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EXECUTIVE COMMITTEE OF
THE MULTILATERAL FUND FOR THE
IMPLEMENTATION OF THE MONTREAL PROTOCOL
Twenty-third Meeting
Montreal, 12-14 November 1997

**REPORTS OF THE SUB-COMMITTEE ON MONITORING, EVALUATION
AND FINANCE**

1. The Report of the Second Meeting of the Sub-Committee on Monitoring, Evaluation and Finance, which was held on 18-19 September 1997, is presented in this document.
2. The Report of the Third Meeting of the Sub-Committee on Monitoring, Evaluation and Finance, to be held on 10-11 November 1997, will be circulated during the Twenty-third Meeting of the Executive Committee as UNEP/OzL.Pro/ExCom/23/--/Add.1.

Introduction

1. The Sub-Committee on Monitoring, Evaluation and Finance of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol met at Montreal on 18 and 19 September 1997. The meeting was opened by the Chairman of the Sub-Committee, Mr. James Shevlin (Australia), who welcomed the participants. The meeting was attended by the members of the Sub-Committee, the representatives of Antigua and Barbuda, Australia, Belgium, Costa Rica, the United Kingdom and Zimbabwe. A consultant, Dr. G. Anderson of Universalis, also attended as an observer to make a presentation. The meeting was observed by the representatives of the Implementing Agencies and the Ozone Secretariat.

AGENDA ITEM 1: ADOPTION OF THE AGENDA

2. The Sub-Committee adopted the following agenda
 1. Adoption of the agenda
 2. Terms of reference of the Sub-Committee
 3. Draft evaluation guide
 4. Timing of implementing the evaluations in the work plan
 5. Job description for the monitoring and evaluation post
 6. Project implementation delays
 7. Evaluation of 1996 business plans of the Implementing Agencies
 8. Other matters
 9. Adoption of the report
 10. Closure of the meeting

AGENDA ITEM 2: TERMS OF REFERENCE OF THE SUB-COMMITTEE

3. The Sub-Committee recalled its decision at its previous meeting to review its terms of reference relating to the participation of observers. Paragraph 4 of the terms of reference provided that the Sub-Committee was a closed Committee, that Executive Committee members

might be admitted as observers with the express agreement of the Chairman, and that, with the concurrence of all members of the Sub-Committee, the Chairman could invite the observers to speak. Paragraph 3 said that Implementing Agencies might be invited to participate. Recalling that at the previous meeting there had been some problems with respect to non-members engaging in debate, the Sub-Committee agreed to make clear that, in accordance with its terms of reference, and considering that the participation of observers should serve to facilitate the work of the meeting, observers could participate in the meeting by responding to direct questions and providing reports and clarifications, but should not offer opinions on issues being debated, unless specifically requested to do so.

AGENDA ITEM 3: DRAFT EVALUATION GUIDE

4. The Chief Officer of the Multilateral Fund introduced document UNEP/OzL.Pro/ExCom/SCMEF/2/2 containing a draft outline of the Evaluation Guide called for under Output 1 of the work plan of the Multilateral Fund adopted by the Executive Committee in its decision 22/19. In addition to the outline, the document contained a Glossary of Terms and a complete draft of the section on “Conducting Evaluations under the Multilateral

The Guide had been prepared by a consultant whose terms of reference had been drawn up by the Secretariat, which had also invited the Implementing Agencies to a workshop to discuss an initial draft version of the document.

5. The consultant, Dr. G. Anderson, presented the draft outline of the Guide. He suggested that the process of evaluation would start with the Sub-Committee recommending the work programme and plan. Work would then be delegated to the Evaluation Officer in the Fund Secretariat who would manage the evaluation using the services of independent consultants and would subsequently report back to the Sub-Committee after analysis and review of each evaluation. Prior to submission to the Sub-Committee, the evaluation reports would be checked for technical accuracy by the Secretariat.

6. In the ensuing general discussion, the Sub-Committee noted that the Guide was an evolving document that did not require formal adoption. The Sub-Committee agreed that there should be reference in the introductory paragraphs to the prior approval of the financial aspects by the Executive Committee when it adopted the work plan. It was also noted, with reference to the section on the focus of an evaluation, that linkages and feedback between the various categories of evaluation would be useful. The Sub-Committee also noted a concern that, as the Article 5 countries were attempting to meet the freeze which would become operative in 21 months, the evaluation schedule should be flexible to allow for quick evaluation when appropriate.

