Environment (<i>including energy</i>)	✓
	• Disaster risk management	
Rwanda	• Good governance	✓
	• Health, population, HIV and nutrition	
	• Education	✓
	• Environment	✓
	• Sustainable growth (<i>including trade</i>) and social protection	✓
Tanzania	• Sustainable income, productive employment and food security (<i>including energy and trade</i>)	✓
	• Quality basic social services for all (<i>including environment</i>)	✓
	• Good governance	✓
Uruguay	• Sustained and sustainable growth (<i>including environment and energy</i>)	✓
	• Eradicating indigence and reducing poverty	
	• Social equality and integration	
	• Strengthening public and civil institutions for social integration	
Vietnam	• Equitable and inclusive social and economic policies, plans and laws (<i>including trade</i>)	✓
	• Quality protection and social services	
	• Environmental protection and rational management of natural and cultural resources (<i>including energy</i>)	✓
	• Accountable, transparent and participatory governance	✓
	• Reduced vulnerability to natural disasters, communicable diseases and other emergencies	

Source: One Programmes; One Programme Annual Reports.

Initial One Programmes are coming to or have come to an end. UNIDO is instead involved in developing new UNDAFs and/or One Programmes, particularly with regard to economic development and environmental issues and sectors. In Rwanda, for example, the Organization is representing NRAs on the United Nations Development Assistance Plan (UNDAP) Task Force. Compared with obstacles encountered in some pilots during the initial stages of DaO, the Organization's participation in designing the next round of One Programmes is accepted, such as in Cape Verde where its substantial capacity and the importance of its technical competence is recognized. On the other hand, similar to its earlier experience, in other countries, due to limited capacity or country-level presence, it is more difficult for UNIDO than for some other agencies to participate and play a leadership role in the time-consuming design process.

Table 4 indicates new One Programme thematic areas, to the extent they have already been identified, and UNIDO's involvement therein. Generally speaking, the number of One Programme thematic areas has been streamlined while retaining - even directly targeting - UNIDO priority areas. This development allows UNIDO to be more focused, which promises greater efficiencies.

Table 4: UNIDO involvement in One Programme thematic areas 2011/2012-2015/2016		
Albania	• Governance and rule of law	
	• Economy and environment (<i>including trade and energy</i>)	<input checked="" type="checkbox"/>
	• Regional and local development	
	• Inclusive social policy	
Cape Verde	• Inclusive growth and poverty reduction	<input checked="" type="checkbox"/>
	• Consolidation of institutions, democracy and citizenship	
	• Reduction of disparities and inequalities	
	• Environmental sustainability and climate change adaptation	<input checked="" type="checkbox"/>
Mozambique	• Economic area (<i>including trade, environment and energy</i>)	<input checked="" type="checkbox"/>
	• Social area	
	• Governance area	
Pakistan	-	
Rwanda	-	
Tanzania	• Economic growth and poverty reduction (<i>including trade, environment and energy</i>)	<input checked="" type="checkbox"/>
	• Quality of life and social well-being	
	• Governance, emergency and disaster response; refugees	
Uruguay	• Economic development	<input checked="" type="checkbox"/>
	• Environment and energy	<input checked="" type="checkbox"/>
	• Social development	
Vietnam	• Inclusive, equitable and sustainable growth (<i>including environment and trade</i>)	(
	• Quality essential services and social protection	
	• Governance and participation	

Source: One Programmes.

Contribution to One Programme Design: Main Findings

- UNIDO's contribution to formulating initial One Programmes in all eight pilots helped to ensure inclusion of economic growth, trade and industrial expertise in the UN system's response to national development priorities.
- Initial obstacles to UNIDO's participation in the design of One Programmes have given way to a general appreciation of the Organization's relevance to government and One UN agendas.
- UNIDO is finding itself better positioned to influence the design of second-generation One Programmes and to consolidate its own role therein.

4.2. UNIDO's contribution to One Programme implementation

4.2.1. Which roles did UNIDO play in relation to the implementation of One Programmes?

One UN Steering Committees generally bring representatives of host governments, the UN system and donor agencies together to take decisions of a strategic nature on the One UN in general and One Programmes in particular. UNIDO is not always directly involved in such strategic decision-making at country level. According to information available, UNIDO plays a role in the Steering Committee in Cape Verde where since 2010 it has represented NRAs; it is also present in the Pakistan, Uruguay and Vietnam Steering Committees. On the other hand, UNIDO does not participate directly in the Steering Committees in Albania, Mozambique and Rwanda.

No NRAs on the One UN Steering Committee in Rwanda

A One UN Steering Committee has been established to guide and decide on the overall strategic orientation and implementation of the One UN Initiative. The Minister of Finance and Economic Planning chairs the Steering Committee, which comprises three other Government of Rwanda representatives, on a rotating basis four members of the UNCT (including two representatives of funds and programmes and two from UN specialized agencies), on a rotating basis three development partners and the UNRC. To date, UNIDO has not been a member of the Steering Committee (nor has any other NRA); neither has the Ministry of Industry and Commerce, UNIDO's main counterpart. Source: UNIDO Rwanda Country Evaluation, Final Draft

UNCT meetings are the highest-level UN system meetings at the country level. At the outset of DaO, UNCT meetings were generally restricted to UN agencies accredited to the respective host governments, thus excluding NRAs. This is no longer the case. UNIDO makes an effort to be present and contribute, including through teleconferencing (Albania) and through its responsible Regional Offices and this seems to bear fruit. The UNIDO ODG/EVA 2011 Fact-finding Mission to Cape Verde concludes that the UNIDO National Coordinator's full participation in the UNCT seems to be key to the Organization's successful integration.

UNIDO participation in the Mozambique UN country team

Since August 2008, in view of the goal of inclusiveness, NRAs had the opportunity to become full members of the UNCT provided their representatives have decision-making authority. Based on a letter of authorization from the UR, the Head of UNIDO Operations (HUO), since having taken duty in 2009, is a fully-fledged member of the UNCT. This was an important step since the UR, who attends UNCT events occasionally, is located in South Africa and cannot ensure consistent and systematic representation within the One UN at the country level. Source: 2010 UNIDO Mozambique Country Evaluation

UNIDO is also active in a number of One Programme management and thematic working groups. In some instances, including where it is not officially present, it has taken a lead agency role. Examples include Mozambique where until February 2010 the HUO chaired the Programme Management Team that supports the management of the One Programme, the One Budgetary Framework and the One Fund. In Pakistan, UNIDO is the “Convening Agent” for activities related to green industries, jobs and employment under the JP on Environment and co-chairs the Cross-cutting Issues Working Group. Together with the International Labour Organization (ILO), UNIDO co-led the Programme Coordination Group “Trade, Employment and Enterprise Development” under the One Plan 2 in Vietnam and it is the “convening agent” for environment and climate change under the One Plan 2012-2016. Furthermore, UNIDO is lead agency for the Sub-programme Promotion of Growth and Economic Opportunities in Cape Verde due to its track record in promoting competitiveness in the country and the relevance of its own sub-regional programmes.

UNIDO as lead agency in Cape Verde

In practice, the presence and function of the National Coordinator has been vital for UNIDO to fulfil this - quite time-consuming - role in a satisfactory manner, including providing strategic leadership and coordination with Government partners, collecting information for narrative and financial reports, and coordinating Annual Work Plans. Source: 2011 UNIDO EVA Cape Verde Fact-finding Mission

4.2.2. How is UNIDO performing in terms of financial delivery under the One Programmes?

MPTF Office Gateway statistics are an important source of financial data used throughout this report.¹⁷ Collected for all UN organizations participating in the One UN, this data allows for making comparisons.

According to Table 5 below, actual transfers from One Funds to UNIDO in the DaO pilots amount to approximately USD 17.6 million to date. Of this, UNIDO had delivered just below USD 10 million by end 2010. Accordingly, UNIDO’s overall delivery rate is a relatively low 56.3%. However, it needs to be emphasized that this figure is calculated as end-2010 expenditures, in percentage of end-2011 transfers.

¹⁷ www.mdtp.undp.org.

MPTF data allows a comparison with average UNCT and agency delivery rates. Table 5 depicts that UNIDO's overall delivery rate - although fairly low - is higher than the overall UNCT delivery rate of 53.3%. UNIDO has performed better than the average participating agency in half of the countries. Deviations range from plus eleven percentage points in Uruguay to minus 12 percentage points in Pakistan.

Table 5: UNIDO financial delivery of One UN funds 2008/2009-2010 in USD						
DaO pilots	Initial funding gaps	Actual One funds transfers 2008/2009 - 2011/2012	Expenditures 2008/2009 -2010	UNIDO delivery rates in % of initial funding gaps	UNIDO delivery rates in % of transfers	UNCT delivery rates in % of transfers (for reference)
Albania	418,000	493,000	196,654	47.0	39.9	53.4
Cape Verde	529,000	1,218,010	533,710	100.9	43.8	50.2
Mozambique	5,400,000	2,353,415	1,438,624	26.6	61.1	64.1
Pakistan	13,469,583	2,871,165	803,553	6.0	28.0	40.2
Rwanda	13,500,000	2,448,731	1,449,081	10.7	59.2	58.9
Tanzania	4,846,000	5,081,068	2,695,875	55.6	53.1	53.7
Uruguay	1,253,505	1,253,505	1,250,267	99.7	99.7	88.7
Vietnam¹⁸	2,910,000	3,410,000	1,537,100	52.8	45.1	39.4
Total	42,326,088	17,592,341	9,904,864	23.4	56.3	53.3

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

The extent to which UNIDO has delivered One funds improves when comparing end-2011 transfers with end-2011 expenditures (see Table 6). Accordingly, the average UNIDO implementation level jumps from 56.3% to a fairly high 82.2%.

18 Vietnam One Plan Fund II.

Table 6: UNIDO financial delivery of One UN funds 2008/2009-2011 in % and USD		
Albania	71.1%	327,612
Cape Verde	67.9%	773,002
Mozambique	95.9%	2,110,950
Pakistan	74.4%	1,921,152
Rwanda	84.5%	1,888,926
Tanzania	80.3%	3,705,997
Uruguay	98.6%	1,152,859
Vietnam	81.6%	2,586,479
Average	82.2%	14,922,510

Source: UNIDO CCA/UNDAF/DaO Support Programme.

According to MPTF Office Gateway statistics, in all pilots except Rwanda, delivery picked up in the second year of UNIDO's participation (see Annex C). However, to the extent already known, UNIDO was subsequently unable to maintain or further increase its level of delivery, also due to lower amounts of available One funds. In Rwanda, for instance, the extent to which UNIDO has expended One funds has constantly declined from a high USD 656,720 in 2008 to a low USD 225,582 in 2010.

When comparing actual expenditures with the amount of One funds UNIDO initially programmed for, estimations in Cape Verde, Uruguay and Vietnam seem largely realistic. In Pakistan, Rwanda and Mozambique, reality deviates widely from plan.

Challenges encountered by UNIDO in the pilot countries included unpredictable availability of One funds without which no purchase could be initiated or contract issued, late transfers of annual funding and late issuance of project allotment documents (PADs), transfer of insufficient tranches of One funds for procuring equipment and technical expertise, time-consuming procurement processes, limited time of project managers at UNIDO headquarters, scarce UNIDO core budgetary resources to bridge funding gaps and ensure continuity in implementation, and dependence on other participating organizations' delivery performance.

UNIDO Contribution to One Programme Implementation: Main Findings

- Today, as opposed to pre-DaO, UNIDO is member of UNCTs also in those countries where it does not have an official presence; the Organization is also active, including as a lead agency, in a number of One Programme management and thematic working groups, including in pilot countries where it has limited or no presence.
- UNIDO is not always directly involved in strategic decision-making by One UN Steering Committees.
- UNIDO's delivery of One funds is fairly high (82.2% at the end of 2011). It is performing better than the average participating organization in half of the DaO pilots.

4.3. Effectiveness of One Programme implementation

4.3.1. Extent to which UNIDO outputs are produced and contribute to the achievement of One Programme outcomes

UNIDO is contributing to the achievement of One Programme outcomes, either through stand-alone projects or activities forming part of joint programmes.¹⁹ According to the 2011 UNIDO Field Office Survey, opinions on joint programmes differed. While in Rwanda and Tanzania, they were found to be more efficient and effective than stand-alone projects, opinions in Mozambique, Pakistan, Uruguay and Vietnam were more differentiated.

By and large, UNIDO contributes to One Programmes in areas where the Organization has relevant competences and comparative advantages. Focus areas are economic empowerment (Cape Verde, Mozambique, Rwanda, Tanzania, Vietnam), youth employment/education (Cape Verde, Mozambique, Rwanda, and Tanzania), environment and energy (Cape Verde, Mozambique, Rwanda, Tanzania, Vietnam), and economic governance (Cape Verde, Rwanda, Uruguay). Partner UN organizations are the Food and Agriculture Organization (FAO), UN Women, ILO, the International Trade Centre (ITC), UNDP, the United Nations Environment Programme (UNEP) and the United Nations Conference on Trade and Development (UNCTAD).

According to the 2010 UNIDO Mozambique country evaluation, UNIDO development results in Mozambique are mixed. In particular, joint programmes were found to have posed more challenges and faced more implementation problems than typical UNIDO projects. Challenges experienced included late disbursement of funds from the One Fund, complicated and slow procurement procedures of different participating agencies, including UNIDO, weak coordination and incoherent activities. Specifically, while the UNIDO project contributing to the economic development component of the JP on Gender Equality was rated low in terms of effectiveness and the likelihood of the UNIDO project contributing to the proposed long-term objectives of the JP on Youth was also considered low, the effectiveness of the UNIDO project in support of the JP on Environment with the aim to develop renewable energy systems in several rural communities was rated high. Joint planning from the start and strong coordination during implementation was noted as particularly positive elements in the latter case.

In relation to Tanzania, the 2010 evaluation found UNIDO's country programme to be effective. Generally, UNIDO was found to be an active, respected and articulate member of the UN community making a distinct contribution and providing value added in terms of making available its resource and knowledge base on trade and industry and in technology-related areas. Through the JP 1 on Wealth Creation, Employment and Economic

¹⁹ Terminology pertaining to “joint programmes” and “joint programming” is not used consistently throughout the UN system. Some UNCTs called One Programme outcome areas “joint programmes”, while others used a more process-related approach called “joint programming”. In addition, a specific modality called “joint programmes” was used, essentially meaning projects jointly designed and implemented by UN organizations. The present report does not attempt to unravel the details for each UNCT.

Empowerment, the JP 5 on Capacity Strengthening for Development Management (Zanzibar) and the JP 10 on Education, UNIDO was found to have produced various outputs and contributed to enhanced competitiveness of agribusinesses and the promotion of market-driven education. In particular, the constructive division of labour between FAO and UNIDO, with FAO focusing on production and processing for the local market and UNIDO on value addition and semi-processing for institutional buyers, as well as in food safety issues was noted. UNIDO's contribution to JP 11 on Environment was the only one assessed as non-effective.

In Rwanda, the majority of UNIDO projects are implemented under the One Programme but predominantly as stand-alone projects. Generally speaking, the 2011 UNIDO Rwanda country evaluation notes that the effectiveness of UNIDO's country programme has been negatively affected by funding issues. Tighter collaboration with other UN agencies in the country is only evident in the case of the joint intervention on Enhancing the Socio-Economic Development of Women through Strengthening Agaseke Cooperatives in Kigali City where UNIDO was reportedly one of the first UN agencies to deliver, despite late receipt of financial inputs from the Rwanda One UN Fund. However, for lack of other funding sources, most planned activities under this joint intervention were postponed to 2011, and at the time of the country evaluation, planned beneficiaries were not accessing UNIDO's services and activities had not contributed to increased earnings. On a more positive note, the 2010 Rwanda Country-led Evaluation notes synergies created thanks to the UNIDO Rural Energy (Small Hydropower) Programme (see Box). According to the UNIDO Rwanda Country Evaluation, "the availability of electric power has also impacted the UN's area-based development initiatives. A new joint UN programme has been developed for Mutobu due to the electrification there. Other agencies such as DFID have also expressed an interest to extend further (grid connection access) assistance on the back of the UNIDO work."

Example: One project, a UNIDO mini-hydroelectric plant that has expanded to a joint intervention with other UN agencies, started with one site. It has now mapped out 40 other potential sites in Rwanda. The engagement of the Government of Rwanda throughout the intervention has ensured government ownership of the concept. The Government is planning to construct 10 additional mini hydroelectric plants to provide electricity to distant rural communities. Source: 2010 Rwanda Country-led Evaluation

Besides implementing its own projects under the One Programme in Vietnam, UNIDO has been partner to two JPs. Since December 2009, it has contributed to the JP "Green production and trade to increase income and employment opportunities for the rural poor. It is also participating with a minor financial contribution from the One Fund to the JP "Gender equality". According to findings from the 2012 UNIDO Vietnam country evaluation report, UNIDO's technical assistance has become increasingly complex, with most projects covering two of UNIDO's three main sectors for cooperation. Most recent projects are also working more upstream.

As regards the JP on green production and trade, the UNIDO country evaluation found the value chain approach taken to be highly relevant to grass-root beneficiaries, and thus to

poverty reduction and achieving the MDGs, although very ambitious in terms of geographic coverage, number of value chains and number of expected beneficiaries. At the same time, it concluded that applying joint programme planning instead of parallel planning processes would increase the relevance of UNIDO's activities. UNIDO and its national co-partners are assigned direct responsibility for four outputs. There has been a tendency to aim for rather complicated technical solutions, not entirely adapted to the low level of sophistication of the beneficiary SMEs and households and the absence of strong backstopping from UNIDO headquarters seems to have delayed the implementation of the UNIDO component, which in turn hampered progress of other components. Consequently, at mid-term, none of UNIDO's outputs had been produced. It was therefore assessed as uncertain that UNIDO will be able to achieve its expected outputs within the remaining programme life-time. The likelihood of sustainable results seemed rather weak. Having said this, a recent correspondence from the MDG-F Secretariat to the UNCT in Vietnam proposes expanding support provided to the JP "because it has demonstrated successful development results, a clear national leadership and ownership of the programme and has a high potential for replication and scaling up".

The 2011 EVA Fact-finding Mission to Cape Verde concluded that many worthwhile and relevant projects are being implemented by UNIDO. Although progress has been rather slow due to dependence on UNIDO seed funding or One funds and the fact that these funds have been given out in rather small portions and with long time lags, many activities have been implemented and many important outputs produced, and Cape Verde has benefited from UNIDO's presence and its expertise. However, for many projects, the core objective and some core outputs were still to be achieved. An example relates to Sub-Programme 5 Environment, Energy, Disasters Prevention and Response, the objective of which, together with UNEP, is the establishment of a Cleaner Production Centre. Moreover, things could be done more jointly, both within UNIDO and within the UN, i.e. working together towards common outcomes, and coordination mechanisms seemed somewhat weak. There was also a good level of collaboration and regular interaction with some agencies, such as with FAO and UN Women in promoting growth and economic opportunities, and this despite the fact that many interventions are implemented by agencies from outside the country.

Moreover, 2010 One UN Annual Reports provide agency-specific information, presented below but which has not been validated by the evaluation team. In Albania, UNIDO, together with UNEP, has contributed effectively to the implementation of the One Programme through the National Cleaner Production Programme under the Environment Pillar, in response to the Government's efforts to encourage environmentally sustainable ways of production. The JP has completed a policy review and assessment and developed a National Resource Efficient Cleaner Production (RECP) strategy. Government officials and relevant national stakeholders were trained in RECP policy concepts, instruments and strategies. The next steps include establishment of an institutional framework for RECP advocacy and promotion.

In Uruguay, UNIDO is executing agency for the JP A: Institutional Strengthening for the Design of Economic Development Strategies: Country International Insertion and Long-term Energy Policies Development. With funding from the One Fund, UNIDO has supported the development and implementation of policies and strategies that address energy, country

image, foreign direct investment, and intellectual property. Furthermore, UNIDO is co-executing agency with FAO and UNEP of JP B: Technical Assistance for the Design of Public Policies that Promote Sustainable Production and Employment, a JP that was selected to be presented at a knowledge fair held by the UN System Staff College and DOCO in 2010. Key outputs of this JP include the establishment of a business and employment dynamics observatory and analysis of numerous value chains, including automotive, bio & nano technology, citrus, information technology and communications, dairy, meat, oilseeds, pharmaceuticals, pork, poultry, renewable energy, textile, tomatoes, tourism, and wood.

In Pakistan, UNIDO has engaged in three JPs on agriculture, rural development and poverty alleviation; environment; and education; and in the gender cross-cutting issue. As a member of the damages and needs assessment sector team involved in post-flood operations, UNIDO made a substantial input to the industries and private sector component. UNIDO also led an assessment of the impact of Pakistan's recent floods on the attainment of MDG 8. The MDG assessment, together with damage and needs assessment reports, formed the basis for all post-flood development work in the country.

4.3.2. How has the One UN affected UNIDO's visibility?

UNIDO's visibility at country level has clearly increased thanks to its participation in the DaO initiative. The Organization benefits from the possibility to reach a larger audience than before the introduction of DaO as a result of:

- Interactions with a greater number of project counterparts in Cape Verde, Pakistan, Mozambique, Rwanda, Uruguay and Vietnam, inter alia, through newly recruited national experts;
- Visibility on the One UN website in Cape Verde, Tanzania and other pilot countries;
- More opportunities to attract the attention of the local media in Cape Verde, Rwanda and Tanzania;
- Joint UN publications such as One Programme Annual Reports in Albania, Cape Verde, Tanzania, Uruguay and Vietnam.