7. The Sub-Committee agreed that the evaluation process should look not only at the implementation of approved projects, but also at aspects related to the development of project proposals. The Sub-Committee noted that the evaluation process should not include review of

the performance of the financial mechanism itself (including the Executive Committee and the Secretariat) as, to ensure independence, such reviews should be undertaken externally and at the request of a Meeting of the Parties. However, the Sub-Committee did agree that the evaluations could review any impact that the Executive Committee's decisions may have had on the implementation of approved projects.

8. The Sub-Committee discussed how the Evaluation Officer would obtain guidance on significant questions of policy or intent which might arise between sessions of the Sub-Committee. It was first suggested that these might be referred to the Chairman and a member of the Sub-Committee from the other group of Parties than that of the Chairman. However it was finally agreed that, in view of the small size of the Sub-Committee, and the likelihood that significant policy questions would not occur frequently, all six members should be consulted. Consultation would be by fax and/or e-mail on a no-objection basis and any comments from Sub-Committee members would be required within one week in order not to delay the evaluation process unnecessarily.

9. Following a discussion on how to ensure that the Evaluation Officer could work independently, the Sub-Committee agreed that the only time when independence was potentially problematical was when the evaluation covered aspects related to the work of the Secretariat itself. Nevertheless, the Sub-Committee recognized that the Secretariat was the logical place for the Evaluation Officer to be located. It was agreed that the Evaluation Officer's reports would be addressed directly to the Sub-Committee, through the Secretariat for purposes of checking their technical accuracy and through the Chief Officer with an opportunity for him to attach his comments to the evaluation documents.

10. Following a discussion of the role and contribution of the Evaluation Officer, the Sub-Committee agreed that he/she should be more than a hirer and coordinator of outside consultants: but instead would be expected to add value in guiding the evaluation process through his/her expertise and experience in this field and in providing advice to the Sub-Committee on possible improvements to the process. It was agreed that those requirements would be reflected in the Evaluation Officer's job description.

11. The Sub-Committee addressed various requests for clarification to the consultant, and made some suggestions for alternative wording in various parts of the document. The Sub-Committee also agreed that the document should be regarded as dynamic, to be updated and improved on the basis of lessons learned during evaluations and comments from members and the Implementing Agencies. The Sub-Committee agreed to endorse document UNEP/OzL.Pro/ExCom/SCMEF/2/2, subject to the various modifications agreed during the meeting, for transmission to the Executive Committee for its information. (The modified document is included as Annex I to this report.)

AGENDA ITEM 4: TIMING OF IMPLEMENTING THE EVALUATIONS IN THE WORK PLAN

12. The Sub-Committee considered when the evaluation exercise should start, emphasizing the importance they attached to its proceeding with speed. Noting that the United Nations procedure to recruit the monitoring and evaluation officer would take some time, it agreed that in the interim the Secretariat should engage an outside consultant to begin the work. The Sub-Committee agreed that the terms of reference of the consultant should be approved by the Sub-Committee by correspondence. Noting that, in accordance with United Nations practice, the Secretariat would be required to invite bids for the task, the Sub-Committee expressed the hope that the selected contractor would commence work by January 1998. The Sub-Committee agreed that the consultant could start by undertaking a desk review of information available. The Sub-Committee noted that no completion reports were yet available but recognized that there was already plenty of information in the system on which to base initial work. The Sub-Committee agreed that the target date for receipt of the first evaluation report should be the second meeting of 1998. The Sub-Committee called on the Secretariat and the Implementing Agencies to work as quickly as possible to agree on the format of the completion reports so that they could be reviewed at the Sub-Committee's next meeting. The Sub-Committee also requested that, when formats have been agreed, the Implementing Agencies give initial priority to preparing project completion reports for refrigeration and foam sector projects, as these are the first sectors to be evaluated.

AGENDA ITEM 5: JOB DESCRIPTION FOR THE MONITORING AND EVALUATION POST

13. The Sub-Committee reviewed the draft job description and qualifications for the monitoring and evaluation post established under Decision 22/19, contained in UNEP/OzL.Pro/ExCom/SCMEF/2/3. The Sub-Committee approved the job description subject to several amendments, namely that the officer should work with bilateral and other agencies, as well as the Implementing Agencies, to explore ways to ensure effective monitoring; that the task of reporting to the Sub-Committee and/or the Executive Committee on the process of monitoring and evaluation being used, and of suggesting changes as necessary, should be added; that the officer should verify that appropriate standards are being applied to all facets of the development of projects in addition to the implementation of approved projects and that the officer should report not only on the performance of projects but also on lessons learned. The Sub-Committee also approved the qualifications required for the job with the additional requirements that the incumbent should have experience in monitoring as well as evaluation and research; should have fluency in English and preferably also in other UN languages; and should possess good administrative skills.

14. The Sub-Committee agreed that the job description should be circulated to other Executive Committee members for comments and that the Secretariat should initiate its

submission to the United Nations classification office through UNEP for finalization. The revised job description is included as Annex II to this report.

AGENDA ITEM 6: PROJECT IMPLEMENTATION DELAYS

15. The meeting considered UNEP/OzL.Pro/ExCom/SCMEF/2/4, which had been based on a Note from the Chairman that had been prepared for the previous meeting in Nairobi. Introducing the document, the Chairman noted that the causes of delay listed in the document had been identified by the Implementing Agencies and asked the meeting for its views on ways in which delays could be eliminated or at least reduced. Noting that the issue of “obtaining counterpart funding” had already been covered in its previous meeting, the Sub-Committee decided to concentrate on the other reasons listed, and to add a new one, “Customs clearance.” Turning to “beneficiary decides to change project specification,” the Sub-Committee asked under what circumstances did this happen, and whether a change in the specifications during the post-approval stage indicated that the beneficiary had not had all of the information which it needed to make a firm decision at the time the project was being developed. The representatives of the Implementing Agencies replied that, on the contrary, it was during the post-approval phase that the beneficiaries tended to turn their full attention to the precise details of the machinery which they should specify. It was also often the case that once a project for conversion to non-ODS technology had been approved, the beneficiaries realized that they could use that opportunity to upgrade also to more advanced or higher-performing machinery. That, in turn, involved a delay while they sought the finance for the additional cost, which the Multilateral Fund was not allowed to provide to them.

16. The Sub-Committee suggested that, in cases where it seemed probable that, following approval, the beneficiary would upgrade the specifications, and that the upgraded machinery would not be eligible for Multilateral Fund funding, then the beneficiary should be required to demonstrate that it had access to finance for the higher cost of that upgraded machinery, before project submission, just as beneficiaries had to demonstrate that any necessary counterpart funding was available before their project could be considered.

17. One option considered by the Sub-Committee was that a time limit should be set within which the project should be implemented with the approved technology, or within which the beneficiary had to decide on alternative technology, which it would pay for itself. It was, however, suggested that it was not appropriate to put the onus on the beneficiaries, since the Implementing Agencies and the consultants were in the best position to advise the recipient enterprises. The Sub-Committee ultimately took the view that this was not an issue on which it could take a specific decision and therefore agreed to appeal to the Implementing Agencies to provide the beneficiaries with the best available information to ensure as far as possible that such changes to the project specifications did not occur in the future.

18. The Sub-Committee then turned to consideration of delays caused by enterprises' wishes to hold up implementation of their projects until their competitors' projects were approved or government regulations were enacted. One Implementing Agency also cited instances where the beneficiary would not proceed to conversion because it feared that the government might tax the new equipment, enabling competitors with old equipment to sell their products at lower prices.

19. One member suggested that the Executive Committee had created the conditions which had caused such situations. He considered that the cost per kilogram cost-effectiveness formula was too demanding and therefore excluded assistance to a number of less efficient companies.

20. The Sub-Committee asked the Implementing Agencies to draw its attention to such difficulties at an early stage, bearing in mind that it and they were all engaged in a co-operative venture to ensure the success of projects. It proposed that the Implementing Agencies should, at the time a project was prepared with an enterprise, seek a commitment that the enterprise would use the new equipment without waiting for conversion by competitors. If the enterprise was not prepared to do so, then it should be made clear that only a sectoral or umbrella approach, covering all the enterprises, would be acceptable. If necessary, the Implementing Agency could then alert the Executive Committee, which could decide whether the project should be cancelled or the relevant government be requested to put pressure on the beneficiary.