Although information available about the value of UN Communications Groups under DaO is generally positive, some regrets are voiced about the lack of capacities for UNIDO to become more involved. According to the 2011 UNIDO FO Survey, UNIDO is an active member of UN Communication Groups in Mozambique, Uruguay, Vietnam, but not in Pakistan, Rwanda or Tanzania. In Vietnam, the Organization, in 2010, recruited its own Press & Communications Officer (funded from several projects) who joins the One UN Communication Team once a week.

UNIDO and One Voice in Mozambique

More specifically, the UN Communications Group forms the basis for the UNCT to speak in a unified voice on how it has contributed to poverty reduction by supporting national development goals. However, it is relatively difficult for UNIDO to participate effectively in the joint communications process because, contrary to agencies with strong field representations, it lacks the technical capacities to do so. Thus, UNIDO attempts to include industrial development issues (like the Africa Industrialization Day) have not received much support. Furthermore, the Communications Group expects UNIDO to deliver articles that are more or less ready for press and the HUO cannot easily provide them due to other priorities. Source: 2010 UNIDO Mozambique Country Evaluation

Effectiveness of UNIDO Contribution to One Programme Implementation: Main Findings

- UNIDO is partnering with other UN organizations that have complementary mandates, inter alia in joint programmes.
- Opinions on the efficiency and effectiveness of joint programmes differ. Per se, they are not considered an advantage over stand-alone projects.
- Factors found to have weakened the Organization's effectiveness under DaO are funding constraints and dependence on the performance of partner UN agencies. Factors strengthening its effectiveness are joint planning, clear division of labour and strong coordination.
- UNIDO's visibility at country level has clearly increased thanks to its participation in the DaO initiative.

4.4. UNIDO's participation in One Budgetary Frameworks/One Funds

4.4.1. What have been UNIDO's budgets under the One Programmes?

UNIDO is involved in the One Programmes and associated One Budgetary Frameworks of all eight DaO pilot countries. Its initial budgeted proposals amount to USD 71.5 million (see Table 8), comprising UNIDO's own available and expected inputs plus the amount to be mobilized through One Funds.

Table 8: UNIDO planned budgets under One Programmes in DaO pilots in USD				
DaO pilots	UNIDO planned budgets under One Programmes	Total One Budgets (planned)	UNIDO % of One Budgets	Average participating organization % of One Budgets²⁰ (for reference)
Albania	418,000	98,000,000	0.4	11.1
Cape Verde	5,200,000	73,000,000	7.0	5.9
Mozambique	8,600,000	115,000,000	7.5	5.3
Pakistan	13,469,583	488,000,000	1.5	6.3
Rwanda	14,800,000	488,000,000	3.0	5.3
Tanzania	5,375,000	74,000,000	7.3	5.6
Uruguay	1,253,505	95,500,000	1.3	8.3
Vietnam	22,400,000	403,000,000	5.5	7.7
Total	71,516,088	2,237,000,000	3.3	

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

UNIDO's largest planned budget under One Programmes was in Vietnam, i.e. USD 22,400,000, followed by Rwanda (USD 14,800,000) and Pakistan (USD 13,469,583); the smallest budgets were in Albania (USD 418,000) and Uruguay (USD 1,253,505).

These figures do not necessarily represent UNIDO's entire technical cooperation budgets, which could be larger. In pilots such as Albania, Mozambique and Tanzania, initial One Programmes did not encompass the entire UNIDO (or UN system) development cooperation spectrum.²¹ For instance, country-level components of UNIDO regional projects and UNIDO-implemented Global Environment Facility (GEF) and Montreal Protocol (MP) projects were often excluded for reasons pertaining to timing and donor-specific funding/implementation modalities.

²⁰ Albania: 9 participating organizations; Cape Verde: 17; Mozambique: 19; Pakistan: 16; Rwanda: 19; Tanzania: 18; Uruguay: 12; Vietnam: 13. Source: MPTF Office Gateway, 18 January 2012.

²¹ The One Programme in Vietnam covered 100% of programmes and budgets of all UN participating organizations.

Compared to the average participating UN organization, UNIDO's planned share of One Budgets is larger in three pilots (Cape Verde, Mozambique and Tanzania). It is smaller than the average in the remaining five countries, and particularly so in Albania and Uruguay.

With the exception of the latter two countries, UNIDO's planned budgets under One Programmes are higher than real disbursements in earlier years. This is considerably the case in Cape Verde (where UNIDO was not active earlier), Mozambique, Pakistan, Rwanda and Vietnam. In Cape Verde and Vietnam, the increase was mainly due to available and expected own funds. In Mozambique, Pakistan and Rwanda, UNIDO sought a large percentage of its increased budgets from the One Funds (see Table 9).

Table 9: Comparison of UNIDO planned budgets under One Programmes and UNIDO disbursements prior to DaO in USD			
DaO pilots	UNIDO planned budgets under One Programmes²²	Of which initial funding gaps	Prior UNIDO disbursements²³
Albania	418,000 (2009-2010)	418,000	503,039 (2003-2006)
Cape Verde	5,200,000 (2008-2010)	529,000	0 (2003-2006)
Mozambique	8,600,000 (2008-2009)	5,400,000	4,334,684 (2004-2007)
Pakistan	13,469,583 (2009-2010)	13,469,583	8,729,229 (2004-2007)
Rwanda	14,800,000 (2008-2012)	13,500,000	1,477,663 (2004-2007)
Tanzania	5,375,000 (2008-2010)	4,846,000	4,037,400 (2003-2006)
Uruguay	1,253,505 (2008-2010)	1,253,505	1,269,702 (2004-2007)
Vietnam	22,400,000 (2008-2010)	2,910,000	6,309,918 (2004-2007)

Source: One Programmes; UNIDO CCA/UNDAF/DaO Support Programme.

Generally, DaO has led to greater funding availability. With the exception of Mozambique and Pakistan, where UNIDO has not allotted any of its own resources, UNIDO's actual budgets under One Programmes are larger than pre-DaO disbursements (see Table 10).²⁴

Financially, the Organization has largely benefitted from the existence of the One Funds. With the exception of Cape Verde and Vietnam, One Fund allocations have played a more important role than UNIDO allotments.

Table 10: Comparison of UNIDO actual budgets under One Programmes and UNIDO disbursements prior to DaO in USD				
DaO pilots	Actual transfers from One Funds 2008/2009-2011	Actual UNIDO allotments 2008-2011	Total available funds under One Programmes	Prior UNIDO disbursements
Albania	493,000	40,868	533,868	503,039 (2003-2006)
Cape Verde	1,218,010	1,901,651	3,119,661	0 (2003-2006)

²² As per the original One Programme design, i.e. without later extensions where applicable.

²³ Latest available figures.

²⁴ Actual UNIDO budgets could be even larger when considering any activities outside One Programmes.

Mozambique	2,353,415	0	2,353,415	4,334,684 (2004-2007)
Pakistan	2,871,165	0	2,871,165	8,729,229 (2004-2007)
Rwanda	2,448,731	345,933	2,794,664	1,477,663 (2004-2007)
Tanzania	5,081,068	1,229,264	6,310,332	4,037,400 (2003-2006)
Uruguay	1,253,505	285,525	1,539,030	1,269,702 (2004-2007)
Vietnam	3,410,000	20,713,506	24,123,506	6,309,918 (2004-2007)
Total	19,128,894	24,516,747	43,645,641	

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

UNIDO's Budgets under One Programmes: Main Findings

- UNIDO planned to implement activities worth USD 71.5 million under One Programmes in the DaO pilots.
- Planned budgets differ considerably in size ranging from around USD 400,000 in Albania to USD 22 million in Vietnam.
- With the exception of Albania and Uruguay, planned budgets were considerably higher than the Organization's disbursements in previous years.
- Ultimately, circumstances under DaO have led to greater funding, mainly thanks to funds channelled through One Funds. With the exception of Mozambique and Pakistan, UNIDO's actual budgets under One Programmes are larger than pre-DaO disbursements.

4.4.2. Extent to which UNIDO resources are allocated to One Programmes

Generally, UN agencies are expected to contribute to One Programmes with their own resources mobilized outside the country (core and non-core). This, despite the fact that specialized agencies, including UNIDO, are often not endowed with substantial core development funds and that their technical assistance programmes have traditionally been financed by donors and very often raised at the country level. Nevertheless, of the budgeted USD 71.5 million for implementing UNIDO activities in all eight DaO pilots, UNIDO pledged to contribute USD 29.2 million (41%), a combination of available and expected own resources (see Table 11).

Table 11: UNIDO commitments to One Programmes in USD				
DaO pilots	UNIDO commitments	Commitments in % of planned UNIDO budgets under One Programmes	UNIDO commitments in % of total agency pledges	Average participating organization commitments in % of total agency pledges (for reference)
Albania	0	0.0	0.0	11.1
Cape Verde	4,671,000	89.8	11.4	5.9
Mozambique	3,200,000	37.2	5.2	5.3

Pakistan	0	0.0	0.0	6.3
Rwanda	1,300,000	8.8	0.4	5.3
Tanzania	529,000	9.8	1.2	7.1
Uruguay	0	0.0	0.0	8.3
Vietnam	19,490,000	87.0	7.4	7.7
Total	29,190,000	40.8		

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

Of the approximately USD 29 million in projected UNIDO financial resources, two-thirds were intended for Vietnam (i.e. USD 19,490,000); the rest spread among Cape Verde, Mozambique, Rwanda and Tanzania. At the outset, no UNIDO-sourced funds were budgeted by UNIDO for Albania, Pakistan and Uruguay.

While overall UNIDO pledged to provide around 41% of the funds required for implementing its activities under One Programmes, its share varies widely at country level, ranging from 0% in Albania, Pakistan and Uruguay to nearly 90% in Cape Verde and Vietnam respectively.

As the above Table 11 also depicts, UNIDO's planned share of total resources was often lower than the average agency share. Exceptions are Cape Verde, where UNIDO's contribution was anticipated to be considerably higher than others, as well as Mozambique and Vietnam, where the UNIDO share is at an average level.

Meanwhile, UNIDO has allotted USD 24.5 million from its own resources for implementing - extended - One Programmes in the DaO pilots, or 84% of its original commitments. Again, Vietnam has by far benefited the most. UNIDO has also managed to mobilize/allocate more resources than envisaged to Albania, Tanzania and Uruguay. On the other hand, it has allocated less than committed to Cape Verde and Rwanda. It has contributed nothing at all in Mozambique and Pakistan (see Table 12).

Table 12: Actual UNIDO resource allocations to One Programmes in USD		
DaO pilots	UNIDO commitments	Actual UNIDO resource allotments 2008-2011
Albania	0	40,868
Cape Verde	4,671,000	1,901,651
Mozambique	3,200,000	0
Pakistan	0	0
Rwanda	1,300,000	345,933
Tanzania	529,000	1,229,264
Uruguay	0	285,525
Vietnam	19,490,000	20,713,506
Total	29,190,000	24,516,747

Source: UNIDO CCA/UNDAF/DaO Support Programme.

In Cape Verde, UNIDO's strategy has been to use project funds from large regional projects as agency contribution to One Budgets. In Vietnam, UNIDO has been able to mobilize funding at the country level from individual donors. Contrary to Cape Verde, Rwanda and Tanzania where individual funds' mobilization is not encouraged, this is seemingly an accepted practice in Vietnam. On the downside, contrary to the Organization's intentions, the fact that UNIDO has not provided any own funding for implementing the One Programme in Mozambique, in contrast to other UN partners, is reported to have negatively reflected on UNIDO's image.

Country-level fundraising in Mozambique

Country-level fundraising under the UNDAP will be carried out by the Resident Coordinator's Office and individual agencies have been asked to refrain from individual fundraising activities at the national level. This can be both an advantage and a disadvantage - a disadvantage because UNIDO will have less control over what is funded and will not be in a strong position to liaise with its traditional partners and donors and to directly agree on projects where there is a common interest. Source: 2010 Mozambique UNIDO Country Evaluation

In Tanzania, apart from some non-core funds, in order to ensure smooth and timely implementation, UNIDO has regularly provided its field office with so-called seed funding (core funds) to bridge gaps and cover for delays in One Fund transfers. This useful practice, noted by the 2010 Tanzania UNIDO Country Evaluation, does not seem to have been replicated in other DaO pilots.

UNIDO's Resource Allocations under One Programmes: Main Findings

- UNIDO pledged to contribute USD 29.2 million for One Programmes in the DaO pilots (41% of its total planned budget), this was a combination of available and expected resources
- The extent to which UNIDO anticipated contributing its own resources ranges widely, from 0% in Albania, Pakistan and Uruguay to nearly 90% in Vietnam and Cape Verde.
- UNIDO's planned share of total resources was often lower than the average agency share.
- To date, UNIDO has contributed 84% of its financial commitments for implementing One Programmes. The extent to which it has met expectations differs from country to country.

4.4.3. How much did UNIDO expect to mobilize from the One Funds at the country level?

At the outset, UNIDO indicated funding gaps for 2008/2009 to 2011/2012 amounting to USD 42.3 million, to be raised through One Funds (59% of its total planned budgets under the One Programmes) (see Table 13 and Annex C).

Table 13: UNIDO initial funding gaps under One Programmes in USD				
DaO pilots	Initial UNIDO funding gaps 2008/2009-2011/2012	In % of total estimated UNIDO budgets	In % of UNCT funding gaps	Average participating organization funding gaps in % of UNCT funding gaps (for reference)
Albania	418,000	100.0	2.3	11.1
Cape Verde	529,000	10.2	1.6	5.9
Mozambique	5,400,000	62.8	10.0	5.3
Pakistan	13,469,583	100.0	2.1	6.3
Rwanda	13,500,000	91.2	8.7	5.3
Tanzania	4,846,000	90.2	16.1	7.1
Uruguay	1,253,505	100.0	8.3	8.3
Vietnam	2,910,000	13.0	2.1	7.7
Total	42,326,088	59.2	4.0	

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

Overall, UNIDO expected to fund more than half of its total programme budget in the DaO countries through One Funds (59.2%). This can be explained by the Organization's heavy reliance on donors for funding its technical cooperation programme. Anticipated funding gaps range from a low 10.2% in Cape Verde and 13% in Vietnam to 100% in Albania, Pakistan and Uruguay.

In absolute terms, UNIDO country-level funding gaps in Rwanda and Pakistan were considerably higher than in the other pilots. Funding gaps ranged from USD 418,000 in Albania and 529,000 in Cape Verde to over USD 13 million in Pakistan and Rwanda. Both in relative and absolute terms, anticipated dependence on One funds was highest in Pakistan. Available data does not show a particular pattern when compared with other participating organizations. In some instances, i.e. Mozambique, Rwanda and Tanzania, UNIDO planned to rely more on the availability of One funds than the average UN agency; in others, i.e. Albania, Cape Verde, Pakistan and Vietnam far less.

4.4.4. Extent to which UNIDO has collected funds from the One Funds for implementing activities under the One Programmes

The extent to which UNCTs have mobilized funding for their respective funding gaps, i.e. for their respective One Funds, varies considerably among the DaO pilots as the following Table 14 depicts. Of the anticipated USD 1,070,000,000, only USD 449 million or 42% has been forthcoming. While the One Funds in Cape Verde, Pakistan, Rwanda and Vietnam have suffered, those in Albania, Mozambique and Tanzania have been endowed with more than originally requested.

Table 14: Mobilization of One funds in DaO pilots in USD			
DaO pilots	One Funds	Deposited funds 2008-2011	In % of One Funds
Albania	18,000,000	25,645,490	142.5
Cape Verde	32,000,000	14,454,583	45.2
Mozambique	54,000,000	68,078,693	126.1
Pakistan	628,000,000	73,153,944	11.6
Rwanda	155,000,000	65,803,762	42.5
Tanzania	30,000,000	123,602,354	412.0
Uruguay	15,000,000	13,883,846	92.6
Vietnam	138,000,000	64,474,911	46.7
Total	1,070,000,000	449,097,583	42.0

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

Actual transfers from One Funds to UNIDO amount to USD 19.1 million to date; representing 45.2% of the Organization's initial overall funding gap as established prior to One Programme implementation (see Table 15).

Table 15: One funds transfers to UNIDO in DaO pilots, 2008/2009-2011/2012, in USD						
DaO pilots	Initial funding gaps	Approved One UN Fund allocations	Actual transfers	Transfers in % of initial funding gap	UNIDO share of total transfers in %	Average share of total transfers in % (for ref.)
Albania	418,000	493,000	493,000	118.0	2.2	11.1
Cape Verde	529,000	1,218,010	1,218,010	230.0	8.9	5.9
Mozambique	5,400,000	2,353,415	2,353,415	43.6	4.0	5.3
Pakistan	13,469,583	2,871,165	2,871,165	21.3	4.4	6.3
Rwanda	13,500,000	3,325,011	2,448,731	18.1	5.3	5.3
Tanzania	4,846,000	5,578,336	5,081,068	104.9	4.9	5.6
Uruguay	1,253,505	1,253,505	1,253,505	100.0	10.5	8.3
Vietnam²⁵	2,910,000	3,410,000	3,410,000	117.2	5.3	7.7
Total	42,326,088	20,502,442	19,128,894	45.2	5.0	

Source: UNIDO CCA/UNDAF/DaO Support Programme; MPTF Office Gateway statistics, 18 January 2012.

One funds have been allocated to participating UN organizations based on their respective One Programmes, consolidated annual work plans and following country-specific modalities and criteria such as national priorities, financial delivery and availability of own funds. The UNRC, UNCTs, donors and host governments have played different roles in the resource allocation process in the different pilots.

²⁵ Vietnam One Plan Fund II.

While 45% of UNIDO's overall funding gap has been filled to date, the situation in the individual eight DaO pilots varies considerably. In four countries, i.e. Albania, Uruguay, Cape Verde, Tanzania and Vietnam, original expectations have been met and even exceeded.²⁶ On the other hand, One Fund transfers to UNIDO in Rwanda and Pakistan were much less than expected. In absolute terms, most One funds were forthcoming in Tanzania, Vietnam and Pakistan.

Compared to other participating organizations, UNIDO's share of country-level One funds is above average and more than/what was originally expected in Cape Verde and Uruguay; it is average although less than expected in Rwanda. On the other hand, its share is below average but more than expected in Albania, Tanzania and Vietnam; it is below average and less than expected in Mozambique and Pakistan.

Country-level data shows that annual One Fund transfers equal approved annual allocations in all but two countries, i.e. Rwanda and Tanzania where transfers have differed.²⁷ The highest recorded annual transfer was in Vietnam in 2009 (USD 2,536,691). In 2011, both UNIDO in Mozambique and Uruguay received zero dollars. Annual transfers from One Funds to UNIDO appear volatile in terms of size. Besides clear trends in Albania (negative), Cape Verde (positive) and Pakistan (negative), transfers from One Funds can differ considerably from one year to another.

Where transfers do not correspond to requests, factors affecting UNIDO's access to funding from One Funds are several. None of them seem to play a dominant role across the board. Some of them are external to the Organization, others internal. They include UNIDO financial delivery rates, the quality and rigour of the allocation process, extent of joint programming and partner performance, physical presence in meetings, national priorities, availability of UNIDO's own resources, and amount of donor deposits. In one case (Rwanda), a prolonged HUCO vacancy has been detrimental.

UNIDO funding from the Rwanda One Fund

According to evidence available, the One UN funds allocation process has hampered UNIDO's participation in the Rwanda One UN. Issues reported relate to i) amount of time spent on annual planning; ii) insufficient information about available resources; iii) no institutionalized presence of government counterparts in planning and decision-making; iv) perceived dominant role of the UNRC; v) transfers in two tranches and delays in receiving funds; vi) underutilized, under-developed and changing criteria for objectively allocating funds to activities; vii) missing documented process and rationale for allocation decisions; and viii) impossibility to carry over unexpended funds. Source: UNIDO Rwanda Country Evaluation, Final Draft

Data for Albania suggests that having no country presence can be a disadvantage in view of tapping opportunities to increase UNIDO's technical cooperation portfolio under the One UN.

²⁶ Including transfers in 2012 (see Annex C).

²⁷ See Annex III.

Despite being somewhat more than planned, UNIDO has collected fewer funds than in the other DaO pilots. It has also received a much smaller share than other participating organizations. Where UNIDO is physically present, however, there does not seem to be a strong correlation between the type of UNIDO country presence and its allocation of One funds.

4.4.5. Spanish MDG Achievement Fund

UNCTs in 59 countries have been able to request contributions from the global Spanish MDG Achievement Fund (MDG-F)²⁸, established in December 2006. To date, MDG Achievement funds have been allocated to 50 countries²⁹, including Albania, Mozambique, Uruguay and Vietnam (see Table 16).

Table 16: MDG Achievement Fund - by DaO Pilot Country - in USD				
		Approved allocations 2007-2011	Actual transfers 2007-2011	Expenditures 2007-2010
	Albania	12,667,200	11,030,634	4,743,842
	Mozambique	17,500,000	17,500,000	8,419,935
	Uruguay	3,370,000	3,370,000	2,021,815
	Viet Nam	12,000,000	10,515,543	4,967,536
	Total	45,537,200	42,416,177	20,153,128

Source: MPTF Office Gateway statistics, 18 January 2012.

UNIDO participates in MDG-F financed JPs in three of these DaO countries, i.e. Mozambique, Uruguay and Vietnam (see Table 17). To implement its activities, the Organization has been allocated a total of USD 2.9 million, of which it has collected USD 2.8 million and spent USD 1.4 million (49.4%).³⁰

Table 17: MDG Achievement Fund - UNIDO Participation in DaO Countries - in USD				
		Approved allocations 2007-2011	Actual transfers 2007-2011	Expenditures 2007-2010
	Mozambique	1,011,330	1,011,330	478,737
	Uruguay	1,005,651	1,005,651	645,265
	Vietnam	901,991	742,561	239,450
		2,918,972	2,759,542	1,363,452

Source: MPTF Office Gateway statistics, 18 January 2012.

²⁸ www.mdgfund.org.

²⁹ MPTF Office Gateway, 18 January 2012.

³⁰ While these figures include 2011 transfers, they do not yet include 2011 expenditures.

In Mozambique, UNIDO is contributing to one of three MDG Fund-funded JPs, i.e. on “Environment mainstreaming and adaptation to climate change”; the amount of funds collected is midfield. For implementing the Uruguay JP “Strengthening cultural industries and improving access to the cultural goods and services”, UNIDO has received second-most MDG funds following the United Nations Educational, Scientific and Cultural Organization (UNESCO). In Vietnam, UNIDO helps implement the JP “Green production and trade to increase income and employment opportunities for the rural poor”, for which it has received the second-largest amount of funds following the International Trade Centre (ITC). Also in Vietnam, UNIDO has received a minor contribution of USD 127,311 to implement parts of the JP “Gender equality”.

Mobilization of One funds for UNIDO: Main Findings

- Overall, UNIDO’s initial funding gap of USD 42.3 million is larger than its projected financial contribution (59% of its total planned budget).
- Anticipated funding gaps ranged from a low 10% in Cape Verde and 13% in Vietnam to 100% in Albania, Pakistan and Uruguay. UNIDO’s planned dependence on country-level One funds does not stand out against the average participating organization.
- In absolute terms, anticipated funding gaps ranged from a low USD 418,000 in Albania and 529,000 in Cape Verde to over USD 13 million in Pakistan and Rwanda.
- Meanwhile, UNIDO has raised USD 19.1 million from One Funds in the DaO pilot countries, representing 41.6% of the Organization’s initial overall funding gap. In addition, it has received USD 2.8 million from the MDG-F for activities in Mozambique, Uruguay and Vietnam.
- Mobilization of One funds varies considerably. Country-level transfers range from 16% of UNIDO’s initial funding gap in Rwanda to 230% in Cape Verde. In Albania, Uruguay, Cape Verde and Vietnam, original expectations have been met and even exceeded.
- Compared with other participating organizations, UNIDO’s share of One funds is average or above average in Cape Verde, Uruguay and Rwanda. In the remaining five pilots, it is below average; but only in Mozambique and Pakistan less than originally expected.
- There is no correlation between the type of UNIDO country presence and its participation in One Budgetary Frameworks/One Funds. On the other hand, having no permanent country presence such as in Albania appears to be a disadvantage in terms of tapping opportunities.

4.5. UNIDO’s contribution to operational coherence

4.5.1. Has UNIDO moved offices to co-locate with other UNCT member agencies in a One Office/One UN House?

Since DaO, UNIDO has located its offices in One UN Houses in Cape Verde, Pakistan and Zanzibar. It plans to do so in Vietnam where the UNIDO Representative contributed to the One UN House project as an alternate project board member. On the other hand, in

Uruguay, the Organization has opted not to join the planned One House due to anticipated higher costs compared with the current rent-free premises.

There is no One UN House in Albania, Mozambique, Rwanda and Tanzania. Whereas UNIDO is sharing common premises with a number of other UN agencies in Rwanda, Tanzania and Vietnam, it continues to use a separate office in Mozambique and has no country presence in Albania.

Common premises in Rwanda

The UNCT has been working with the GoR since 2007 to establish a common site for all UN agencies in Kigali. In April 2009, a land agreement was signed between UNDP (as Administrative Agent for all UN agencies) and the Ministry of Economic Affairs and Finance. Various measures are being taken in view of establishing a public-private partnership. However, a Memorandum of Understanding committing UN organizations to occupying the common premises has only been signed by UNDP, UNICEF and UNFPA headquarters. The general expectation is for UNIDO to follow UNDP; implications in terms of increased rental costs are not known. It is likely that a One UN House in Rwanda will only be operational in the next DaO programme cycle. Source: UNIDO Rwanda Country Evaluation, Final Draft

The experience in Cape Verde has been positive. Being located in the One House seems to be key to successful integration of NRAs. Communication and inter-agency cooperation have become easier. Security was the main reason for establishing a UN House in Pakistan. UNIDO's pro rata share of costs, which is more than previously paid, is covered through the office budget and to the extent possible, project budgets.

The Joint Terminal Evaluation of the Implementation of the Agreement between UNIDO and UNDP confirms the value of being located in UNDP premises or United Nations Houses, also for easier access to information and logistical and administrative support from UNDP.³¹

4.5.2. Extent to which UNIDO is using common services/has harmonized business practices

UNCTs face the daily challenge of operating under different systems and procedures while being expected to deliver as one. As reported to its policy organs, adapting UNIDO's current business practices and procedures, while ensuring continued alignment to the Organization's specific circumstances and operating modalities, is a challenge.

In terms of administrative operations, UNIDO in Cape Verde is using a number of common services, including security, water and electricity, drivers, printers, photocopying, internet and financial services. In Mozambique, developments under DaO include a common travel agency, banking system, a roster of translators and interpreters, standardized rates for consultants, synchronized pay periods, common vehicle plates and common medical and security services. In Uruguay, UNIDO utilizes common services in travel agencies, telecommunications, hotels, photocopying, office supplies, courier services, inter-agency

³¹ Joint Terminal Evaluation, page 13.

intranet, and inter-agency training. In Vietnam, UNIDO utilizes common services in travel agencies, security, water, electricity, banking services, and the standardized rates for consultants and other common cost norms. According to the 2011 UNIDO FO Survey, UNIDO is an active member in Operations Management Teams (OMTs) in Mozambique, Pakistan, Rwanda, Uruguay and Vietnam, but not in Tanzania.

On the programme side, in Vietnam, UNIDO applies the “EU-UN Cost Norms”, i.e. a single set of standardized rates for the local costs of development projects. Furthermore, the Organization is confronted with the expectation for it to apply the Harmonized Programme and Project Management Guidelines for implementing projects under the forthcoming One Plan III. The Guidelines intend to harmonize and simplify work between the Government and the UN system and are expected to help reduce transaction costs for all parties involved and improve the effectiveness of aid, including through use of a higher degree of national implementation instead of agency implementation. In Uruguay, the template used for the elaboration of One Fund-financed projects does not coincide with UNIDO’s template, causing operational difficulties in relation to the approved budget lines.

4.5.3. Extent to which UNIDO has shifted or should shift from agency to national implementation of projects under DaO

While relying on agency execution, evidence from Cape Verde, Mozambique, and Vietnam points to a growing expectation for UNIDO to consider national implementation in the future.

Disadvantages of UNIDO agency implementation in Mozambique

Institutional arrangements for project implementation give government counterparts a marginal role in Mozambique. In fact, with a few exceptions, projects are managed directly by UNIDO from the UNIDO office in Maputo. This largely has been found to result in a low level of information and weak ownership, little or no government counterpart contributions and unlikely sustainability of goods and services generated by the projects. Source: 2010 UNIDO Mozambique Country Evaluation

Especially in Vietnam, the Government is promoting the so-called Harmonized Programme and Project Management Guidelines (HPPMG), which imply delegating authority to the country office to manage and monitor projects implemented by local technical expertise (national implementation).

However, as reported to its policy organs, the nature of important earmarked contributions and vertical funds, such as those from the GEF, tend to limit UNIDO’s room for manoeuvre. In Tanzania and Uruguay, there is no such pressure. Indeed the UNIDO Tanzania Country Evaluation finds that during the pilot phase national implementation seems to have somewhat diminished and agency implementation to have become more prominent for the UN as a whole for efficiency reasons. At the same time, among the specialized agencies, certain scepticism to national implementation is noted and many feel protective of their technical assistance mandate.

Preference for agency implementation in Tanzania

The use of national systems for the implementation of project activities or for support activities, such as procurement, is limited. Procurement is in itself a complex issue, and the Government is not really interested to take over this function as UNIDO is considered to be faster and cheaper, has a larger network for sourcing technical experts and is more informed about technology choices. Discussions between the evaluation team and national counterpart ministries indicate that efficiency is given preference over national execution. Source: 2010 UNIDO Tanzania Country Evaluation

4.5.4. Extent to which UNIDO is/should be HACT compliant

In line with UNGA TCPR Resolution 56/201, the Harmonized Approach to Cash Transfers (HACT) was initially adopted for UNDP, UNICEF, UNFPA and WFP and introduced in September 2005. UN specialized agencies that are members of the undg, including UNIDO, agreed to adopt HACT at a undg meeting on 24 April 2008. UNIDO was one of several organizations to confirm the use of HACT where applicable to its operations in DaO pilots.

All DaO pilots, except Albania and Pakistan, report having fully implemented HACT.³² However, in Albania, Cape Verde, Pakistan, Rwanda, Tanzania, Uruguay and Vietnam, UNIDO had not participated at the time of the country evaluations. In Mozambique, the 2010 UNIDO country evaluation found that the Organization had started to test HACT in 2008 on a pilot basis. Since then, some progress has been made with the completion of micro-assessments for three UNIDO national partners in November 2011, but challenges remain.

Progress and challenges in Mozambique

UNIDO has started to pilot HACT in Mozambique with three implementing partners which have recently been micro assessed, utilizing a common long-term agreement with a local audit firm. The first experiences have shown that UNIDO, through its limited presence in the country, has little control over the process. For example, it is not in the position to effectively contribute to common assurance activities and has to rely on risk ratings and information provided by other UN agencies. Unable to fully control the assurance process, UNIDO faces challenges to forego financial controls, such as the collection and review of invoices. In addition, most of UNIDO's expenditures are subject to international tenders, other direct procurement activities and recruitment. The limited cash disbursement at country level is accompanied with a maximum local spending limit of US\$20,000. Each amount exceeding US\$200,000 has to be approved by headquarters in Vienna. Particular challenges are expected with donor reporting as, according to UNIDO, it will be difficult for donors to understand that tranches have been transferred to implementing partners without executing diligent financial controls. Source: Global Assessment of the Harmonized Approach to Cash Transfer (HACT) - undg HACT Advisory Committee, December 2011

³² Global Assessment of the Harmonized Approach to Cash Transfer (HACT) - undg HACT Advisory Committee, December 2011.

In 2011, an independent Global Assessment of HACT was conducted for the UNDG HACT Advisory Committee. The Assessment is generally critical and has identified many challenges that question the feasibility of today's HACT concept for many countries: "Therefore, the implementation of HACT is feasible in countries where the government expresses a genuine interest in conducting HACT capacity assessments and assurance activities in lieu of control-based financial management mechanisms. This requires the full implementation of HACT, ensuring the provision of sufficient staff and financial capacity. In many cases, the HACT implementation at the country level has introduced an additional layer of coordination without the necessary incentive for individual agencies to drive the harmonization of related business practices. This includes the specialized agencies which have started to carefully participate by testing the application in a few pilot countries. To successfully address the existing challenges, agencies and inter-agency bodies at headquarter level will have to ensure their commitment to develop UNDG approved guidelines that clarify the applicability of HACT at the country level. The guidelines will need to provide a level of standardization that will establish appropriate assurance activities and clarify the distribution of roles and responsibilities in the process. As harmonization of business practices is not an end in itself, it should be carefully reviewed whether the necessary investments would be met by an equal amount of measurable efficiency gains for the UN and implementing partners at the country level."³³

Nonetheless, looking forward, the relevance of HACT for UNIDO is confirmed in the context of an anticipated increased national implementation (of joint programmes) and in view of strengthening national ownership, capacities and sustainability. A minority view insists on agency implementation for specialist services on the basis of UNIDO's clear comparative advantage.

UNIDO's Contribution to Operational Coherence: Main Findings

- UNIDO is less involved in the One Office Pillar than it is in the One Programme pillar. The extent to which UNIDO is using common services and has harmonized business practices depends on the country context. Where One UN Houses exist or are about to be opened, UNIDO has moved in with the exception of Uruguay.
- Agency execution/implementation remains the standard modality for delivery for UNIDO in the DaO pilot countries despite growing expectations for the Organization to include national implementation as a possible delivery modality.
- UNIDO has made only limited use of HACT, however an instrument that has been assessed as highly complex and only partly successful.

³³ Specifically, according to the Assessment, only five countries, including Mozambique and Tanzania, reported the participation of one or more specialized agencies, including UNIDO. However, it was noted that specialized agencies, including UNIDO, have showed a notable interest in the concept, have closely followed on-going HACT implementation, and frequently participated in inter-agency groups such as the UNDG HACT Advisory Committee.

4.6. Benefits and costs of UNIDO contribution to One UN mechanisms

4.6.1. Actual expenditures incurred or reduced

DaO has led to increased UNIDO expenditures such as related to office rental, utilities, transportation and hiring experts/consultants, the latter to complement regular staff with additional human resources. It has also created new cost items such as for UNDAF reviews and HACT micro-assessments. Besides using funds for technical cooperation to cover such expenses, funding has also been made available through the UNIDO Programmatic Support Fund mechanism established in 2006, UNIDO Regular Budget funds and the UNIDO CCA/UNDAF/DaO Support Programme.

While in Cape Verde and Vietnam, actual costs of managing UNIDO's portfolio as part of the UNCT were considered moderate and unproblematic, the burden was considered (too) high in Mozambique and Tanzania (Zanzibar). In Uruguay, the Organization opted not to join the planned One House due to anticipated higher costs compared with the current rent-free building.

Costs of coordination in Mozambique...

In 2010, UNIDO received an invoice from UNDP for USD 13,502, which was to cover for an emergency reaction unit, HACT micro-assessments, UN Cares (workplace programme on HIV), UNDAF evaluation and security. UNIDO was only able to pay around USD 9,000, with most of the regular funds covering expenditures for office rental, utilities, local travel and maintenance of equipment and vehicles, and thus was unable to pay its HACT contribution. In addition, expenses for the UNDAF evaluation had to come from a different source. Source: 2010 UNIDO Mozambique Country Evaluation

...and in Tanzania

Under the country programme, UNIDO has allocated budgets for programme coordination and more specifically for local and HQ travel, office equipment and national consultants. As regards the latter, there has also been a need to complement the more or less regular staff resources with additional staff positions. Costs have often been shared between different projects, as it has not been possible to increase the number of regular staff. An issue are common service costs (office, security, procurement, radio, ICT) in Zanzibar, which some agencies, including UNIDO, find exorbitant and have requested clarifications. Source: 2010 UNIDO Tanzania Country Evaluation

4.6.2. Extent to which the workload for UNIDO has changed as a result of its participation in One UN mechanisms

Participation in the DaO pilots, and particularly the Organization's participation in One Programmes, has increased demands on staff time, both during the design and implementation phases. Reasons provided for this include time-consuming One Programme design and management processes, number of meetings and the importance of briefing

national authorities. According to the UNEG Evaluability Assessment of DaO in Rwanda, for example, specialized agencies had spent as much as 40 to 50% of their time contributing to One Programme design; similarly in Uruguay. In Vietnam, the One Plan 2 design process reportedly required up to 60% of the UNIDO representative's time. According to the more recent 2011 UNIDO FO Survey, around 35% of the UNIDO representative's time is dedicated to DaO. Accordingly, the relatively weak presence of UNIDO on the ground is a disadvantage.

High transaction costs in Rwanda

Given annual allocations from the Rwanda One UN Fund, Theme Groups are required to develop CAPs, a process that reportedly can take up to six months. Findings of the County-led Evaluation estimate that roughly 32% of staff time in the programme cycle is spent on planning and that ideally this should be closer to 21%. Similarly, staff estimate that they spend roughly 35% of their time on implementing, and that ideally this should be closer to 46%. However, there are currently no indications that transaction costs will decrease in the short-term. Source: UNIDO Rwanda Country Evaluation, Final Draft

Only Cape Verde reports a reduction of workload thanks to DaO, i.e. for programme development and reporting.

Reduced workload in Cape Verde

For UNIDO, Cape Verde is a country with a portfolio of many small projects (in budget terms), covering many project managers and several technical branches, thus with distinct time dimensions and management costs. Participation in the One Programme is demanding in terms of time. However, some burdens are also reduced, with programme development and reporting put forward as examples. 2011 UNIDO EVA Fact-finding Mission to Cape Verde

4.6.3. Extent to which expenses are commensurate to benefits of delivering as one

Major costs of delivering as one include additional human resources for managing larger and wider project portfolios and coordination costs. Benefits of contributing to One UN mechanisms appear to outweigh costs of UNIDO's participation. Benefits reported from Albania, Cape Verde, Pakistan, Tanzania, Uruguay and Vietnam include additional income, greater visibility and credibility increased learning opportunities, a more strategic orientation and programmatic synergies.

Benefits and Costs of Contributing to One UN Mechanisms: Main Findings

- DaO has had a price tag attached to it. The DaO approach has not resulted in savings for UNIDO, but greater costs.
- Moreover, from the outset, coordination requirements and active participation in DaO have resulted in considerable additional workloads for UNIDO staff.
- However, benefits of being part of the One UN have outweighed costs of UNIDO's participation.

4.7. Roles, responsibilities and capacities of UNIDO staff for contributing to One UN mechanisms

4.7.1 Extent to which UNIDO's headquarter-based delivery mode/field presence are conducive to One UN participation

Various UNIDO staff members, including at the Organization's headquarters, Regional Offices and at country level, are involved in One UN mechanisms. Roles, responsibilities and capacities differ somewhat depending on the type of organizational set-up in the individual DaO countries, which pre-dates DaO except for Cape Verde where a National Programme Coordinator was recruited in 2009.

Generally speaking, management of UNIDO projects is very centralized with the main responsibility, including for monitoring, lying with project managers at UNIDO headquarters. As concerns individual pilot countries, in Cape Verde, individual project managers have provided efficient support to the country. Most have effectuated regular missions to the country and the expertise they bring has been appreciated. Also in Tanzania, individual project managers have for the most part been assuming efficient management of the different country programme interventions; and in Uruguay, continuous support and quick response received from HQ colleagues has been crucial for allowing an efficient involvement of UNIDO and a smooth implementation of projects.

In Tanzania, communication with headquarter-based project managers, for instance regarding financial and legal matters, were considered clear and efficient when managers were not busy with other things, which has resulted in delays in implementation. In Mozambique, centralized project management has led to implementation delays and negatively affected capacities to identify problems and put timely solutions into practice. Centralized decision-making has also made dialogue with government counterparts and other UN agencies in Mozambique in the context of the field-level DaO process more difficult. In addition, although they have great technical knowledge, several project managers were found not to be familiar with national problems and were not be able to regularly participate in country-level discussions.

In the case of Uruguay, the UNIDO Representative acts as the main allotment holder. This has seemingly helped to provide immediate responses to stakeholder demands and response to the need for changes during projects' implementation. In Cape Verde, however, decentralizing project management to the responsible Country Office in Senegal was not found to be an option given its little technical capacities and the fact that it is not endowed with an imprest account.

UNIDO's operations in Cape Verde, Mozambique and Rwanda are supervised by the responsible Country Office in Senegal and Regional Offices in South Africa and Ethiopia

respectively.³⁴ While the URs covering Cape Verde and Rwanda visit on a regular basis, the situation in Mozambique is characterized by a situation of overstretched human resources at the Regional Office, which covers ten countries in Southern Africa.

Pressure to strengthen UNIDO country presence in Mozambique

The UNIDO Representative in South Africa does not have the time and capacity to engage in One UN discussions at the country level. In addition, the role of the UNIDO Regional Office in overseeing activities in Mozambique has been decreasing over time as a consequence of, inter alia, the changes that have taken place as a result of the One UN process. The deepening of the One UN process in the next few years and the anticipated increasing demands for improving the performance of field operations is likely to further reduce the role of the Regional Office. Source: 2010 UNIDO Mozambique Country Evaluation

Compared to other UN agencies, UNIDO country-level staffing is small, and given its importance for contributing to One UN mechanisms, in particular as regards the One Programme, often considered insufficient. To help address capacity constraints, regular staffing has been complemented with short- and medium-term consultants for project and coordination support.

For instance, the UNIDO field office in Dar es Salaam is duty station for two international professional staff (one UNIDO Representative and one Junior Professional Officer), a Senior Secretary, a Financial Assistant and a Senior Driver. This relatively weak human-resource base of the FO has to some extent been compensated by 12 project-financed experts to support implementation and monitoring. This dynamic and well-established team in Tanzania participates fully in the UNCT and joint programmes relevant to its mandate. It has developed excellent relationships with key public and private sector stakeholders and has been instrumental in mobilizing financial and in kind resources at the national level. Nonetheless, the number of projects, their thematic and geographical dispersion and the requirement to be present in various development cooperation and One UN working groups, as well as the short-term contracts and limited authority and exposure of project staff, pose challenges to UNIDO's participation in DaO.

Furthermore, the human resources of the UNIDO Desk in Mozambique encompass the HUO, an Administrative Assistant, and a driver. The salary of the Administrative Assistant is covered partly by UNDP, while that of the driver is paid by one of the UNIDO projects. Although the One UN has given UNIDO the unique possibility to achieve higher visibility and increase its participation in UN initiatives, it also put a significant workload on the field level related to inter-agency coordination and planning meetings. Nevertheless, the UNIDO Desk in Mozambique has shown good performance. Despite its limited human and financial resources, its presence has played a key role in the dialogue with the Government, the UN and donors in the country, the provision of technical support to projects, and in fundraising.

³⁴ There is no UNIDO Regional Office in the Europe and Newly Independent States region.

Although the HUU is unanimously perceived as a very competent and active member of the UNCT, the PMT, JP meetings and the UNDAF preparation process, he is often unable to represent UNIDO and cannot devote himself solely to the One UN programme given other responsibilities and demands for support and often does not have the authority to make decisions. Thus, the presence of a UNIDO Desk helps solve the problem but there is a risk that the limited capacity in the field will lead to a failure to meet the Government's and other stakeholders' expectations.