21. In cases where Government regulatory obstructions prevented projects proceeding, the Sub-Committee agreed that no additional project preparation funding should be made available for those countries until the regulatory obstructions had been removed.

22. The Sub-Committee then turned to the question of bidding processes resulting in higher costs than first anticipated, and representatives of the Implementing Agencies explained, at the Chairman's request, the problems they faced in that regard. Increasingly often the Implementing Agencies found that, when certain equipment was put out to tender, even the lowest bid was higher than anticipated. The problem was not limited to any one sector but had occurred particularly in the refrigeration, foam and aerosol sectors.

23. Several members of the Sub-Committee suggested that the situation pointed to the inadequacy of the current cost-effectiveness thresholds, which needed to be reexamined for all sectors. These members suggested that the cost-per-kilogram assessment had never been revised, and was now completely outdated and out of touch with market realities. The Chief Officer pointed out that the Secretariat and Implementing Agencies were at present preparing a database for major equipment items which, upon completion, should go far towards overcoming the problem. The figures in the database, which would have been agreed between the Secretariat and Implementing Agencies for particular pieces of equipment, would be realistic ones and the Implementing Agencies should have no difficulty in finding bidders at the agreed prices.

24. While it was felt that having real costs taken into account would help to speed the approval process, the view was repeated by some members that the Executive Committee should

be encouraged to revise the cost-effectiveness thresholds as quickly as possible, and to set up an appropriate procedure to improve the situation for projects already approved, since more and more small and medium-sized enterprises with limited financial capability were facing the problem of trying to absorb the difference between the lowest bid tendered and the maximum amount approved by the Executive Committee.

25. The Sub-Committee urged the Secretariat and Implementing Agencies to complete the database for major equipment items as a matter of urgency. It also asked Implementing Agencies to provide the Secretariat with details of specific instances where the bidding process had resulted in higher costs, in order to permit the Executive Committee at a later date to review the issue of the cost-effectiveness thresholds.

AGENDA ITEM 7: EVALUATION OF THE 1996 BUSINESS PLANS OF THE IMPLEMENTING AGENCIES

26. The Sub-Committee examined this subject on the basis of document UNEP/OzL.Pro/ExCom/SCMEF/2/5, which reproduced a document (UNEP/OzL.Pro/ExCom/22/6) that had been submitted to the Twenty-second Executive Committee Meeting but had not been considered at the Sub-Committee's previous meeting due to lack of time. The evaluation, which was the first of the kind to be prepared, had been undertaken based on results as indicated in the agencies' progress and financial reports and with a focus on the targets in the agencies' business plans, including: Executive Committee approvals for investment and non-investment activities (e.g., project preparation, UNEP work programme, etc.), ODP phased out from past projects, disbursements of funds to beneficiaries, and speed of delivery of the programme.

27. The meeting called for comments from the Implementing Agencies and the Secretariat on what were disappointing results in terms of ODS approvals (even accounting for the absence of halon and production sector guidelines), ODS phase-out, rate of disbursement and speed of delivery. The Implementing Agencies said that some of the information in the tables gave a misleading picture, in some cases arising out of inconsistencies in reporting. In response to a suggestion by one member, a representative of one Implementing Agency said that in most cases actual phase-out for a given project would be the same as that forecast.

28. The Sub-Committee agreed that the evaluation of the business plans of the Implementing Agencies should be carried out on an annual basis, with the next report covering the 1997 business plans being submitted to the first meeting of the Executive Committee in 1998. The Sub-Committee noted that, in future, the performance of agencies against the targets in their business plans would be taken into account considering the percentage allocations to the implementing agencies and sectoral allocations of funds. The Sub-Committee agreed that future reports should include a number of additional elements suggested in the course of the discussion, such as:

- (a) comparative figures showing the cost-effectiveness of the Implementing Agencies over the previous years should be provided, it being understood that the comparisons of results must be prepared on a sectoral basis (e.g., comparing the performance of all of the agencies in relation to their projects in a given sector);
- (b) summaries should be provided of the reasons why the targets of the Implementing Agencies had not been met, especially in cases where there appeared to be a clear trend towards poor performance vis-à-vis targets;
- (c) a comprehensive picture of both the targets and performance of the agencies per sector should be presented in the form of a table. The table should be arranged by sector on one axis and by indicator on the other, and should be laid out so that the performance of the various Implementing Agencies could be placed side-by-side. The indicators suggested were: Number of projects; Approved cost; ODP to be phased out; Cost-effectiveness approved; Number of completed projects; Average completion time; Funds expended; ODP phased out; and Actual cost-effectiveness of completed projects;
- (d) in future reports it would be useful to have more explanatory text on cases of misleading information arising out of reporting inconsistencies;
- (e) future reports should also contain information on the performance of bilateral agencies (although the Sub-Committee recognized that comparisons might not be easy, in that the bilateral agencies were not required to submit business plans);
- (f) future reports should contain more information on training projects: number of technicians trained, in what sectors, and so on.

29. The meeting also agreed that identifiable errors of fact should be corrected in document UNEP/OzL.Pro/ExCom/SCMEF/2/5 before its consideration by the Executive Committee, but that otherwise it should recognize that the document was the first attempt to evaluate the Implementing Agencies' business plans, that shortcomings were inevitable in a first attempt, and that it should call on the Secretariat and the Implementing Agencies to redouble their efforts to achieve consistency and reliability in the way in which the data were reported.

30. The Sub-Committee noted that one of its major tasks at its next meeting would be to review the draft 1998 business plans of the Implementing Agencies.

AGENDA ITEM 8: OTHER MATTERS

31. There were no other matters for discussion.

AGENDA ITEM 9: ADOPTION OF THE REPORT

32. Owing to the pressure of time it was agreed that the report would be finalized by the Secretariat and circulated to the members of the Sub-Committee for their comments.

AGENDA ITEM 10: CLOSURE OF THE MEETING

33. The Chairman declared the meeting closed at 4:00 p.m. on Friday, 19 September 1997.

Annex I

EVALUATION GUIDE

CONTENTS

I. Introduction

- A. Purpose of Evaluation, Users of this Guide
- B. Accountability for Monitoring and Evaluation
- C. Glossary of Terms

II. Standardized Components of Monitoring and Evaluation in Project Proposals

- A. Introduction to Evaluation Approach at Proposal Stage
- B. Monitoring and Project Preparation
- C. Frameworks for Project Evaluation
- D. Project Evaluability (Baseline Data) - Monitoring and Evaluation Indicators
- E. Content of Evaluation Section in Project Proposals: Standard Templates
- F. Sample Evaluation Section in Investment Project Proposals
- G. Sample Evaluation Section in Non-Investment Project Proposals

III. Evaluation and Monitoring of Project Implementation

- A. Introduction to Monitoring of the Implementation of Investment Projects
- B. Indicators of Progress in the Implementation of Investment Projects (Definition; Rationale; Optimum Number)
- C. List of Key Indicators for Investment Projects
- D. Implementation Performance and Decision-Making (When are decisions required? Who needs to know/decide?)
- E. Monitoring of Non-Investment Projects
- F. Relationship of Monitoring to Evaluation
- G. Mid-Term Evaluation

IV. Project Completion Reporting

- A. Rationale for Project Completion Reporting
- B. Content of Investment Project Completion Report
- C. Standard Templates
- D. Sample of Investment Project Completion Report
- E. Content of Non-Investment Project Completion Report

F. Sample of Non-Investment Project Completion Report

V. Conducting Evaluations under the Multilateral Fund

A. Background and Rationale for Evaluation	1
B. Timing, Scope and Focus of Multilateral Fund Evaluations	2
1. Timing	2
2. Scope	2
3. Focus	3
C. Evaluation Management and Procedures	5
1. Initiating a Specific Evaluation	5
2. Evaluation Work Plan	6
3. Roles and Responsibilities	6
D. Procedures for Implementing Work Plans	8
1. Selecting Projects for Evaluation	8
2. Evaluation Framework Matrix	9
3. Activity/Effort Analysis	9
4. Data Collection Plan	10
5. Budget	10
6. Collecting and Analyzing Data (See Later Section for General Aspects)	10
7. Reporting	11
E. Data Collection And Analysis	14
1. Types of Data	14
2. Data Sources	14
3. Methods of Data Collection	15
4. Instrumentation	15
5. Indicators	16

Appendices

Appendix I: Sectoral Evaluation Matrix

Appendix II: Non-Investment Project Evaluation Matrix – Training Projects

Appendix III: Non-Investment Project Evaluation Matrix – Institutional Strengthening Projects