The recruitment of a National Programme Coordinator (NPC) in Cape Verde was a pragmatic solution to ensure UNIDO's presence in the country, and - thanks to good connections to both the public and private sectors - this person has been vital and instrumental in providing continuous support to implementation and coordination with other UN agencies. However, although the presence of a national coordinator is deemed adequate, the fact that he is not a UNIDO staff member, i.e. does not have official status or in-depth knowledge of UNIDO, and lacks decision-making power, is however felt to impede UNIDO's contribution to the One UN.

Importance of country presence in Cape Verde

Initially, UNIDO's participation in the Cape Verde One UN was coordinated from UNIDO headquarters by the Area Officer. This changed with the posting of a new UR to the Country Office in Dakar in 2008. Since then, the Cape Verde programme falls under the overall responsibility of the UR, who visits the country on a regular basis. The role of the NPC, supervised by the UR, was a pragmatic solution to ensure UNIDO's presence in the country. Initially financed from the UNIDO CCA/UNDAF/DaO Support Project and later from budgets of various UNIDO projects, including those financed by One funds, the NPC has been vital and instrumental in providing continuous support to implementation and coordination with other UN agencies. 2011 UNIDO EVA Fact-finding Mission to Cape Verde

The recruitment of short- and medium-term consultants for project and coordination support, funded through projects and the UNIDO CCA/UNDAF/DaO Support Programme, has helped seize opportunities and strengthen visibility, but is considered second best to increasing the number of UNIDO field staff. Reasons provided are their limited authority, responsibilities and exposure. Furthermore, as explicitly mentioned in the case of Pakistan, Rwanda and Vietnam, UNIDO runs the risk of losing capable national experts to more secure job offers, thus endangering the sustainability of UNIDO's contribution to DaO. In addition, in Vietnam, the government does not agree with office staff being funded from One funds.

In light of a zero growth budget, it has not been possible to increase the number of regular UNIDO staff at country level. Several voices thus recommend more clearly defining the responsibilities of international/national experts and consultants with regard to their participation in inter-agency coordination mechanisms and building their capacities and knowledge, inter alia, as regards UN reforms and Delivering as One. Where a UNIDO Desk exists, HUOs could be given more decision-making power when participating in inter-agency mechanisms.

Roles, responsibilities and capacities of UNIDO staff for contributing to One UN mechanisms: Main Findings

- UNIDO's situation is characterized by limited human resources coping with increased coordination requirements and delivery expectations.
- UNIDO country presence, including through UNIDO Desks, is key to contributing to One UN mechanisms.
- Timely decisions and technical inputs from HQ-based project managers are fundamental, but not always realistic.
- Consultants compensate for UNIDO's relatively small country presence. However, they are not in a position to contribute fully due to temporary contracts and limited authority and exposure.

5.

Review of UNIDO Support Programme “Enhancing the Coordination and Support of UNIDO Involvement in CCA/UNDAF and Delivering as One Mechanisms”

5.1. Introduction and background

This chapter will review the “Enhancing the Coordination and Support of UNIDO Involvement in CCA/UNDAF and DaO Mechanisms”, also referred as the Support Programme (SP). It should be noted, however, that the SP is not the only programme supporting DaO, there was also the Programmatic Support Fund mechanism established in 2006 with a clear UNDAF-related outcome and there has also been Regular Budget (RB) funds supporting DaO participation, thus a comprehensive UNIDO commitment towards One UN mechanisms.

The SP has its rational in the UN reform process, the accompanying DaO initiative and in a request stemming from the UNIDO General Conference, in December 2007, “to continue the coordination and promotion of UNIDO activities in relation to the on-going discussion on United Nations system-wide coherence at the global, regional and country levels”.

The SP started in July 2008 and has since been financed through two phases and with an overall budget of about € 1 million. The SP, for the biennium 2008-2009, was approved by UNIDO’s internal approval body in May 2008. The objective of the SP was to contribute to greater coherence, effectiveness and relevance of UN development system operations at country level through effective participation in UNCT and UNDG Regional Team activities and a constant dialogue with relevant UNDG bodies on this matter. It was originally funded through three projects UF/GLO/06/200, XP/GLO/08/037, YA/RAF/08/031, with a total budget of € 705,000. This included a contribution of the United Kingdom Government, made up of available underutilized balance (UB) funds amounting to € 249,599, through project UF/GLO/06/200. This latter project was to support the UN coherence initiative at the field level. Project XP/GLO/08/037 was extended in December 2010 until June 2011.

In May 2010, a second-phase project (1 July 2010 to 31 December 2011) with a total budget of € 541,000 was approved. In its decision, UNIDO’s Approval and Monitoring Committee (AMC) noted that “a similar proposal, beyond 2011, will not be considered as the introduction will be completed and the approach mainstreamed”. The follow-up project was financed by projects XP/GLO/10/019 and YA/RAF/10/013 and had an envisaged duration of 18 months.

The objective of the second-phase project was aligned to the former, but gave additional emphasis to ensure greater UNIDO contribution to the economic and industrial development priorities of member states. Thus, in addition to a UNIDO/UN internal objective, there was

more of a technical cooperation objective in terms of assisting the developing countries in their industrial development process.

5.2. Assessment of the Support Programme

The SP has, as mentioned above, been financed through five UNIDO projects, three of which (referred to below as the 2008 project) are operationally completed (i.e. UF/GLO/06/200, XP/GLO/08/037, and YA/RAF/08/031). The total budget allotted to the SP since its start and through the 5 projects amounts to about € 1 million. For all projects, minor budgetary adjustments have been made and documented in budget revisions.

An overview of the total allotments, by project and by budget line, and expenditures incurred, by the end of 2011, can be found in the following Tables 18 and 19.

Table 18: Total allotments by project and major budget lines (BLs) in Euro					
Project No.	UF/GLO/06/200	XP/GLO/08/037	YA/RAF/08/031	XP/GLO/10/019	YA/RAF/10/013
BL11-00 International expert/consultants	41,112	106,510	52,777	153,000	0
BL13-00 Project assistant	17,581	53,600.0	0	42,000	0
BL15-00 Project travel	7,221	0	14,904	4,000	0
BL16-00 Other personnel costs	48,585	38,800	25,605	26,500	0
BL17-00 National experts/consultants	133,229	95,065	35,863	64,000	23,700
BL21-00 Sub-contracts	0	15,425	0	26,000	0
BL35-00 Non-UNDP meeting	0	0	0	0	
BL51-00 Miscellaneous costs	1,138	0	2,092	1,500	0
BL55-00 Hospitality	0	0	0	2,500	0
BL81-00 Monitoring and self-evaluation	0	0	0	10,000	0
Total allotment (in Euro)	248,865	309,400	131,241	329,500	23,700
Grand total (in Euro)	1,042,706				

As can be seen from Table 19, major budget posts have been international experts/consultants, national experts/consultants and staff travel.

Table 19: Total allotments by project and major budget lines (BLs) in per cent					
Project No.	UF/GLO/06/2 00	XP/GLO/08/0 37	YA/RAF/08/0 31	XP/GLO/10/ 019	YA/RAF/10/ 013
BL11-00 International expert/consult ants	17	34	40	46	0
BL13-00 Project assistant	7	17	0	13	0
BL15-00 Project travel	3	0	11	1	0
BL16-00 Other personnel costs	20	13	20	8	0
BL17-00 National experts/consult ants	54	31	27	19	100
BL21-00 Sub- contracts	0	5	0	8	0
BL35-00 Non- UNDP meeting		0	0	0	0
BL51-00 Miscellaneous costs	0	0	2	0	0
BL55-00 Hospitality	0	0	0	1	0
BL81-00 Monitoring and self-evaluation	0	0	0	3	0
Total (in per cent)	100	100	100	100	100

The purpose, of the first 2008 SP, was to contribute to an adequate positioning of UNIDO in the system-wide coherence at the country level by enhancing the coordination of and support to UNIDO's participation in CCA/UNDAF and Delivering as One process. As such, the SP would strengthen the coordination of CCA/UNDAF and DaO-related activities at headquarters and provide in near real time, substantive guidance and/or material assistance

to UNIDO field staff, enabling them to participate effectively and promote UNIDO's interests. The project was also to allow UNIDO to cope with a possible scaling up of the One UN approach.

Outputs of the projects were:

- Documents available on DaO as well as CCA/UNDAF processes and countries
- Substantive contribution to DaO and CCA/UNDAF processes provided to the One UN and CCA/UNDAF roll-out countries
- Substantive inputs to the strategic planning process provided to the Strategic Planning and Coordination Group of the, at the time, Bureau of Organizational Strategy and Learning

Output indicators existed, but were not SMART and it has not really been possible to assess the achievement of these outputs as no quantitative or qualitative targets were developed and output indicators were expressed in very vague terms, such as; "number of national development planning documents collected", "number of audio/video conferences organized" or "volume of briefing notes produced". Moreover, whereas the first output was straightforward and concrete, the other two were vague and it was not specified what the contribution or inputs should consist of, which made an assessment as to whether or not expected outputs have been produced difficult, if not impossible. It is also noteworthy that there were no development-oriented outputs or indicators despite the fact that DaO and UNDAF roll-out countries were stated as main beneficiaries. It was, however, mentioned in the project document that UNIDO aimed to contribute to more strategically focused and programmatically coherent One Programmes and to reduce transaction costs for governments concerned and to continue to respond to industrial development needs.

The second project document, from 2010, mentions the following envisaged results:

- Established DaO-related network kept operational to ensure relevant and rapid response to field requests for substantive guidance and/or material support on DaO and CCA/UNDAF process
- Strategic advisory services provided for UNIDO effective and rapid response by Headquarters and FOs to the requirements of the DaO and CCA/UNDAF process
- Field office capacity strengthened to support effective and timely implementation of One UN Programmes/Plans in the eight pilot countries and the DaO self-starters, including the UNDAF roll-out countries, in support of coherent UN response to Government priorities

The 2010 project continues the support facility established in 2008 through the provision of short-term national expertise. Comparing the 2010 project objectives with the 2008 ones, there is a wider and more demand-oriented objective in the 2010 document: "Greater UN contribution to the economic and industrial development priorities of member states" whereas the immediate objectives are stated as "more effective UNIDO participation in UNCT and UNDG Regional Team activities including Poverty Reduction Strategy (PRS),

CCA/UNDAF and DaO preparation activities”. Expected outcomes were contribution to the five outcomes of UNIDO’s results-based management (RBM)-based field office work plans and specifically, enhancement of UNIDO’s visibility, responsiveness to national priorities and effective participation in UN initiatives.

5.2.1. Relevance

At the time of the initiation of the SP, it was felt that UNIDO was more attuned to traditional technical cooperation delivery, that its in-house structure could not adequately cope with One UN-related demands and functions and that the Organization needed designated resources to efficiently and effectively participate in One UN mechanisms. It was envisaged that countries, in addition to the eight DaO pilots, would embark on DaO exercises and that the UNDAF would be rolled out and emerging as a central planning and implementation modality for the UN. This turned out to be accurate assumptions: 46 UNDAFs were initiated in 2010 and around 30 in 2011. DaO was also seen as an opportunity for UNIDO to have more impact on the ground. Moreover, there was a quest from its field offices for support to respond to various One UN demands. Due to the zero-growth budget of the organization, it was not possible to hire new regular staff for these purposes. This aspect is reinforced by the fact that the immediate target beneficiaries of the programme were UNIDO FOs and Headquarters.

Moreover, it was felt that UNIDO was not fully attuned to the DaO modality and that additional support and resources were needed to overcome various challenges. This had clearly come out of the UNID stocktaking exercise, incorporating missions to the eight pilot countries. In fact, different UNIDO assessment missions had found that UNIDO thematic priorities were often neglected in UNDAFs and One UN Programmes whereas member states had expressed strong support for UNIDO’s participation in One UN mechanisms in statements in the IDB and the GC. Another rationale for the SP was that UNIDO needed to analyse what kind of changes were needed, within the organization, to cope with the One UN coherence agenda. The Office of the Senior Coordinator, see below, has also produced analyses indicating the need for remedial action.

The frequency and intensity of consultations with the field had, moreover, demonstrated limitations of the in-house structure and in July 2007, UNIDO solicited the services of an international consultant to contribute to UNIDO’s participation in One UN mechanisms. In March 2008, UNIDO created the office of the Senior Coordinator for UN System Coherence. Still, the mounting requirements and challenges called for a more structured approach and a higher level of preparedness and not the least in light of recognized relatively weak in-country capacities and the fact that high demands for coordination and participation at country level stretched FO staff. The SP was to alleviate some of these constraints and increase capacity.

The first SP was thus developed to respond to a high demand for DaO-related guidance and support and there was a high degree of relevance to UNIDO and to the UN as a whole,

which needed agency participation to bring the One UN agenda forward. The follow-up project was approved and started in mid-2010, thus three and a half years after the DaO initiative was launched in the eight pilot countries. In-house constraints were still felt and it was argued that the organization was still more tuned to traditional technical cooperation delivery activities than participating in One UN mechanisms. The project document also emphasized the need to continue the momentum built. The need to facilitate the application of lessons learned from the DaO self-starters was also stressed as well as the rolling out of UNDAFs in 2010 and 2011. The second phase puts, in addition, specific emphasis on addressing certain, and undoubtedly real, constraints or issues such as limited capacity and resources of FOs for efficient engagement in common country programming activities, increased demand for coordination at HQ and in the field and increased number of requests to HQ for support and guidance.

Relevance of the SP: Main Findings

- High demands for coordination and participation at country level stretched FO and HQ staff. As a response to the need for DaO-related guidance and support, the SP was highly relevant to UNIDO and the UN as a whole, which needed agency participation to bring the One UN agenda forward.

5.2.2 Choice of implementation modality

As described above, the SP is not a typical UNIDO project in that it supports the organization in achieving, primarily, organizational objectives and only indirectly development objectives. As such, the choice of a project modality and the creation of an ad hoc support facility, mainly providing international and national experts and consultants, as opposed to the creation of a post and consultancy funds using regular budget resources, can be questioned. Moreover, as the two project documents argue that One UN and UNDAF mechanisms “are here to stay and on the increase”, projects with limited duration are not optimal solutions. UNIDO’s zero-growth budget and related difficulties to finance and create new posts partly explains the choice of modality. It should also be recognized that resource constraints were felt in many areas, thus not only in relation to FO support, and the allocation/suppression/creation of posts needs to be done according to organizational commitments and short- and long-term obligations and priorities, and normally takes time.

There was thus a need for a pragmatic solution to internal capacity constraints and the expert selected had long-term experience from within the Organization and, with the exception of the contract nature, has functioned and is regarded as a staff member and his contribution has been valuable.

Choice of Implementation Modality: Main Findings

- The choice of a project modality and the creation of an ad hoc support facility, as opposed to the creation of a post and consultancy funds using regular budget resources, was not optimal, but a pragmatic solution to internal capacity constraints.

5.2.3. Programme implementation and management

The SP was, according to the original project document, to work at both the Headquarters and national levels. At the national level, the support was to be channelled through national consultants and at the Headquarters level, principally, through the Senior Coordinator for UN System Coherence (also project manager for the Support Programme) and the international SP consultant and through the appointment and subsequent involvement of focal points at division and branch levels. Field Offices were to provide monthly reports and at the end of the project (after 20 months) a report describing activities undertaken, findings of missions and conclusions and recommendations were to be developed. An independent assessment was to be carried out at the end of the project. The initial budget was divided between international consultants, project assistant, travel of consultants and Headquarter staff, national consultants and coordination activities including a UNRC meeting in 2008.

Programme implementation started in the middle of 2008 and has been implemented by the Senior Coordinator, assisted by the international expert based at headquarters. The function performed by the Office of the Senior Coordinator was overtly indicated in the new 2010 UNIDO Secretariat structure. Due to restructuring, the Office of the Senior Coordinator for UN System Coherence has changed from PCF to RSF and recently to PTC. Furthermore, project management has, due to restructuring, changed between RFO and PTC. A PTC staff member in the Office of the Managing Director of PTC was the allotment holder (AH) between November 2010 and August 2011. The AH was assigned to the Senior Coordinator in August 2011. The post of international expert has been occupied by the same person since the start of the Programme.

Furthermore, short-term consultants have been recruited regularly to strengthen FO capacity. In all, 106 national and 6 international consultants had been fielded by the third quarter of 2011. Although foreseen and particularly in the first phase, there was relatively little recruitment of international consultants. The greatest use of the consultancy funds has been to recruit national consultants to conduct research or other preparatory project/programme activities.

Lessons learned from the first phase were fed into the second phase. To lessons learned belong: better to allocate funds on a case-by-case basis and on submission of requests than through advanced pre-determined allocations, which risk being under-utilized. Subsequently a call for applications was sent out in February 2010, requesting FOs to present funding proposals.

The projects have also provided for a short-term project assistant, travel of the Senior Coordinator and the international expert and cost-sharing of UNIDO shares in RCO/UNCT joint initiatives. Interaction with and working through a RRT, a network of DaO focal points, equally established in July 2008 to support UNIDO's participation in One UN mechanisms has been continuous. The Informal DaO Monitoring Group was likewise established in 2008 in order to strengthen internal coherence and to discuss DaO and UNDAF issues in a broader context. The Group normally meets every two weeks with the RRT focal points of

the Regional Programmes, representatives of Finance and Quality Assurance, and occasionally involved Programme Managers, with the purpose to oversee the implementation of UNIDO's commitments in the One Programmes of the Delivering as One countries. Externally the Office has interacted with UNDG bodies and UNCTs, mainly via FOs.

Support has, furthermore, been provided in UN-wide country programme exercises such as CCA/UNDAF and DaO preparation and implementation. More specifically, the SP has provided the following services or undertaken the following activities:

- Support to the preparation of UNDAFs
- Support to the preparation of One Programmes
- Support to the implementation of programmatic interventions
- Support to HACT-related micro-assessments
- Monitoring of DaO implementation, including monitoring and preparatory missions to Rwanda, Tanzania, Mozambique, Uruguay, Vietnam, Pakistan, Botswana, Malawi, Namibia and Lesotho
- Participation in the CEB Interagency Cluster on Trade and Productive Capacity
- Involvement in the UNDG (support to DaO and many other aspects)
- Participation in UNDG Working Mechanisms (Working Group on Resident Coordinator System Issues, Working Group on Transition/ECHA, UNDAF Programming Network, Joint Funding and Business Operations Network, and Working Group on Country Office Business Operations)
- Participation in UN Global Change Management Support Team
- Participation in Strategic Prioritization Retreats
- Coordination of the Rapid Response team on Dao and CCA/UNDAF, including regular meetings of the informal DaO Monitoring Group
- Provision of comments on UNDG-related issues and documents
- Administration of consultancy funds
- Maintenance of the DaO/UNDAF (UNIDO) intranet page

Furthermore, contributions have been prepared to UNIDO Annual Reports as well as other reports to governing bodies. In addition, the SP supported the High-Level Meeting on UN Coherence hosted by UNIDO in 2008. Also to be highlighted is the development of statistics on the presence of UNIDO thematic areas or UNIDO's participation in UNDAFs and One UN Programmes. However, this information has not been regularly updated. Detailed technical reports were equally foreseen and some have been produced by SP short-term consultants. Foreseen briefings to UNRCs and UNDP Resident Representatives did not take place because of the difficulties involved in bringing these managers to Vienna but UN agency have briefings been attended by the Senior Coordinator. The absence of written tools and guidelines for UNDAF or One UN participation is also noted.

A self-assessment survey of the SP was carried out in 2010 and achieved a response rate of 96 per cent. The findings of the self-assessment were shared and presented at a Global UR

Meeting in Mauritius in 2010. This assessment indicated a high level of satisfaction with SP performance. Wishes for higher country allocations and longer funding periods were also expressed. The self assessment, moreover, indicated that short-term consultants were not felt to be the optimum way to ensure efficient and effective participation in country programming exercises, which demand UN and UNIDO knowledge and continuity and often official representation.

According to the self-assessment, available funds, when successfully applied for, were insufficient and, in two cases, not available on time. While FO capacities were considered strengthened, the structural challenge of reaching/sustaining a critical level of field presence and involvement in DaO, i.e. long-term professional staff supplemented with qualified short-term experts familiar with UNIDO and the UN system, remained a central issue despite the SP.

The self-assessment recognized the important role played by the Support Unit at UNIDO headquarters, both in providing financial resources, but also by providing efficient and valuable One UN expertise and guidance on strategic One UN issues, thus facilitating the development of UNIDO's portfolios.

In-house seminars to raise awareness among headquarters and FO on the importance of "Delivering as One" and on ensuring effective and timely delivery of the services expected from the Organization were considered as useful. The monthly progress reports on UNIDO's participation in the pilot countries were equally found to have been useful, not the least in ensuring follow-up action on outstanding issues, by HQ staff.

The self-assessment was overall a good initiative and the findings are interesting and relevant. It would, however, have been an advantage if the confidentiality of respondents would have been guaranteed.

A progress report, covering the period January to December 2010, was issued and provided information on main activities implemented and achievements made. However information on outputs produced, services delivered or outcomes observed was very general and it is difficult, from this report, to assess real progress made, for instance related to stated objectives such as "enhanced UNIDO visibility" or "increased awareness of UN common country programming processes".

Project Implementation and Management: Main Findings

- The initial budget was divided between international consultants, project assistant, travel of consultants and HQ staff, national consultants and coordination activities, including a UNRC meeting in 2008.
- In all, 106 national and 6 international consultants had been fielded by the third quarter of 2011. The greatest use of consultancy funds has been to recruit national consultants to conduct research or other preparatory project/programme activities.
- Short-term consultants are not the optimum way to ensure effective participation in country programming exercises, which demand UN and UNIDO knowledge and continuity and often official representation.

5.2.4. Programme efficiency

Foreseen outputs have been delivered as planned and, generally, been of high quality. However, the first phase also encountered some delays. The international expert is perceived as competent and qualified for the post.

Support to FOs has been forthcoming without lengthy headquarter decision-making processes. This has enabled timely responses to requirements or demands of UNCTs and governments. Many UNIDO URs and HUOs interviewed for this evaluation expressed satisfaction with the assistance provided by the SP and have found it to be timely. However, at the same time, the 2011 FO survey showed that some FOs found that the DaO was a too complex exercise to resort to using short term consultants and that requests for support have also been rejected. Another finding was that the consultancy support provided was not always beneficial. It is estimated that about 50 per cent of all FOs submitted requests for assistance.

The call for applications for the use of support fund resources for short-term consultants launched in February 2011, to URs and HUOs, was met by about 20 applications. A specific form had been developed for the applications and also for producing an interim report on the progress of the intervention financed by the SP. The requirement for reporting by the consultants was tightened in order to ensure that their outputs were also distributed for information and use within UNIDO. The criteria for allocation of funding was “the likelihood that the support would lead to One UN components implemented by UNIDO and preferably funded”, which meant that there was a true demand-orientation and implication of URs from the start.

The funds were often used for hiring consultants to participate in thematic working groups, often in respect to the preparation of UNDAFs or UNDAF Action Plans. Common requests were support for the preparation of UNDAF cycles, UNDAF reviews or UNDAF Action Plans, One Programme sector studies, joint programme development, but also support to UNDAF formulation and implementation. Overall, the results have been positive and UNIDO’s “presence” was reinforced and especially in countries with no “formal” UNIDO presence but the management of many small projects/consultants has been cumbersome. There is also the argument that UNIDO’s preparatory assistance modality could have been used. For the most part, the consultants contracted worked one week per month over a longer period, which was a mean to provide timely and complementary services, over a longer period, at a reduced cost.

On average, an amount of USD 5,000 was allocated per office/request. The consultancy contracts have been managed by the FOs but the final report of the consultant had to be cleared by the Support Unit. The use of mainly national consultants has promoted cost-effectiveness. Generally, the international consultants used were hired for European countries. In total, eight international consultants at an average of 1.8 work months were recruited between 2008 and 2011. Three of these were women.

About 34 per cent of available programme resources have been used for national consultants. With regard to national experts/consultants, in total 106 national consultants at an average of 2.2 work months were recruited between 2008 and 2011. 43 of the 106 national experts were women. Out of the 106 national consultants recruited, 47 per cent came from the African region, 10 per cent from the Arab region, 24 per cent from the Asia and the Pacific region, 8 per cent from the Europe and NIS region, and 11 per cent came from the Latin America and Caribbean region. There has thus been a certain priority given to Africa. Moreover the review revealed that 33 per cent came from a least developed country but, somewhat surprisingly, only 13 per cent of the national experts originated from a One UN pilot country. The need for short-term consultants is expected to somewhat decrease in 2012 with the establishment of additional National Programme Officers posts.

Generally, the management of the SP funding modality was found to have been satisfactory and that prerequisites for disbursements had been fulfilled. However, the FOs were supposed to submit an interim report providing information on how the SP funding had been used. This was to be in addition to the consultant reports prepared by the individual experts. In 2009, five out of six FOs submitted such reports while seven out of eleven fulfilled their obligation in 2010.

The main beneficiaries have been the 8 DaO pilot countries, the 2009 UNDAF roll-out countries and the so-called DaO self-starters. A priority list of countries to be supported was established, in coordination with Regional Programmes and the technical branches and, for instance, countries finalizing their UNDAF preparatory cycle were prioritized. Many offices developed strategies and work plans for UNIDO's involvement in One UN mechanisms. These strategies accompanied requests for SP funding.

A challenge has been to identify suitable national consultants and this was given as an explanation for relatively low implementation rates in 2009, when only 56.5 per cent of the resources specifically allocated to Africa were spent. This was, in particular, a problem in countries without a UNIDO field representation. Also the extension of UNDAF cycles has been given as a reason for not fully using the allocated funding. In some cases allocations were made but not implemented as recruitment was not initiated by the FO. The quest for a national consultant roster established and continuously updated has been difficult to implement. Other shortcomings have been the short-term nature of the consultancies as opposed to a need for a more permanent presence to participate throughout a programme cycle, limited UNIDO knowledge of many consultants, the fact that short-term consultancies cannot fulfil roles of official representatives and that consultants have a "weak" voice.

However, the SP and the related consultancy funds have enabled UNIDO to become active already at the planning stage of many UN programmes and this has increased the demand-orientation of UNIDO's programmes at national levels. It furthermore enabled UNIDO to be pro-active at the stage when the UNDAF road-map was designed. However, a presence at the design stage also has future consequences at the implementation phase in that UNIDO also needs to be present when the UNDAF is being implemented and to do the necessary management and monitoring.

The SP also paved the way for the participation of the Senior Coordinator in UN-wide working groups at the central level. The international expert has almost entirely devoted his time to field-related issues.

The RRT has not been overly active and the need for representation at the Directors level has been questioned. On the other hand, the Informal DaO Monitoring Group has been found to be useful and constructive, with focal points from RRT, Finance and Quality Assurance. For each meeting, minutes were produced covering the discussed issues and circulated to all FOs and relevant HQ staff members. UNIDO's participation has equally been facilitated by the existence of Non-Resident Agency Coordinators in Resident Coordinator Offices.

The SP has, as planned, made available information about UNDAF frameworks and One UN Programmes and their implementation and the established intranet site has been a useful tool in this respect.

Programme Efficiency: Main Findings

- The major part of the programme funding has been used for international consultants, including the long-term expert/consultant based at UNIDO headquarters, followed by national consultants.
- On average, an amount of USD 5,000 was allocated per Field Office/request.
- Foreseen outputs have been delivered as planned and, generally, have been of high quality, thus alleviating constraints and increasing capacities. However, the first phase also encountered some delays.
- A challenge has been to identify suitable national consultants, particularly in countries without UNIDO representation, explaining the relatively low implementation rates in 2009, when only 56.5 per cent of the resources specifically allocated to Africa were spent.
- The SP and related consultancy funds have enabled UNIDO to become active already at the planning stage of many UN programmes and this has increased the demand-orientation of UNIDO's programmes at national levels.
- The need for short-term consultants is expected to decrease somewhat in 2012 with the establishment of additional National Programme Officers posts.

5.2.5. Programme effectiveness and achievement of results

Achievement of first phase objectives:

The review found that, in line with its purpose, the SP has contributed to an adequate positioning of UNIDO in system-wide coherence at country level by enhancing the coordination and support of UNIDO's participation in CCA/UNDAF and Delivering as One. Most pilot country offices have requested support for strengthening their capacity to contribute adequately to the One UN process and the provision of consultants has facilitated their participation and UNIDO interventions have been systematically included in One UN Programmes of the eight DaO pilot countries. In addition, in 2008 and 2009, UNIDO participated in the preparation of 23 UNDAFs and 12 joint programmes.

The increased recognition of the importance of UNIDO's strategic priorities and inclusion of these in various UN-wide planning documents such as UNDAFs and One UN Programme documents are also obvious. During 2008 and 2009, UNIDO participated in the preparation of new UNDAF cycles in 23 out of 36 UNDAF roll-out countries and joint programmes, with participation and contributions of UNIDO, were developed for 12 countries. An UNDAF mapping exercise carried out in 2008 showed that UNIDO priorities were included in 60 UNDAF countries out of 135.

There have also been cases when insufficient in-house capacities have led to sub-optimal involvement such as delays in providing clearance of One Programme documents or authority to sign. Examples are Rwanda and Mozambique for which UNIDO objections and suggestions for revision arrived at the UNRC office after the documents had been endorsed by the Steering Committee.

The SP has, furthermore, ensured better awareness and understanding by the Organization of One UN mechanisms and this is attributed to the Senior Coordinator and the international expert. However, no formal training on the requirements of the DaO process has been carried out but a large number of UNIDO staff have benefited from guidance and advisory services from the Support Unit.

Below follows a summary of planned versus produced outputs during the first phase:

1. Documents available on DaO and CCA/UNDAFs: A UNIDO intranet site has been created and is endowed with a large and wide range of relevant documents.
2. Substantive contribution to DaO/ CCA/UNDAF processes provided: The SP has substantially contributed to One UN processes through field missions of assigned staff and consultants, various briefing reports, analytical studies on needs and priorities and in-house meetings of the DaO monitoring group.
3. Substantive inputs to the strategic planning process: This has mainly been provided through the participation of the Senior Coordinator in undg meetings or via audio conferences with FOs soliciting this kind of support.

Achievement of second phase objectives:

The immediate objective of the second phase project was: More effective UNIDO participation in UNCT and undg Regional Team activities including Poverty Reduction Strategy, CCA/UNDAF and DaO preparation activities. Expected outcomes pertained to the enhancement of UNIDO's visibility, responsiveness to national/regional priorities and effective participation in UN country-level initiatives. The evaluation team found that the second phase SP undoubtedly contributed to UNIDO's participation. As to whether the UNIDO participation is more effective is difficult to say as it is not clear what *more* relates to and as there were no benchmark or related targets established.

The programme aimed at producing three outputs:

4. Established DaO-related network kept operational for rapid response and guidance or material support
5. Strategic advisory services provided to the One UN/CCA/UNDAF processes
6. FO capacity strengthened to support One UN implementation

The assessment in relation to these outputs and considering the fact that the programme is still ongoing was that the DaO-related network is kept operational and providing support and guidance to DaO countries/offices, strategic advisory services are being provided and that FO capacity is strengthened. However, due to the vagueness of the outputs it is not possible to do a more precise quantitative or qualitative assessment.

As regards more specific outputs foreseen for the two phases, the following deserves mentioning in relation to “documents available”: a note for the Director-General on the integration of priorities related to productive sectors, trade and employment within the One UN Programmes of the 8 Delivering as One pilot countries was prepared in February 2008; a report, in the form of a table, on the status for the CCA/UNDAF process world-wide was prepared in May 2011; and an overview of the status of delivering as One in the 8 pilot countries was prepared in September 2011. Moreover, a Power Point presentation on working in a Country Team and Relationship with UN RC was presented to URs in October 2008. UNDAF and DaO have been on the agenda in the global UR meetings since 2009. Furthermore, a Note on the Regional Directors Teams (RDTs) was prepared for UNIDO management, also in October 2008. Presentations on Delivering as One have also been provided at induction courses at UNIDO headquarters. Also to be mentioned are reports provided as inputs to UNIDO Annual Reports. A report on United Nations system-wide Coherence was provided to the IDB at its Thirty-sixth session, in June 2006, and updates were provided to the IDB in 2007 and 2008.

In summary, the DaO-related network is active and operational, strategic advisory services are provided and the FO capacity is being strengthened but the absence of indicators makes it difficult to make a deeper analysis. The availability of national consultants representing UNIDO in various programmatic exercises, increased UNIDO’s visibility and role and in many cases increased its actual participation. It also alleviated the increasing demand, of many FOs, to participate in various One UN-related meetings. The consultancy funds enabled a UNIDO presence in strategic retreats and in ensuring that industrial and economic growth issues were included in One Programmes. The access of UNIDO to One UN-specific funding, described elsewhere in the report, is evidence of UNIDO’s actual participation in One UN Programmes. The move towards a demand orientation in the use of short-term consultancy funds proved positive in that the resources were used where there was a potential for UNIDO to participate but the administration was cumbersome.

Above all, the SP has been able to collect, manage and disseminate learning in relation to UNIDO’s participation in One UN mechanisms. At the same time, this has not been accompanied with foreseen development of guidance and training material or more structured briefings to UNIDO staff. The DaO Monitoring Group meets regularly and there is useful exchange of information but to what extent this really improves DaO monitoring is not

clear. So far there has been no training to URs on UNDAF/One UN participation. Neither has a systemized approach for UNIDO's participation in One UN mechanisms been developed nor is it clear what "the detailed technical reports" were actually to be about. At the same time there has been a sincere effort to do research in relation to the One UN and to take stock of what was going on, globally, but the information at hand was not always put into a report format, synthesized or widely disseminated. The latest stock-taking report dates from December 2010. On the other hand, monthly briefing notes, later on replaced by tri-monthly ones have been produced.

Furthermore, the SP has, beyond doubt, fostered a more integrated approach to programming and been able to provide guidance and support the process of transferring programmatic authority to the field – which has been a vital ingredient for UNDAF and One UN participation.

The SP has also been playing an important facilitating role in brokering information on best practices and lessons learned within UNIDO. Given the fact that UNDAFs and One UN mechanisms will, undoubtedly, become the "rule of the day" the investment in learning and in streamlining procedures was appropriate.

The September 2010 self-assessment on the performance of the SP at country level confirms the above findings. The financial support depicted a high relevance of the SP but "medium" efficiency. Furthermore, recognizing that outputs and progress could only be partially attributed to the SP funds³⁵ provided, FOs were found to rate the SP's effectiveness as "medium". Sustainability prospects were clearly considered as low.

Programme Effectiveness and Achievement of Results: Main Findings

- The first phase of the SP contributed to an adequate positioning of UNIDO in the UN system-wide coherence at country level.
- It also ensured better awareness and understanding by the Organization of One UN mechanisms.
- The second phase of the SP also contributed to UNIDO's participation in UN country-level initiatives. As to whether participation is more effective is difficult to say due to missing benchmarks and targets.
- The move towards a demand orientation in the use of short-term consultancy funds proved positive in that the resources were used where there was a potential for UNIDO to participate, but management was cumbersome.
- The SP has, beyond doubt, fostered a more integrated approach to programming and been able to provide guidance to and support the process of transferring programmatic authority to the field – which has been a vital ingredient for UNDAF and One UN participation.
- The SP has also been playing an important facilitating role in brokering information on best practices and lessons learned within UNIDO, but foreseen development of guidance and training material did not materialize.

35 Pakistan: USD 122,309; Uruguay: USD 15,000; Tanzania: USD 13,500; Vietnam: USD 6,600.

6.

UNIDO Field Office Survey

6.1. Introduction

A UNIDO Field Office survey was conducted in the last quarter of 2011. It was sent to 50 UNIDO Field Representations (FRs), of which responses were received from 40. A special set of questions was directed to FRs in countries applying a DaO approach. With 14 respondents (see Table 17), including six of the eight DaO pilot countries, the outcome was satisfactory.

Table 17: DaO pilots and DaO self-starters participating in the 2011 UNIDO Field Office Survey³⁶			
	Bangladesh	UNIDO Desk	Self-starter
	Cambodia	UNIDO Desk	Self-starter
	Guinea	UNIDO Country Office	Self-starter
	Kyrgyzstan	UNIDO Desk	Self-starter
	Morocco	UNIDO Country Office	Self-starter
	Mozambique	UNIDO Desk	DaO pilot
	Nicaragua	UNIDO Desk	Self-starter
	Pakistan	UNIDO Country Office	DaO pilot
	Philippines	UNIDO Country Office	Self-starter
	Rwanda	UNIDO Desk	DaO pilot
	Tanzania	UNIDO Country Office	DaO pilot
	Thailand	UNIDO Regional Office	Self-starter
	Uruguay	UNIDO Regional Office	DaO pilot
	Vietnam	UNIDO Country Office	DaO pilot

6.2. Survey responses

9 out of 14 DaO country FRs (64%), including all but one DaO pilot that participated in the survey, perceive the strategic importance of UNIDO to have increased in their respective host countries since the introduction of DaO. While one FR claims no change, 4 say that it is too early to tell. Indications for the Organization's increase in strategic importance include:

- Greater visibility of UNIDO's work
- Better knowledge about UNIDO in the country
- More interest in partnering with UNIDO
- Access to One funds

³⁶ Russia, Ethiopia and Sri Lanka also confirmed applying a DaO approach, but did not provide any further responses.

- More and greater appreciation of UNIDO projects.

7 out of 10 FRs (70%) report that UNIDO is a full member of DaO Steering Committees; out of the three FRs not involved in DaO Steering Committees, two are UNIDO Desks. 13 out of 14 FRs (93%) confirm being a full member of the UNCT. As far as UNDAF/One Programme Task Forces are concerned, 12 out of 14 FRs (86%) are members. Furthermore, all but one FR claim to be active participants in thematic working groups while the large majority are active in Operations Management Teams, but only about half are active in UN Communication Teams (mainly UNIDO Field Offices). 12 out of 14 FRs (86%) report an increase in UNIDO's workload because of DaO; for the remaining two, it was too early to say.

According to responses received, DaO has impacted on the types of services the FRs are expected to provide in 10 out of 14 countries (71%). Examples provided for DaO-related services include:

- Interacting with other UN organizations and participating in inter-agency mechanisms
- Preparing comments on and inputs into One UN processes
- Signing documents on behalf of UNIDO
- Assisting missions from headquarters and consultants
- Monitoring project implementation

In addition, FRs provided the following information on how DaO has changed their behaviour:

- Become more conscious of not duplicating services of other UN agencies
- Scope of UNIDO services reduced through Division of Labour
- Greater emphasis on upstream services

The FRs provided differentiated responses to the question whether JPs are more efficient and effective (than stand-alone interventions under One Programmes). The value of JPs is assessed on a case by case basis. Only a minority agreed with the statement that they are more efficient and effective. As for the positive aspects, FRs refer to synergy effects, complementarities, new opportunities for fundraising, better alignment with government policies and potential for greater sustainability. Negative aspects were:

- Additional administrative/coordination burden
- Intensiveness of the planning and coordination process
- The number of partners in joint programmes and their different motivation
- The FRs' limited capacity to interact with partners
- Funding delays
- Difficulties to promote UNIDO's very specific areas of specialization

Of the 14 FRs, 7 (50%) confirmed that UNIDO's budget has increased since the introduction of DaO (all types of FRs and all but one DaO pilot country). While it was too early to make a pronouncement for five countries, UNIDO budgets had remained unchanged for two. Access to

One funds is the main reason provided for increased funding, which, as one FR explains, in turn leverages UNIDO's possibilities to mobilize funds from other sources.

While 7 out of 14 FRs (50%) confirm that the potential for country-level fundraising has increased since the introduction of DaO (including all but one DaO pilot), for the remaining 7 it was too early to say. No FR has experienced a decrease in country-level fundraising potential. Thanks to their involvement in DaO, some FRs consider that UNIDO's increased visibility inside and outside the UNCT has been beneficial for fundraising with donors. However, as one FR puts it, future success will also depend on the attitude of donors. Another refers to competition among UN agencies for limited funding.

DaO has reportedly increased UNIDO's visibility in 10 out of 14 (71%) countries. Key drivers were:

- Increased funding and a more important project portfolio
- More opportunities to interact with and gain the attention of government authorities and civil society representatives
- Better external communication of achievements and results

13 FRs made the following suggestions for strengthening UNIDO's capacities to participate in DaO:

- Recruiting more staff at the FRs
- More financial support for activities under UNDAFs/One Programmes
- Giving UR more authorities, including as main allotment holder
- Easing internal procedures and clearances
- Encouraging knowledge sharing, including at the regional level

9 out of 14 FRs (64%) reported having received support from the UNIDO CCA/UNDAF/DaO Support Programme. While 6 out of the 9 respondents confirmed that the support provided benefited the FR's effective involvement in the DaO process, one was not satisfied with the support extended and two had mixed views. FRs confirm having received funds to hire (national) consultants to support UNIDO's participation in CCA/UNDAF activities. While generally perceived as useful, funds were considered inadequate and short-lived, and the process for accessing funds lengthy. One FR considered DaO to be a too complex matter to use temporary consultants, hence preferring to manage this itself. Another FR had submitted a proposal, which was not approved. Yet another did not receive the requested support in a timely manner.

For 9 out of 14 countries there was no One UN House. Four of the remaining five FRs reported a positive experience with the One House and one a negative one. Close vicinity with other UN agencies was found to facilitate UNIDO's inclusion in the UN family, enable informal meetings and discussions prior to formal decision-making, accelerate joint programming and enhance UNIDO's visibility vis-à-vis other UN agencies and donors.

7.

Overall Conclusions

UNIDO has contributed to country-level DaO processes, both at the UNCT-level and in terms of participating in One UN mechanisms. This despite initial difficulties for specialized UN agencies and especially NRAs to participate in a process originally driven by UN funds and programmes. In particular, UNIDO participated in One Programme design in the DaO pilot countries. As such, it was an important driver in promoting industrial development issues and responding to national priorities. This resulted in the Organization being accepted as a member of UNCTs, also in countries where it was not formally represented, and improved the inclusiveness of the UN system's response to national priorities and needs. One Programmes have provided opportunities for UNIDO to assert leadership in areas within its mandate.

UNIDO's participation in DaO is characterized by planned budgets at a higher level than pre-DaO expenditures and often a high dependence on One funds (up to 100%). UNIDO has been fairly reliable in providing announced own - core and non-core - resources for its activities (84% or USD 24.5 million). On the other hand, One funds have not been forthcoming to the extent expected (41.6% or USD 20.4 million). Nonetheless, where UNIDO has also successfully mobilized own resources, its budgets for technical cooperation under One Programmes have been larger than total expenditures pre-DaO - first and foremost thanks to the One Fund mechanism. Despite strong contributions to UN MPTFs and JPs administered by the MPTF Office in 2011³⁷, future funding is unpredictable. It seems unlikely that UNIDO will be able to continue to rely on One Funds.

UNIDO has proved its capacity to deliver: Of One funds received, UNIDO's delivery rate at the end of 2011 was fairly high (82.2% or USD 14.9 million). Under One Programmes, UNIDO partners with a range of other UN agencies such as FAO, ILO, ITC, UNCTAD, UNDP, UNEP and UN Women in order to improve division of labour and increase synergies in the economic sector. However, experience indicates that the stringent joint programme modality is not necessarily more efficient and effective than coordinated stand-alone activities. In addition, not all areas of UNIDO's work lend themselves to the joint programme modality given their highly specialized nature.

Opportunities and constraints for achieving operational coherence are less apparent. Co-location in One UN Houses and the use of common services have at times turned out to be more expensive than previous arrangements. However, accruing costs and necessary budget modifications need be seen in the wider context of benefits arising from DaO, such as larger project portfolios, improved intra-UN communication and a clear increase in

37 Multi-Partner Trust Fund Office Quarterly Newsletter, October-December 2011, Issue 12.

UNIDO's visibility. UNIDO's business model is becoming increasingly contested while national implementation, including HACT, is gaining importance.

UNIDO has not always been well resourced to participate in often demanding planning and coordination processes and to deliver larger project portfolios as its human and financial resources are small compared to many other UN agencies. Recognizing staff capacity gaps in the One UN pilot countries, the UNIDO programme "Enhancing the Coordination and Support of UNIDO Involvement in CCA/UNDAF and DaO Mechanisms" (SP) was a valuable initiative addressing distinct and specific support needs. However, the choice of a project as opposed to regular staff resources, by its very nature, kept the "sub-optimal" in-house organization in place. The programme provided valuable short-term consultant support easing UNIDO's participation in UN mechanisms, but the administration of many small consultant projects, with an average budget of EURO 5,000, was cumbersome.

The SP enabled a more systemic participation in UN-wide mechanisms and the establishment of a UNIDO information and exchange platform on One UN issues. Moreover, it contributed to UNIDO accessing One funds and to increased UNIDO visibility. It also paved the way for a more efficient and effective cooperation with UNCTs and within One UN Programmes and to UNIDO thematic priorities being included in UN-wide frameworks. Since One UN mechanisms are anticipated to become the rule rather than an exception, and there is now a wider UNIDO experience, the rationale of this kind of support modality is becoming less obvious and its continuous relevance, beyond the on-going project, is doubtful, making way for a more integrated and mainstreamed approach.

Evaluation findings suggest that country presence is important for participating in today's One UN mechanisms. However, the type of UNIDO presence does not seem to matter. The presence of a UNIDO Regional Office or Field Office led by international staff (as opposed to UNIDO Desks or other innovative modalities) has not systematically resulted in larger project portfolios, more resources, larger transfers from or higher delivery of One Funds.

8.

Recommendations

- UNIDO should prioritize the establishment of new UNIDO field representations in countries applying a DaO approach while realizing that it cannot be present everywhere, and develop criteria for selecting countries, including country priorities and potential development impact.
- Available UNIDO financial resources and seed funding should be used to promote interventions in line with national needs and priorities and where there is a high likelihood to access One UN funds or other external resources.
- UNIDO should look into other (than MPTF) funding possibilities and advocate for more flexibility in soliciting funds for interventions under One Programmes at the country level.
- The SP should be replaced by a more mainstreamed approach.
- UNIDO management should include the responsibility for promoting UNIDO's participation in One UN mechanisms in the job description of all staff of regional bureaus but keep a staff position of a DaO/One UN focal point.
- SP staff should for the remainder of the duration of the programme provide intensive training and coaching on the participation in system-wide mechanisms and develop related learning and guidance documents and guidelines on UNDAF, DaO and One Programme preparation and implementation.
- In line with the quest to decentralize and further empower FOs, UNIDO management should discontinue the SP headquarter-managed consultancy fund and instead directly endow field offices with funds for consultants to assist in One UN processes.
- UNIDO should move towards national implementation; it should play an active role in the inter-agency review of and follow up to the 2011 Global HACT Assessment with a view to improving HACT as an efficient implementation modality that helps build national capacities.
- UNIDO management should pursue further decentralization of programme/project-related decision-making and administrative/financial authority to regional and country levels for the delivery of technical cooperation.

Annex A: Reference documents

A. Delivering as One United Nations

- A/RES/53/192 Triennial Comprehensive Policy Review 1998
- A/RES/56/201 Triennial Comprehensive Policy Review 2001
- A/RES/59/250 Triennial Comprehensive Policy Review 2004
- A/RES/60/1 2005 World Summit Outcome
- High-level Panel Report on System-wide Coherence of November 2006 entitled “Delivering as One” (A/61/583)
- Delivering as One United Nations in Albania Country Stocktaking Report 2007
- Cape Verde Stocktaking Report by UNCT 2007
- Stocktaking Report on the One UN Initiative Mozambique
- Pakistan 2007 Stocktaking Report
- Stocktaking Report by the One UN Steering Committee in Rwanda 2007
- Country Stocktaking Report on UN Reform 2007 Tanzania
- Stocktaking “Delivering as One” in Uruguay 2007
- Tripartite Stocktaking Report 2007 Vietnam
- UNDG Task Team on Non-resident Agencies Input into the Stocktaking Exercise of the DaO Pilots, November 2007
- A/RES/62/208 Triennial Comprehensive Policy Review 2007
- Delivering as One 2007 Stocktaking Exercise – Key Points Emerging from the DaO as One Pilot Initiative Emerging from Reports by Governments, UN Country Teams and UN Agencies, March 2008
- Delivering as One United Nations Albania Stocktaking Report 2008
- Cape Verde Stocktaking Report “Delivering as One” – 2008 Progress and Challenges
- Mozambique Stocktaking Report 2008 “Delivering as One” – Progress and Challenges
- Stocktaking 2008 Pakistan
- Stocktaking Report 2008 Delivering as One in Rwanda
- Stocktaking Report on UN Reform in Tanzania 2008
- Delivering as One in Uruguay Stocktaking Report 2008
- Second Tripartite Stocktaking Report on the One UN Initiative in Vietnam
- Outcomes of the inter-governmental meeting held in Maputo, Mozambique, from 21-33 May 2008
- A/RES/62/277 System-wide Coherence
- Delivering as One 2008 Stocktaking Synthesis Report – Joint Reports by Governments and UN Country Teams, undated
- UNEG Evaluability Assessment Report on Cape Verde, December 2008
- UNEG Evaluability Assessment Report on Pakistan, December 2008
- UNEG Evaluability Assessment Report on Mozambique, December 2008
- UNEG Evaluability Assessment Report on Rwanda, December 2008

- UNEG Evaluability Assessment Report on Tanzania, December 2008
- UNEG Evaluability Assessment Report on Vietnam, December 2008
- A/RES/63/311 System-wide Coherence
- UNESCO 181/EX20 Biennial Evaluation Report on the Activities and Results of all UNESCO Decentralized Bodies
- Outcomes of the inter-governmental meeting held in Kigali, Rwanda, from 19-21 October 2009
- Country-led Evaluation of the Delivering as One Experience Uruguay, Final Report, May 2010
- Country-led Evaluation of Delivering as One in Vietnam, Final Report, May 2010
- Summary of Preliminary Findings of the Country-led Evaluations in Albania, Mozambique, Tanzania, Uruguay and Viet Nam, presented to the June 2010 High-level Tripartite Conference on DaO, June 2010
- Outcomes of the inter-governmental meeting held in Hanoi, Viet Nam, from 14-16 June 2010
- Delivering as One Country-led Evaluation Mozambique, Final Report, June 2010
- A/RES/64/289 System-wide Coherence
- Country-led Evaluation – Delivering as One Albania, Final Report, 7 July 2010
- Country-led Evaluation of Delivering as One United Nations in Cape Verde, Final Evaluation Report, September 2010
- A/RES/65/1 Keeping the promise: united to achieve the Millennium Development Goals (Millennium Development Goal Summit)
- Country-led Evaluation of Delivering as One in Rwanda, Final Report, November 2010
- Country-led Evaluation of the Delivering as One UN Pilot Initiative in Tanzania, Final Report, undated
- 2010 Resident Coordinator Annual Reports
- Delivering as One: Follow-up to Hanoi, Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF, UN Women and WFP, February 2011
- 2010 One UN Programme Annual Report Albania
- 2010 One UN Programme Annual Report Cape Verde
- 2010 One UN Programme Annual Report Mozambique
- 2010 One UN Programme Annual Report Pakistan
- 2010 One UN Programme Annual Report Rwanda
- 2010 One UN Programme Annual Report Tanzania
- 2010 One UN Programme Annual Report Uruguay
- 2010 One UN Programme Annual Report Vietnam
- 2010 RC Annual Report Albania
- 2010 RC Annual Report Cape Verde
- 2010 RC Annual Report Mozambique
- 2010 RC Annual Report Rwanda
- 2010 RC Annual Report Tanzania
- 2010 RC Annual Report Pakistan

- 2010 RC Annual Report Uruguay
- Review of UNHABITAT's Participation in the Delivering as One Initiative – Opportunities and Challenges, June 2011
- Global Assessment of the Harmonized Approach to Cash Transfer (HACT) - UNDG HACT Advisory Committee, December 2011
- Multi-Partner Trust Fund Office Gateway <http://mdtf.undp.org/>

B. UNIDO contribution to DaO

- IDB.33/CRP.6 of 15 June 2007
- GC.12/CRP.6 of 19 November 2007
- UNIDO project document XP/GLO/08/08037 – YA/RAF/08/031 “Enhancing the coordination and support of UNIDO involvement in Delivering as One and CCA/UNDAF Processes” funded through UF/GLO/06/200, XP/GLO/08/037 and YA/RAF/08/031, May 2008
- Note to the UK Mission, UNIDO Support Programme “Enhancing the coordination and support of UNIDO involvement in CCA/UNDAF and Delivering as One processes (UF/GLO/06/200, XP/GLO/08/037 and YA/RAF/08/031)”, undated
- IDB.34/7 of 3 April 2008
- IDB.35/12 of 26 September 2008
- The Contribution of UNIDO to United Nations System-wide Coherence: Synergy at Work, October 2008
- IDB.36/15 of 19 May 2009
- Joint Terminal Evaluation of the Implementation of the Cooperation Agreement between UNIDO and UNDP, September 2009
- UNIDO Annual Report 2009
- UNIDO project document XX/GLO/10/019 “Enhancing the coordination and support of UNIDO involvement in Delivering as One and CCA/UNDAF processes for the biennium 2010-11” funded through XP/GLO/10/019 and YA/RAF/10/013, July 2010
- Process Evaluation of UNIDO's Field Mobility Policy, April 2010
- UNIDO Back to Office Mission Report Rwanda and Tanzania, August 2009
- UNIDO Back to Office Mission Report Malawi, Botswana, South Africa, Mozambique, March 2010
- UNIDO Back to Office Mission Report Pakistan, June 2010
- Independent UNIDO Country Evaluation United Republic of Tanzania, November 2010
- UNIDO Note “DaO Pilot countries – Key figures, January 2008-October 2010”
- UNIDO Vietnam Self-Assessment Questionnaire, October 2010
- UNIDO Pakistan Self-Assessment Questionnaire, October 2010
- UNIDO Tanzania Self-Assessment Questionnaire, October 2010
- Synthesis Self-Assessment of UNIDO's CCA/UNDAF/DaO Support Project
- PowerPoint Presentation Self-Assessment of UNIDO's CCA/UNDAF/DaO Support Project – Presentation of Preliminary Findings, Mauritius, December 2010
- UNIDO Annual Report 2010
- Independent Evaluation Report Mozambique Country Evaluation, Vienna 2011

- UNIDO Progress Report “Enhancing the coordination and support of UNIDO involvement in DaO and CCA/UNDAF processes”, 14 February 2011
- Report on ODG/EVA fact-finding mission to Cape Verde, August 2011
- UNIDO DaO Briefing Notes 2007-2011

Annex B: List of persons interviewed

NAME	POSITION
Mr. Manuel Albaladejo García	Industrial Research Officer, SQA/DPR/RPA
Mr. Smail Alhilali	Industrial Development Officer, PTC/EMB/CPU
Mr. Ola Altera	UNIDO Representative, Kenya
Ms. Shadia Yousif Bakhait	Country Director and Representative, UNIDO Pakistan Office
Mr. Klaus Billand	Senior Coordinator for UN System Coherence, PTC/BRP/OD
Mr. Carlos Chanduvi Suárez	Programme Officer, PTC/BRP/LAC
Mr. Bashir Conde	Programme Officer, PTC/BRP/AFR
Mr. Johannes Dobinger	Evaluation Officer, ODG/EVA
Mr. Alberto F. Di Liscia	UNIDO Representative and Director, Uruguay
Mr. Victor Djemba	International Expert, PTC/BRP/OD
Mr. Patrick Jean Gilabert	UNIDO Representative, Vietnam
Mr. Sei Hisakawa	Unit Chief, PTC/BRP/ASP
Ms. Lamis Kabalan	Programme Officer, PTC/BRP/ARB
Mr. Emmanuel Kalenzi	UNIDO Representative, United Republic of Tanzania
Mr. Edme Koffi	UNIDO Representative, Senegal
Mr. Dalibor Kysela	Industrial Development Officer, PTC/MPB/RAU
Mr. Yuen-Hoi Lee	Industrial Development Officer, PTC/AGR/AIT
Mr. Kay Lisengard	Programme Management Officer, PTC/OMD
Mr. Wilfried Luetkenhorst	Managing Director, SQA/OMD

Mr. Akira Noro	Unit Chief and Deputy to the Director, PSM/FIN/FMT
Ms. Solomiya Omelyan	Programme Officer, PTC/BRP/EUR
Mr. Naohiko Otsuka	Programme Officer, PTC/BRP/ASP
Mr. Juan Ramírez	HUO, Nicaragua
Ms. María del Villar Romano Blanco	International consultant, PTC/BRP/LAC
Mr. César Raul Sevilla	HUO, Bolivia
Ms. Nilguen Tas	Unit Chief, PTC/BIT/CUP

Annex C: UNIDO participation in One UN Funds in DaO pilots

Following figures, while including 2011 transfers, do not yet include 2011 expenditures. Participating organizations have until end April 2012 to submit their financial reports as of 31 December 2011.³⁸

Albania One UN Coherence Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2008	0	0	0	-
UNIDO	2009	215,000	215,000	1,496	0.7%
UNIDO	2010	203,000	203,000	195,158	96.1%
UNIDO	2011	75,000	75,000	0	0
		493,000	493,000	196,654	39.9%

Total transfers to 9 participating organizations: USD 22,258,825

UNIDO share of total approved allocation: 2.2% (6th largest beneficiary)

Average annual delivery rate UN agencies: 53.4%

Cape Verde Transition Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2009	208,553	208,553	33,210	15.9%
UNIDO	2010	478,738	478,738	500,500	104.5%
UNIDO	2011	530,719	530,719	0	0%
		1,218,010	1,218,010	533,710	43.8%

Total transfers to 17 participating organizations: USD 13,620,069

UNIDO share of total approved allocation: 8.9% (5th largest beneficiary)

Average annual delivery rate UN agencies: 50.2%

Mozambique One UN Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2008	765,415	765,415	307,699	40.2%
UNIDO	2009	1,298,000	1,298,000	736,430	56.7%
UNIDO	2010	290,000	290,000	394,495	136.0%
UNIDO	2011	0	0	0	-
		2,353,415.00	2,353,415.00	1,438,624	61.1%

³⁸ Source: MPTF Office Gateway, 18 January 2012.

Total transfers to 19 participating organizations: USD 59,040,248
 UNIDO share of total approved allocation: 4.0% (10th largest beneficiary)
 Average annual delivery rate UN agencies: 64.1%

Pakistan One Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2009	1,671,000	1,671,000	3,269	0.2%
UNIDO	2010	950,165	950,165	800,284	84.2%
UNIDO	2011	250,000	250,000	0	0%
UNIDO	2012	0	0	0	-
		2,871,165	2,871,165	803,553	28.0

Total transfers to 16 participating organizations: USD 64,621,937
 UNIDO share of total approved allocation: 5.3% (6th largest beneficiary)
 Average annual delivery rate UN agencies: 40.2%

Rwanda One UN Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2008	1,518,000	1,138,500	656,720	57.7%
UNIDO	2009	667,769	185,989	566,779	304.7%
UNIDO	2010	427,609	412,609	225,582	54.7%
UNIDO	2011	711,633	711,633	0	0.0%
		3,175,011	2,448,731	1,449,081	59.2%

Total transfers to 19 participating organizations: USD 46,560,662
 UNIDO share of total approved allocation: 5.3% (8th largest beneficiary)
 Average annual delivery rate UN agencies: 58.9%

Tanzania One UN Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2008	1,710,475	1,710,475	483,796	28.3%
UNIDO	2009	1,792,485	1,792,485	1,373,962	76.7%
UNIDO	2010	383,568	383,568	838,117	218.5%
UNIDO	2011	1,691,808	1,194,540	0	0.0%
		5,578,336	5,081,068	2,695,875	53.1%

Total transfers to 18 participating organizations: USD 103,939,493
 UNIDO share of total approved allocation: 4.9% (8th largest beneficiary)
 Average annual delivery rate UN agencies: 53.7%

Uruguay One UN Coherence Fund					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2008	360,991	360,991	72,050	20.0%
UNIDO	2009	689,664	736,797	794,933	107.9%
UNIDO	2010	202,850	155,717	383,284	246.1%
UNIDO	2011	0	0	0	-
UNIDO	2012	0	0	0	-
		1,253,505	1,253,505	1,250,267	99.7%

Total transfers to 12 participating organizations: USD 12,042,358

UNIDO share of total approved allocation: 10.5% (3rd largest beneficiary)

Average annual delivery rate UN agencies: 88.7%

Viet Nam One Plan Fund II					
All amounts in US\$					
Organization	Year	Approved allocation	Transfers	Expenditure	Delivery rate
UNIDO	2009	2,536,691	2,536,691	533,093	21.0%
UNIDO	2010	373,309	373,309	1,004,007	268.9%
UNIDO	2011	470,000	470,000	0	0%
UNIDO	2012	30,000	30,000	0	0%
		3,410,000	3,410,000	1,537,100	45.1%

Total transfers to 13 participating organizations: USD 63,799,742

UNIDO share of total approved allocation: 5.3% (6th largest beneficiary)

Average annual delivery rate UN agencies: 39.4%

Annex D: Approach Paper

Approach Paper: Evaluation of UNIDO's Contribution to One UN Mechanisms

3 May 2011

Background

A. Delivering as One United Nations

Triennial Comprehensive Policy Review and System-wide Coherence:

The 2001 and 2004 Triennial Comprehensive Policy Reviews of Operational Activities for Development of the United Nations System (TCPR) call for greater coherence, effectiveness, efficiency and relevance of the UN development system at the country level.

Further to that, the Outcome Document adopted at the 2005 World Summit in New York called for stronger system-wide coherence across the various development-related UN agencies, funds and programmes. It specifically invited the UN Secretary-General (UNSG) to “launch work to further strengthen the management and coordination of UN operational activities” to ensure that the UN maximizes its contribution to achieving internationally agreed development goals, including the Millennium Development Goals (MDGs). This particular call was repeated most recently at the September 2010 Millennium Development Goal Summit.

In February 2006, the UNSG established the High-level Panel (HLP) on UN System-wide Coherence. Building on earlier TCPRs, its November 2006 report entitled “Delivering as One - Report of the High-level Panel on United Nations System-wide Coherence in the areas of development, humanitarian assistance and the environment” represents a further contribution to discussing greater coherence across the UN system in order to respond most effectively to global development challenges of the 21st century. HLP recommendations concern specific clusters of development, governance and institutional reform, humanitarian assistance and recovery, environment, gender, UN system funding and business practices. Most importantly in the present context, under the heading “development: delivering as one at the country level”, the HLP recommended “the establishment of One UN at country level with One Leader, One Programme, One Budgetary Framework, and, where appropriate, One Office”. Meanwhile, One Voice or Communicating as One has become a fifth pillar.

In response to the HLP Report and progress since made, the UN General Assembly (UNGA) considered and pronounced itself in 2008, 2009 and 2010 on five areas with a view to enhancing UN system-wide coherence, i.e. i) gender equality and women's

empowerment; ii) governance; iii) funding; iv) delivering as one at country level; and v) business practices.

In its resolution A/64/289, the GA decided to merge the four gender entities of the United Nations (UNIFEM, DAW, OSAGI, and INSTRAW) into UNWOMEN. Legislation on the other areas of UN system-wide coherence could happen at the 66th session of the UNGA in 2012.

Delivering as One pilot initiative:

In early 2007, almost ten years after introducing the Common Country Assessment (CCA) and UNDAF³⁹, design and implementation of the Delivering as One (DaO) or “One UN” initiative started at country level. At the request of the respective governments, the UNSG selected eight countries for the pilot experience, i.e. Albania, Cape Verde, Mozambique, Pakistan, Rwanda, Tanzania, Uruguay and Vietnam, based on the principle of “no one size fits all”.

One UN pillars:

One Programme: One Programmes, according to the High-level Panel, are country-owned documents signed off by governments, responsive to national development frameworks, including internationally agreed development goals, and reflecting the UN’s added value. They are strategic, focused and results-based, with clear outcomes and priorities. UN Programmes draw on all UN services and expertise, including non-resident agencies (NRAs), in order to deliver a multi-sectoral approach to development, with due attention to crosscutting issues. Compared to United Nations Development Assistance Frameworks (UNDAFs), meanwhile endorsed by the UNGA as the common programming and monitoring tool for UN country teams (UNCTs)⁴⁰, One Programmes also consolidate UN operational activities at country level. They are to be revised regularly to reflect countries’ emerging needs. While Joint Programmes can be useful mechanisms for UN agencies to implement together, the main point of One Programmes is joint programming as a process of planning and reflecting together, and later on possibly implementing together.

One Leader: The concept of One Leader is for an empowered UN Resident Coordinator (RC) and an empowered UNCT to work together with clear accountabilities. Under the One Leader concept, the RC provides strategic leadership throughout the development programming and implementation process, including with relation to mobilizing and allocating resources. The RC is to lead the process in a collegial and participatory way, but is also held accountable to governments and participating UN organizations. In turn, the RC also holds UNCT members accountable for the results they committed to deliver.

³⁹ A/RES/53/192 of 15 December 1998.

⁴⁰ See 2007 TCPR.

One Budget/One Fund: Under the One Budget, agreed-upon results under the One Programme are costed and presented in one financial framework, showing each participating organization's planned input. Since the One Budget also identifies and highlights unfunded portions, stakeholders have a clear picture of the total resources required to implement the One Programme. The One Fund is a key tool for jointly mobilizing preferably un-earmarked resources to close the funding gap. Once a year, progress made against planned results and actual expenditures is assessed and allocations from the One Fund are made accordingly.

One Office: One Office unites UN agencies working at the country level through harmonized business processes, common services and, where appropriate, common premises or a UN House. By physically and functionally bringing organizations together, One Offices can help UNCTs achieve greater economies of scale, improve collaboration and present a unified UN image at the country level.

One Voice: Under this particular One UN mechanism, the UNCT speaks with One Voice – with partners, media and the public – to raise awareness of key development issues and to position itself in development discussions. Thus, the UNCT strives to shift from agency-based to issue-based communication

Expanded DaO Funding Window for Achievement of the MDGs

At the global level, the initiative found financial support in the creation of the Multi-donor Trust Fund “Expanded DaO Funding Window for Achievement of the MDGs” (EFW), launched in September 2008 and operational since July 2009. To date, the governments of Spain, United Kingdom, Norway and the Netherlands have deposited around USD 196 million in the EFW, of which just over USD 165 million have been transferred as un-earmarked resources to seventeen One Funds to help fill funding gaps. Of this amount, USD 113 million have been allocated to the One Funds in the eight DaO pilot countries (Table 1).⁴¹ At country level, EFW funds are mingled with other donor contributions to One Funds. It is thus not possible to track the EFW shares of individual participating organizations.

⁴¹ Multi-Donor Trust Fund Office Gateway (<http://mdtf.undp.org/factsheet/fund/2EW00>).

Table 1: Expanded DaO Funding Window - by Country	
Data as of 12 Apr 2011	
All amounts in US\$	
Covering from Jan 2009 to Dec 2010	
Countries	Transfers
Albania	3,313,000.00
Bhutan	1,538,000.00
Cape Verde	2,818,000.00
Comoros	1,139,000.00
Kiribati	1,000,000.00
Kyrgyzstan	3,626,000.00
Lesotho	2,997,000.00
Malawi	27,958,000.00
Montenegro	1,064,000.00
Mozambique	28,270,000.00
Pakistan	16,000,000.00
Papua New Guinea	2,914,000.00
Rwanda	27,059,000.00
Sierra Leone	9,724,000.00
Tanzania	18,492,000.00
Uruguay	2,217,000.00
Viet Nam	15,099,000.00
	165,228,000.00

Progress in Implementing DaO

TCPR resolution A/RES/62/208, adopted at the end of 2007, encouraged the UNSG to support programme country pilots to evaluate and exchange their experiences. Based on various stocktaking exercises and reviews, a number of inter-agency and intergovernmental processes, including the High-level Dialogue organized by UNIDO in March 2008 at its Vienna headquarters and the inter-governmental meetings in Maputo (May 2008) and Kigali (October 2009), have since pronounced themselves on the opportunities and constraints of DaO. A recent important source of information, as requested by the 2007 TCPR, is the 2010 country-led evaluations of the Delivering as One Programme country pilots, conducted with the support of the United Nations Evaluation Group (UNEG). The 2007 TCPR resolution furthermore

emphasized “the need for an independent evaluation of lessons learned from such efforts⁴² for consideration by Member States, without prejudice to a future inter-governmental decision”. A/RES/63/311 of September 2009 and A/RES/64/289 of July 2010 respectively reaffirmed the importance of an independent evaluation, and requested that its outcome be submitted to the UNGA at its 66th session in 2012. Work of an independent evaluation team is expected to start after July 2011.

At the June 2010 High-Level Tripartite Conference on Delivering as One: Lessons from the Country-led Evaluation and Way Forward in Hanoi, Vietnam, participating programme country representatives having adopted the DaO approach affirmed that “there is no going back to doing business in the manner prior to the ‘DaO’ initiative...”. Moreover, since 2007, a number of so-called voluntary adopters have joined the rows of programme countries pursuing a more integrated approach to UN system assistance. By beginning February 2011, 34 countries in total were engaged in DaO.

B. UNIDO participation in DaO

“Much has already been done to bring greater coherence to our work. But there is a great deal more work ahead of us if we are to continue delivering as one, whether at the country level or on global issues. If we stay on track, I have no doubt we’ll eventually get to our common destination.” Kande K. Yumkella, Statement at the Meeting on UN System-wide Coherence, Vienna, March 2008

UNIDO is a UN specialized agency mandated to promote industrial development for poverty reduction, inclusive globalization and environmental sustainability. It provides policy advice, institutional capacity building and specialized technical support in three thematic priority areas, i.e. poverty reduction through productive activities, trade capacity building, and environment and energy, to 173 member states. Compared to other UN agencies participating in DaO, UNIDO is a relatively small and lean organization.

Given its presence in only 55 countries, UNIDO is oftentimes not physically present on the ground.⁴³ In this regard, the 2007 TCPR emphasizes that programme countries should have access to and benefit from the full range of mandates and resources of the UN development system. National governments should determine which resident and non-resident UN organizations could best respond to the specific needs and priorities of the individual country, including, in the case of NRAs, through hosting arrangements with resident organizations and the use of advanced information and communication technology, including knowledge management.

UNIDO has participated in the DaO pilot initiative since its launch, end 2006. In February 2007, the Director-General and UNIDO staff carried out a series of fact-finding and assessment missions to the pilot countries to gain better understanding on how UNIDO could best support the UN coherence initiative. In December 2007,

⁴²I.e. voluntary efforts towards Delivering as One United Nations.

⁴³ Compared, for example, to UNDP that is on the ground in 166 countries.

during the 12th Session of the General Conference (GC), UNIDO Member States requested the Director-General “to continue the coordination and promotion of UNIDO activities in relation to the ongoing discussions on UN system-wide coherence at the global, regional and country levels”. Furthermore, they requested him “to inform the governing bodies of UNIDO on the results of discussions on UN system-wide coherence and its implications for UNIDO.”⁴⁴ A series of reports have since been presented to the Industrial Development Board (IDB) at its 33rd, 34th, 35th and 36th sessions.⁴⁵

In March 2008, UNIDO established the Office of the Senior Coordinator for UN System Coherence within the Regional and Field Operations Branch to strengthen its contribution to DaO. Two months later, in May 2008, the project “Enhancing the Coordination and Support of UNIDO Involvement in DaO and CCA/UNDAF Processes” was approved for implementation during the 2008/2009 biennium. A follow-up project is scheduled to end in December 2011.⁴⁶ The objective of the projects⁴⁷ is to ensure greater UN contribution to the economic and industrial development priorities of member states through more effective UNIDO participation in UNCT and United Nations Development Group (UNDG) Regional Team activities, including poverty reduction strategies, CCA/UNDAF and DaO preparatory activities. Three outputs are envisaged for the 2010/2011 period, i.e.:

- Established DaO-related networks kept operational to ensure relevant and rapid response to field requests for substantive guidance and/or material support on DaO and CCA/UNDAF processes;
- Strategic advisory services provided for UNIDO effective and rapid response by HQ and FOs to the requirements of DaO and CCA/UNDAF processes; and
- Field Office (FO) capacity strengthened to support effective and timely implementation of One UN Programmes/Plans in the eight pilot countries and in other DaO countries, including the UNDAF rollout countries and self-starters, in support of coherent responses.

In June 2008, the Strategic Planning and Coordination Group, in cooperation with the Regional and Field Operations Branch, made a presentation at the divisional level on UN system-wide coherence and Delivering as One, during which the importance and implications of UN reforms for UNIDO were discussed amidst a very large audience. Furthermore, newly recruited UNIDO staff members are briefed on the subject during induction courses organized on a yearly basis at HQ.

In terms of collaboration in inter-agency bodies at the global level, UNIDO has involved itself in the High-level Committee on Programmes (HLCP), the High-level Committee on Management (HLCM) and the UNDG, all subsidiary organs of the Chief Executives Board for Coordination (CEB). More specifically, the Organization has been co-chairing the UNDG since October 2010. It also participates in the CEB Inter-Agency Cluster on Trade and Productive Capacity, the UNDG Working-Group

⁴⁴GC.12/CRP.6 & GC.12/Res.6.

⁴⁵ IDB.33/CRP.6, IDB.34/7, IDB.35/12 and IDB.36/15.

⁴⁶ Project numbers XP/GLO/08/08037 – YA/RAF/08/031 and XX/GLO/10/019.

⁴⁷ Please also refer to project logical frameworks.

on Resident Coordinator System Issues, of which it has been the co-convenor since 2010, the UNDAF Programming Network, the Joint Funding and Business Operations Network and the UNDG/ECHA Working Group on Transition. UNIDO also participated in the Inter-Agency Task Team on Change Management, which concluded its operations in 2009. At the regional level, UNIDO formalized in 2010 its participation in Regional UNDG Teams to contribute to improved regional coherence and to support UNCTs.

The recently launched UNIDO Management Priorities and expected key results for the year 2011 that reflect the Medium-Term Programme Framework 2008-2011 (MTPF) adopted by the IDB⁴⁸, especially in its Objective 5, set the frame for further UNIDO participation in UN system-wide mechanisms and at country/regional level. Three key results are outlined, i.e.:

- Increase in UNIDO's involvement in the formulation of UNDAF and UNCT Joint Programmes;
- Delivering as One concepts mainstreamed and reflected in UNIDO's programme activities; and
- UNIDO is a major voice in CEB and its High-level Committees (HLCP, HLCM and UNDG), and UNIDO's objectives are effectively projected within them.

UNIDO Participation in One Budgetary Frameworks/One Funds:

At the country level, UNIDO is involved in the One Programmes and associated One Budgetary Frameworks/One Funds of all eight DaO pilot countries with an initial UNIDObudget of USD 71.5 million over the period 2008-2012, and an initial funding gap of USD 42.3 million to be mobilized from the One UN Funds at the country-level. As of today, One Fund transfers to UNIDO amount to USD 17.2 million from the country-level One Funds, funded through individual donors and the EFW. This represents a UNIDO share of total One Funds transfers of 5.2%.

To date, UNIDO has collected USD 17.2 million from the eight One Funds, representing 93.6% of its approved budgets and 5.2% of total allocated One Funds funds. The Organization's average annual delivery rate of One Fund funds was 32.6%, ranging from 0.1% in Pakistan (UN agency average 3.6%) to 69.2% in Uruguay (UN agency average 69.9%). These figures, however, while including 2010 (2011) transfers, do not yet include 2010 expenditures. Participating organizations have until end April 2011 to submit their financial reports as of 31 December 2010. Accordingly, financial data will be updated as part of the forthcoming evaluation to be able to show/analyse the level of delivery as of end 2010, which is expected to be higher. More country-level details are provided in Table 2 and Annex I.⁴⁹

⁴⁸ IDB.32/8 & IDB.32/8/Add.1.

⁴⁹ Multi-Donor Trust Fund Office Gateway (<http://mdtf.undp.org/factsheet/agency/002000>). 2010 expenditure reports not yet posted.

Table 2: UNIDO Participation in One Funds											
Data as of 14 April 2011 / All amounts in US\$											
	Donor commitments	Donor deposits	One Fund approved budgets	UNIDO initial funding gap 2008-2012	Approved UNIDO budgets	UNIDO shares of total budgets	Total transfers	Transfers to UNIDO	UNIDO shares of total transfers	UNIDO expenditures 2008/2009	UNIDO delivery rates (annual)
Albania	24,426,343 ⁵⁰	23,522,028	16,733,003	418,000	418,000	2.5%	16,003,153	418,000	2.6%	1,496	0.4%
Cape Verde	18,162,470 ⁵¹	13,810,583	11,966,321	529,000	1,218,010	10.2%	11,885,689	1,218,010	10.2%	33,210	2.7%
Mozambique	61,655,934 ⁵²	59,095,693	57,245,219	5,400,000	2,353,415	4.1%	56,846,758	2,353,415	4.1%	1,044,129	44.4%
Pakistan	89,197,416 ⁵³	54,221,898	50,834,693	13,469,583	2,764,560	5.4%	50,782,806	2,764,560	5.4%	3,269	0.1%
Rwanda	61,079,947 ⁵⁴	55,482,012	57,566,866	13,500,000	3,175,011	5.5%	44,322,811	2,158,323	4.9%	1,223,499	56.7%
Tanzania	94,807,982 ⁵⁵	92,097,139	85,884,863	4,846,000	4,036,528	4.7%	84,789,017	3,886,528	4.6%	1,857,758	47.8%
Uruguay	12,914,352 ⁵⁶	12,537,846	12,118,039	1,253,505	1,253,505	10.3%	11,673,105	1,253,505	10.7%	866,983	69.2%
Vietnam ⁵⁷	51,561,271 ⁵⁸	56,146,825	57,935,778	2,910,000	3,160,000	5.5%	52,800,024	3,160,000	6.0%	533,093	16.9%
	421,805,715	366,914,024	350,284,782	42,326,088	18,379,029	5.2%	329,103,363	17,212,341	5.2%	5,563,437	32.6%

⁵⁰ Austria, EU, EFW, Finland, the Netherlands, Norway, Spain, Sweden, Switzerland.

⁵¹ Austria, EFW, Luxembourg, the Netherlands, Norway, Spain.

⁵² Canada, EFW, the Netherlands, Norway, Spain, Sweden, UK.

⁵³ Australia, Norway, EFW, Spain, the Netherlands, Switzerland, UK.

⁵⁴ EFW, the Netherlands, Spain, Sweden, Norway, UK.

⁵⁵ EFW, Canada, Finland, Ireland, Norway, the Netherlands, Spain, Sweden, UK.

⁵⁶ EFW, Spain, the Netherlands, Norway.

⁵⁷ Vietnam One Plan Fund II.

⁵⁸ Australia, Canada, EFW, Finland, Ireland, Luxembourg, the Netherlands, New Zealand, Norway, Spain, Sweden, Switzerland, UK.

MDG Achievement Fund:

Besides benefiting from the One Funds, UNCTs in 59 countries, including four DaO countries, have been able to request contributions from the global MDG Achievement Fund⁵⁹. To date, MDG Achievement funds have been allocated to 50 countries, including Albania, Mozambique, Uruguay and Vietnam (see Table 3).

Table 3: MDG Achievement Fund - by DaO Pilot Country				
Data as of 12 Apr 2011				
All amounts in US\$				
Covering from Jan 2007 to Dec 2012				
		Approved budgets	Transfers	Expenditures
	Albania	12'667'200.00	10'446'895.00	2'019'433.79
	Mozambique	17'500'000.00	14'011'407.00	4'204'230.57
	Uruguay	3'370'000.00	3'370'000.00	908'228.01
	Viet Nam	12'000'000.00	10'515'543.00	1'256'003.90
		45'537'200.00	38'343'845.00	8'387'896.10

UNIDO participates in MDG Achievement Fund financed programmes in three of the eligible DaO countries, i.e. Mozambique, Uruguay and Vietnam. To implement its activities, the Organization has an approved budget of USD 2.8 million, representing an overall 14.8% share. To date, UNIDO has collected USD 2.5 million, representing 88.6% of budgeted funds or 15.3% of total allocations. Its average delivery rate of MDG Achievement funds is 26.7%. Again, while these figures include 2010 transfers, they do not yet include 2010 expenditures. More details are provided in Table 4.

⁵⁹ www.mdgfund.org.

Table 4: MDG Achievement Fund –Joint Programmes with UNIDO Participation								
Data as of 14 Apr 2011								
All amounts in US\$								
Covering from Jan 2007 to Dec 2012								
	Approved budgets	Approved UNIDO budgets	UNIDO shares of total budgets	Total Transfers	Transfers to UNIDO	UNIDO shares of total transfers	UNIDO expenditures (annual)	UNIDO delivery rates (annual)
Mozambique								
MDGF-1681-E-MOZ Env Climate (00067152)	7'000'000.00	1'040'343.00 FM/MOZ/08/005	14.9%	5,231,967.00	721'816.00	13.8%	270'942.00	37.5%
Uruguay								
MDGF-1763-G-URY Culture (00067173)	3'370'000.00	1'005'651.00 FM/URU/08/004	29.8%	3,370,000.00	1'005'651.00	29.8%	298'084.00	29.6%
Vietnam								
MDGF-1694-B-VNM Gender Equality (00067156)	4'500'000.00	127'311.00 FM/VIE/09/005	2.8%	4,500,000.00	127'311.00	2.8%	71'619.00	56.3%
MDGF-2065-D-VNM Green Prod. & Trade (00067261)	4'000'000.00	615'250.00 FM/VIE/09/003	15.4%	3,022,188.00	615'250.00	20.4%	19'827.00	3.2%
	18'870'000.00	2'788'555.00	14.8%	16'124'155.00	2'470'028.00	15.3%	660'472.00	26.7%

The DaO initiative - now in its fifth year – has moved beyond the design phase to the implementation and delivery phase. In 2010, independent UNIDO country evaluations assessed the main interventions, responsibilities and functions of UNIDO in inter alia two DaO pilots, i.e. Mozambique and Tanzania. A specific focus was given to UNIDO's support for UN integration at country level through active participation in UNCTs, including championing UNIDO corporate and thematic interests and contributing as appropriate to joint UN country-level initiatives. UNIDO will also conduct further country evaluations in Rwanda and Vietnam in the course of 2011, which, in view of the present evaluation, will put an even

stronger emphasis on UNIDO's experience with DaO. The UNIDO Evaluation Group also plans a mission to Cape Verde to assess UNIDO's contribution as lead agency for the One Programme Sub-programme 4 on Promotion of Growth and Economic Opportunities and as one of the main recipients of funds from the Cape Verde Transition Fund (4th largest beneficiary in terms of total approved budgets). Findings and recommendations from these evaluations will provide inputs into the present evaluation of UNIDO's Contribution to One UN Mechanisms.

Evaluation Purpose

The thematic evaluation of UNIDO's Contribution to One UN Mechanisms was proposed by ODG/EVA. It was included in the ODG/EVA Work Programme 2010/2011 and approved by the Executive Board. The evaluation will be both retrospective and prospective and focus on UNIDO-specific learning needs.

In view of the fact that most DaO pilot countries have started/are starting consultations for the next programming cycle, the growing number of DaO voluntary adopters, and the large number of countries rolling out their UNDAFs in the coming years, the present evaluation serves the following purposes...

- ...to inform UNIDO management and policy organs about UNIDO's contribution to DaO in the pilot countries, factors weakening/strengthening its contribution, as well as results in relation to UNIDO thematic priority areas and other benefits to the Organization and host governments;
- ...to provide guidance to UNIDO management and policy organs on key opportunities and constraints for sustaining and expanding the coverage and quality of its contribution;
- ...to assess the effectiveness and efficiency of the projects "Enhancing the coordination and support of UNIDO involvement in DaO and CCA/UNDAF processes";
- ...to inform the forthcoming UNGA-commissioned independent evaluation of DaO;
- ...to provide an input into the UNGA deliberations on the independent evaluation as part of the Quadrennial Comprehensive Policy Review (QCPR) during its 66th session in 2012; and
- ...to identify DaO issues of direct relevance to NRAs as well as UN specialized agencies with business model specificities similar to UNIDO.

Scope& focus

The evaluation will cover all DaO pilot countries, and particularly those four countries for which UNIDO has conducted/is in the process of conducting country evaluations, i.e. Tanzania (2010), Mozambique (2010), Rwanda (2011) and Vietnam (2011). While taking a longer-term perspective on the issue, the evaluation will focus on the period of the past four years since 2007 when UNIDO started to contribute to One UN mechanisms. While UNIDO's contribution to One Programmes (design and implementation), participation in One Budgetary Frameworks/One Funds, and involvement in One Houses at country level will be

a specific focus of the evaluation, UNIDO's contribution to One Voice and its support for the One Leader concept will be treated as crosscutting issues where applicable.

While the evaluation will assess UNIDO HQ and Field Offices involvement in and direct support to One UN mechanisms in the pilot countries, it does not attempt to evaluate the Organization's contribution to reform-related bodies at the HQ or at regional levels.

In addition to emphasizing the overall effort of the Organization to optimize its contribution to DaO in the eight pilot countries, the evaluation will also reflect on actual results achieved under the One Programmes in UNIDO's thematic priority areas.⁶⁰

Key Evaluation Issues

The evaluation team will attempt to determine as systematically and objectively as possible UNIDO's contribution to One UN mechanisms in the DaO pilot countries, identify factors that have facilitated or impeded its contribution (why/why not?), establish results in UNIDO thematic priority areas & other benefits for the Organization and partner governments, and provide guidance on key opportunities and constraints. This will be undertaken against the following criteria and key questions:

A. Assessment of UNIDO contribution to One Programme design

1. Which role/s does UNIDO play in relation to the design of One Programmes?
2. Extent to which national development priorities and One Programmes reflect UNIDO thematic priority areas.
3. Extent to which One Programmes incorporate UNIDO projects.
4. Extent to which UNIDO projects under One Programmes are strategically focused and programmatically integrated (One UNIDO).
5. Extent to which projects are in line with the Organization's competences and comparative advantages.
6. Extent to which UNIDO national counterpart ministries are involved in defining One Programme priorities and desired outcomes.

B. Assessment of UNIDO participation in One Budgetary Frameworks/One Funds

1. What is UNIDO's total budget under the One Programme?
2. Extent to which UNIDO internal or externally mobilized resources are allocated to the One Programme.
3. Extent to which UNIDO has collected funds from the One Funds for implementing its activities under the One Programme.
4. How much does UNIDO expect to mobilize from the One Funds (unfunded portion)?
5. How does UNIDO contribute to joint resource mobilization for activities under One Programmes?

C. Assessment of UNIDO contribution to One Programme implementation

⁶⁰ See Annex II for provisional list of projects to be included in the evaluation.

1. Which role/s does UNIDO play relating to One Programme implementation?
2. How is UNIDO performing in terms of financial delivery under One Programmes?
3. What is the quality of UNIDO outputs?
4. Extent to which government counterparts demonstrate national ownership of UNIDO-implemented activities and UNIDO outputs under One Programmes.
5. Extent to which host governments and development partners, including UNCT members, appreciate UNIDO's contribution to One Programme implementation.

D. Assessment of the effectiveness of UNIDO contribution to One Programme implementation

1. Extent to which One Programme outcomes are being achieved.
2. Extent to which UNIDO outputs are produced and contribute to the achievement of One Programme outcomes.
3. Are UNIDO's contributions distinct and visible? Should they be?

E. Assessment of UNIDO contribution to operational coherence

1. Has UNIDO moved offices to co-locate with other UNCT member agencies in a One Office/One UN House?
2. Extent to which UNIDO has harmonized business practices/is using common services.
3. Extent to which UNIDO is HACT compliant.⁶¹
4. Extent to which HACT is relevant to UNIDO as a specialized agency.
5. Extent to which UNIDO has or should shift from agency to national execution/implementation of projects as the preferred modality of delivery.⁶²
6. How has operational coherence supported implementation of activities and achievement of results?

F. Assessment of costs of UNIDO contribution to One UN mechanisms

1. Actual costs incurred or reduced as a result of harmonized business practices, establishment of common services & moving into a One House/common premises.
2. Extent to which transaction costs⁶³ for UNIDO (at different levels) have changed as a result of its participation in One UN mechanisms.

⁶¹ At the undg meeting on 24 April 2008, UNIDO agreed to use HACT where applicable to its operations in 'Delivering as One' pilots.

⁶² In December 2008, the Director-General of UNIDO endorsed the principle of national execution, in accordance with efforts at UN-system level to simplify and harmonize operational and administrative mechanisms and procedures. Source: Joint Terminal Evaluation of the Implementation of the Cooperation Agreement between UNIDO and UNDP, page 11.

⁶³ To the extent that the term "transaction costs" is perceived as too abstract, it could be replaced by "workload". According to documentation, transaction costs are the costs associated with the processes and activities that the UN development system engages in, to deliver its programmes at the country level, and which are internal to the UN system, as well as those incurred by its national partners and donors when interacting with the UN system. Transaction costs are defined as the resources utilized to perform processes/activities for programmes, within a defined timeframe, and incurred at the country level as well as by sub-regional/regional/headquarters offices of the UN agencies for country-level activities. Such transaction costs consist of programme costs and management/administration/support costs. These costs can also be classified as direct and indirect costs; would include both staff cost and non-staff. Transaction costs are one of the variables through which the efficiency and effectiveness of UN country operations can be measured, which should be supplemented by an assessment of quality and effectiveness of programmes and the sustainability of programme results. (Source: Definition, Identification and Measurement of In-country Transaction Costs in the Context of 'Delivering as One' Pilot Countries, undg, October 2010.)

3. Extent to which UNIDO's external partners have incurred less/more transaction costs as a result of the Organization's contribution.
 4. If applicable, extent to which increased transaction costs are commensurate to benefits of delivering as one.
- G. Assessment of the roles, responsibilities and capacities of UNIDO staff for contributing to One UN mechanisms
1. What roles have various categories of HQ-based staff and field staff played in DaO pilots?
 2. Extent to which UNIDO HQ delivery mode/field presence are conducive to One UN participation.
 3. Where applicable, as a NRA, extent to which UNIDO has been able to rely on country-level institutional mechanisms⁶⁴ or other UN agencies to deliver and sustain its contribution to One UN mechanisms.

Approach & methodology

In terms of data collection, the evaluation team will use different methods including desk review of background information (evaluation reports, One Programmes, Joint Programme documents, project documents, progress reports, mission reports, Agresso search, meeting minutes, etc.)⁶⁵, statistical analysis, and internet surveys, as well as UNIDO staff and external stakeholder interviews and direct observation during visits to project sites.

Core evaluation data will include:

- Total ODA disbursed to each of the DaO pilots in 2006-2010
- Total ODA as share of GDP in 2006-2010
- Total UN system ODA disbursed to each of the DaO pilots 2006-2010
- Volume of UNIDO assistance in each of the DaO pilots 2006-2010
- Total budgets of One Programmes
- UNIDO budgets as part of One Programmes (total and percentage of total)
- UNIDO allocations from internal/externally mobilized resources to One Budgets
- Total budgets of One Funds
- UNIDO One Fund approved budgets (total and share of total)
- Effective transfers to UNIDO from One UN Funds, including MDG Achievement Fund (total and in percentage of approved budgets)
- UNIDO expenditures and financial delivery rates
- UNIDO components and projects in the eight pilots (under the One Programme and outside, including country-level components/outputs of regional projects)
- Funds allocated from the UNIDO CCA/UNDAF/DaO project to each DaO pilot since 2008
- HQ/Regional Office staff involved in the DaO pilots
- UNIDO staff/consultants in the DaO pilots since 2007

⁶⁴Such as NRA experts in RCOs, UNDP-UNIDO Cooperation Agreement, One Leader.

⁶⁵ See Annex III for non-exhaustive list of reference documents.

The evaluation team will ensure that the findings are evidence-based. This implies that all perceptions, hypotheses and assertions obtained in interviews be validated through secondary filtering, cross checks by a triangulation of sources, methods, data and theories.

While maintaining independence, the evaluation will be carried out based on a participatory approach that seeks the views and assessments of all stakeholders. These include concerned UNIDO regular and project staff at HQ, regional offices and the field, programme government counterparts, other UN organizations and donor agencies.

The evaluation will be conducted in steps, gradually folding in all information as it becomes available. The final report is expected by the end of 2011.

Annex I: UNIDO Participation in One UN Funds

Following figures, while including 2010 (2011) transfers, do not yet include 2010 expenditures. Participating organizations have until end April 2011 to submit their financial reports as of 31 December 2010. Accordingly, financial data will be updated as part of the forthcoming evaluation to be able to show/analyse the level of delivery as of end 2010, which is expected to be higher.

Albania One UN Coherence Fund					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2009	215,000.00	215,000.00	1,496.00	0.7%
UNIDO	2010	203,000.00	203,000.00	0.00	0.0%
		418,000.00	418,000.00	1,496.00	0.4%

Total approved budget 9 participating organizations: USD 16,733,003

UNIDO share of total approved budget: 2.5% (5th largest beneficiary)

Average annual delivery rate UN agencies: 36.1%

Cape Verde Transition Fund					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2009	208,553.00	208,553.00	33,210.00	15.9%
UNIDO	2010	478,738.00	478,738.00	0.00	0.0%
UNIDO	2011	530,719.00	530,719.00	0.00	0.0%
		1,218,010.00	1,218,010.00	33,210.00	2.7%

Total approved budget 17 participating organizations: USD 11'966'321

UNIDO share of total approved budget: 10.2% (4th largest beneficiary)

Average annual delivery rate UN agencies: 20.1%

Mozambique One UN Fund					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2008	765,415.00	765,415.00	307,698.50	40.2%
UNIDO	2009	1,298,000	1,298,000	736,430	56.70%
UNIDO	2010	290,000.00	290,000.00	0.00	0.0%
		2,353,415.00	2,353,415.00	1,044,128.50	44.4%

Total approved budget 19 participating organizations: USD 57,245,219

UNIDO share of total approved budget: 4.1% (10th largest beneficiary)

Average annual delivery rate UN agencies: 28.7%

Pakistan One Fund					
Data as of 12 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2009	1,671,000.00	1,671,000.00	3,269.00	0.2%
UNIDO	2010	950,165.00	950,165.00	0.00	0.0%
UNIDO	2011	143,395.00	0.00	0.00	
		2,764,560.00	2,621,165.00	3,269.00	0.1%

Total approved budget 16 participating organizations: USD 50,834,693

UNIDO share of total approved budget: 5.4% (6th largest beneficiary)

Average annual delivery rate UN agencies: 3.6%

Rwanda One UN Fund					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2008	1,518,000.00	1,138,500.00	656,719.81	57.7%
UNIDO	2009	667,768.60	185,988.60	566,779.00	304.7%
UNIDO	2010	427,609.00	412,609.00	0.00	0.0%
UNIDO	2011	561,633.49	421,225.12	0.00	0.0%
		3,175,011.09	2,158,322.72	1,223,498.81	56.7%

Total approved budget 19 participating organizations: USD 57,566,866

UNIDO share of total approved budget: 5.5% (7th largest beneficiary)

Average annual delivery rate UN agencies: 31.1%

Tanzania One UN Fund					
Data as of 12 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2008	1,710,475.00	1,710,475.00	483,795.56	28.3%
UNIDO	2009	1,792,484.83	1,792,484.83	1,373,962.00	76.7%
UNIDO	2010	383,568.24	383,568.24	0.00	0.0%
UNIDO	2011	150,000.00	0.00	0.00	
		4,036,528.07	3,886,528.07	1,857,757.56	47.8%

Total approved budget 14 participating organizations: USD 85,884,863

UNIDO share of total approved budget: 4.7% (7th largest beneficiary)

Average annual delivery rate UN agencies: 30.1%

Uruguay One UN Coherence Fund					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2008	360,991.00	360,991.00	72,049.51	20.0%
UNIDO	2009	689,664.00	736,797.00	794,933.00	107.9%
UNIDO	2010	202,850.00	155,717.00	0.00	0.0%
		1,253,505.00	1,253,505.00	866,982.51	69.2%

Total approved budget 12 participating organizations: USD 12,118,039

UNIDO share of total approved budget: 10.3% (3rd largest beneficiary)

Average annual delivery rate UN agencies: 69.4%

Viet Nam One Plan Fund II					
Data as of 5 Apr 2011					
All amounts in US\$					
Organization	Year	Approved budget	Transfers	Expenditure	Delivery rate
UNIDO	2009	2,536,691.00	2,536,691.00	533,093.00	21.0%
UNIDO	2010	373,309.00	373,309.00	0.00	0.0%
UNIDO	2011	250,000.00	250,000.00	0.00	0.0%
		3,160,000.00	3,160,000.00	533,093.00	16.9%

Total approved budget 13 participating organizations: USD 57,935,778

UNIDO share of total approved budget: 5.5% (6th largest beneficiary)

Average annual delivery rate UN agencies: 2.8%

Annex II: UNIDO projects under One UN Programmes (provisional list)

Country	Number(s)	Project Title	Remarks
Albania	FB/ALB/09/004	Albania One UN Programme	Activities under Development Goal 5 – Environment, Outcome 5.1 – Government meets environmental requirements of EU accession process and of multilateral environment, Result 5.1.2
Cape Verde	FB/CVI/09/A01	Sub-Programme 4 Promotion of Growth and Economic Opportunities	Lead Agency
	FB/CVI/09/B01	Sub-Programme 1 Economic Graduation & Integration Global Economy	
	FB/CVI/09/C01	Sub-Programme 5 Environment, Energy & Disaster	
Mozambique	FB/MOZ/08/004	Joint Programme on Women's Empowerment and Gender Equality: Processing of Selected Agricultural Produce for Employment Creation and Income Generation with a Focus on Women	Part of country evaluation
	FM/MOZ/08/005	Joint Programme on Environmental Mainstreaming and Adaptation to Climate Change	Part of country evaluation; MDG Achievement Fund
	FB/MOZ/08/006	One UN Programme for Mozambique component 4.3.5/2: Increased Supply Capacity for Agricultural and Fishery Products	Part of country evaluation
	FB/MOZ/08/007	Joint Programme on Promotion of Youth Employment	Part of country evaluation
Pakistan	FM/PAK/09/002	CCT-Gender Equality	
	FB/PAK/09/002	JPC1-Pro-poor Sustainable	

	FB/PAK/09/011	Agriculture JPC2-Decent Employment & Poverty	
	FB/PAK/09/012	JPC3-Secondary Education	
	???	JPC4-Sustainable Urbanization	Approved budget 2010: USD 50,000; actual transfer: USD 50,000; expenditures: USD 0.
	FB/PAK/09/013	JPC5-Green Industrial Waste Management	
Rwanda	XP/RWA/07/002	Country Programme for Rwanda – Development of One UN Programme	
	XP/RWA/06/005; XP/RWA/09/001	Promotion of Opportunities for Private Sector Enterprise Expansion, Development and Shared Growth (PROPSEEDS) – UNIDO Contribution to Support One UN Programme Output 4.2	
	FB/RWA/08/A01	Governance	
	FB/RWA/08/F01	Growth & Social Protection	
	FB/RWA/08/B01	Education & Skills	
	FB/RWA/08/C01	Environment & Natural Resources	
Tanzania	FB/URT/08/001	Joint Programme 1: Wealth Creation, Employment and Economic Empowerment	Part of country evaluation
	FB/URT/08/002	Joint Programme 5: Capacity Building Support to Zanzibar	Part of country evaluation
	FB/URT/09/002	Joint Programme 6.1: Managing Transition from Humanitarian Assistance to Sustainable Development in North-Western Tanzania	Part of country evaluation
	FB/URT/09/003; US/URT/09/005	Joint Programme 10: Education	Part of country evaluation
	FB/URT/09/004; US/URT/09/006	Joint Programme 11: Environment & Climate Change	Part of country evaluation
Uruguay	FB/URU/08/002	Institutional Strengthening	

		for the Design of Economic Strategies – Country International Insertion and Long-term Energy Policies Development	
	FB/URU/08/003	Technical Assistance for the Design of Public Policies that Promote Sustainable Production and Employment	Component 4 – Support to Cooperative Commission
	FM/URU/08/004	Strengthening Cultural Industries and improving access to the cultural goods and services of Uruguay	MDGF-1763-G-URY Culture; MDG Achievement Fund
Vietnam	XP/VIE/08/006	Strengthening of One UN Implementation in Vietnam	
	FB/VIE/09/010	Environment - Policy advice on environmental management	
	FB/VIE/09/008	Social Economic Policy – Building national capacity in industrial diagnosis and trade competitiveness analysis	
	FB/VIE/09/009	Social Economic Policy – Platform for investment monitoring and supplier development in Vietnam (phase I)	
	FB/VIE/09/006	Social Economic Policy – Technical assistance to business registration reform in Vietnam (Phase A)	
	FM/VIE/09/003 FM/VIE/10/001	Joint Programme on Green Production and Trade to Increase Income and Employment Opportunities for the Rural Poor	MDGF-2065-D-VNM; MDG Achievement Fund
	FM/VIE/09/005	Joint Programme on Gender Equality	MDGF-1694-B-VNM Gender Equality; MDG Achievement Fund

Annex III: Reference documents (not exhaustive)

A. Delivering as One United Nations

- A/RES/53/192 Triennial Comprehensive Policy Review 1998
- A/RES/56/201 Triennial Comprehensive Policy Review 2001
- A/RES/59/250 Triennial Comprehensive Policy Review 2004
- A/RES/60/1 2005 World Summit Outcome
- High-level Panel Report on System-wide Coherence of November 2006 entitled “Delivering as One” (A/61/583)
- 2007 Country Stocktaking Reports
- UNDG Task Team on Non-resident Agencies Input into the Stocktaking Exercise of the DaO Pilots, November 2007
- A/RES/62/208 Triennial Comprehensive Policy Review 2007
- Delivering as One 2007 Stocktaking Exercise – Key Points Emerging from the DaO as One Pilot Initiative Emerging from Reports by Governments, UN Country Teams and UN Agencies, March 2008
- 2008 Country Stocktaking Reports
- Outcomes of the inter-governmental meeting held in Maputo, Mozambique, from 21-33 May 2008
- A/RES/62/277 System-wide Coherence
- Delivering as One 2008 Stocktaking Synthesis Report – Joint Reports by Governments and UN Country Teams, undated
- UNESCO 181 EX/20 – Biennial Evaluation Report on the Activities and Results of All UNESCO Decentralized Bodies (which provides findings from the evaluation of the eight DaO pilots, called for in document 34 C/5 Annex V), February 2009
- A/RES/63/311 System-wide Coherence
- Outcomes of the inter-governmental meeting held in Kigali, Rwanda, from 19-21 October 2009
- Guidance Note on Common Services and Harmonized Business Practices 2009: Business Operations Work Stream, UNDG, 2009
- Note on the ad-hoc arrangements for the independent evaluation of the “delivering as one” (DaO) pilot initiative, May 2010
- Country-led Evaluation of the Delivering as One Experience Uruguay, Final Report, May 2010
- Country-led Evaluation of Delivering as One in Vietnam, Final Report, May 2010
- Summary of Preliminary Findings of the Country-led Evaluations in Albania, Mozambique, Tanzania, Uruguay and Viet Nam, presented to the June 2010 High-level Tripartite Conference on DaO, June 2010
- Outcomes of the inter-governmental meeting held in Hanoi, Viet Nam, from 14-16 June 2010
- Delivering as One Country-led Evaluation Mozambique, Final Report, June 2010
- A/RES/64/289 System-wide Coherence
- Country-led Evaluation – Delivering as One Albania, Final Report, 7 July 2010
- Country-led Evaluation of Delivering as One United Nations in Cape Verde, Final Evaluation Report, September 2010
- Definition, Identification and Measurement of In-country Transaction Costs in the Context of ‘Delivering as One’ Pilot Countries, UNDG, October 2010
- A/RES/65/1 Keeping the promise: united to achieve the Millennium Development Goals (Millennium Development Goal Summit)
- Country-led Evaluation of Delivering as One in Rwanda, Final Report, November 2010
- Country-led Evaluation of the Delivering as One UN Pilot Initiative in Tanzania, Final Report, undated

- 2010 Resident Coordinator Annual Reports (not yet released)
- Completed UNDAF Information Sheets (UIS) for the eight DaO countries (Klaus Billand)
- Delivering as One: Follow-up to Hanoi, Joint Meeting of the Executive Boards of UNDP/UNFPA, UNICEF, UN Women and WFP, February 2011
- DaO pilots One Programmes
- One Programme progress reports
- Multi-Donor Trust Fund Office Gateway <http://mdtf.undp.org/>
- DFID Multilateral Aid Review: Assessment of Expanded Delivering as One Funding Window for the achievement of the MDGs (EFW), February 2011

B. UNIDO contribution to DaO

- IDB.33/CRP.6 of 15 June 2007
- GC.12/CRP.6 of 19 November 2007
- UNIDO project document XP/GLO/08/08037 – YA/RAF/08/031 “Enhancing the coordination and support of UNIDO involvement in Delivering as One and CCA/UNDAF Processes” funded through UF/GLO/06/200, XP/GLO/08/037 and YA/RAF/08/031
- Note to the UK Mission, UNIDO Support Programme “Enhancing the coordination and support of UNIDO involvement in CCA/UNDAF and Delivering as One processes (UF/GLO/06/200, XP/GLO/08/037 and YA/RAF/08/031)”, undated
- IDB.34/7 of 3 April 2008
- IDB.35/12 of 26 September 2008
- The Contribution of UNIDO to United Nations System-wide Coherence: Synergy at Work, October 2008
- IDB.36/15 of 19 May 2009
- Joint Terminal Evaluation of the Implementation of the Cooperation Agreement between UNIDO and UNDP, September 2009
- UNIDO Annual Report 2009
- UNIDO project document XX/GLO/10/019 “Enhancing the coordination and support of UNIDO involvement in Delivering as One and CCA/UNDAF processes for the biennium 2010-11” funded through XP/GLO/10/019 and YA/RAF/10/013
- Process Evaluation of UNIDO’s Field Mobility Policy, April 2010
- Independent Country Evaluation in the United Republic of Tanzania, November 2010
- UNIDO Note on “DaO Pilot countries – Key figures – January 2008-2010” presenting the main figures pertaining to One Budgetary Framework and One Fund resources in the 8 DaO pilot countries
- PPP Self-Assessment of UNIDO’s CCA/UNDAF/DaO Support Programme – Presentation of Preliminary Findings, December 2010
- UNIDO Annual Report 2010 (under preparation)
- Independent Evaluation Report Mozambique Country Evaluation, January 2011
- PCF/RFO Branch annual progress reports on DaO/CCA/UNDAF project (Klaus Billand)
- UNIDO Progress Report “Enhancing the coordination and support of UNIDO involvement in DaO and CCA/UNDAF processes”, 14 February 2011
- ToR/minutes of Rapid Response Team meetings (Klaus Billand)
- ToR/minutes of Informal DaO Monitoring Group meetings (Klaus Billand)
- DaO Review Mission reports (Klaus Billand)
- CCA/PRSP/UNDAF/DaO application forms from the DaO countries (Klaus Billand)
- RBM-based work plans of the UNIDO FOs in the pilot countries (see Outcomes 1, 2 and 3) (Klaus Billand)

- FO monthly reports to PCF/RFO (Klaus Billand)
- Completed DaO/CCA/UNDAF project self-assessment questionnaires from the eight pilot countries (2008, 2009, 2010) (Klaus Billand)
- UNIDO country programme documents for the pilot countries
- Project documents for selected UNIDO activities under the One Programmes
- Annual work plans for selected UNIDO activities under the One Programmes
- Annual reports for selected UNIDO activities under the One Programmes



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Vienna International Centre, P.O. Box 300, 1400 Vienna, Austria

Telephone: (+43-1) 26026-0, Fax: (+43-1) 26926-69

E-mail: unido@unido.org, Internet: www.unido.org