Glossary of Terms

For the purposes of this Guide, the following definitions will be assumed:

Activity	Action taken or work performed within a project in order to transform inputs into outputs.
Assumption	External factors, influences, situations or conditions which are necessary for project success, worded in terms of positive conditions. Assumptions are external factors which are quite likely but not certain to occur and which are important for the success of the project, but which are largely or completely beyond the control of project management.
Baseline Benchmarks	Data that describe the situation before any project intervention.
Effectiveness	A measure of the extent to which a project is successful in achieving its planned objectives or results.
Efficiency	A measure of the extent to which inputs were supplied and managed and activities organized in the most appropriate manner at the least cost to produce the required outputs.
Evaluability	The extent to which a project has been defined in such a way as to enable evaluation later on.
Ex-post evaluation	An evaluation conducted after project completion.
Findings vs. Conclusions	<p>A finding is a factual statement (e.g. 405 tonnes of ODS were phased out).</p> <p>A conclusion is a synthesis of findings incorporating the evaluator's analysis (e.g. The project was not efficient since it cost twice as much to phase out 3 tonnes of ODS compared to the costs in other similar projects.).</p>

Impact/Effect	An expression of the ultimate planned and unplanned changes brought about as a result of a project; the planned and unplanned consequences of the project. In projects that follow logical frameworks, effects are generally related to the purpose, impacts to the goal.
Indicator	An explicit statistic or benchmark that defines how performance is to be measured.
Input	Resources such as human resources, materials, services, etc., which are required for achieving the stated results by producing the intended outputs through relevant activities.
Objective	Expresses the particular effect which the project is expected to achieve if completed successfully and on time.
Output	The physical products, institutional and operational changes or improved skills and knowledge to be achieved by the project as a result of good management of the inputs and activities.
Project	A planned undertaking designed to achieve certain specific objectives/results within a given budget and specified time period through various activities.
Stakeholders	Interested and committed parties; a group of people with a vested interest in the phenomena under study.

V. Conducting Evaluations under the Multilateral Fund

A. Background and Rationale for Evaluation

In the context of the Multilateral Fund, an evaluation may be defined as *“an assessment, as systematic and independent as possible, of projects or clusters of projects, their design, implementation and results. The aim of evaluation is to assess the continued relevance of Fund support to various types of projects in various regions, the efficiency of project implementation, and the effectiveness of such projects in achieving the Fund’s objectives, as well as any lessons that can help guide future policy and practice.”*

The purpose of Multilateral Fund evaluations is to provide information on:

- overall Fund performance in reducing ODS according to established targets
- the effectiveness of projects in particular sectors, and of non-investment projects
- the strengths and limitations of various types of projects
- the major causes of observed failures to reach targets
- possible actions that might improve performance of the Fund.

The Executive Committee and all other stakeholders, such as Article 5 Countries and implementing agencies, are intended to benefit from evaluation information and lessons learned that will help them improve their efforts in achieving the goals of the Montreal Protocol. The Executive Committee acknowledges evaluation priorities through a budget for evaluations approved annually.

The Executive Committee considered the Multilateral Fund’s work programme and work plan for monitoring and evaluation at its Twenty-second Meeting and adopted deliverables 1, 2, 4, and 5 in the work programme and outputs 1 through 4 in the work plan.

Output 1 mandates the preparation of an Evaluation Guide covering both investment and non-investment projects. This guide incorporates and builds on the guidelines and procedures already developed by the implementing agencies, including, inter alia:

- project baseline data
- data from Progress and Completion reports
- evaluation data collected by the implementing agencies
- established guidelines for evaluation data collection.

B. Timing, Scope and Focus of Multilateral Fund Evaluations

Evaluations can be classified according to their timing, their scope and their focus.

1. Timing

Evaluations may be undertaken during project implementation or after projects have been completed as characterized below.

EVALUATION TIMING	DESCRIPTION	RATIONALE
Mid-term Evaluation	An evaluation of a specific project, done at any time during project implementation.	Projects that may require mid-term evaluations include those that are very large, that have high risks associated with their design, that are using novel technology, or that are experiencing problems, such as implementation delays.
Ex-Post Evaluation	Evaluation of one or more projects that takes place at some point after operational project completion.	Such evaluations are intended to confirm that projects performed as reported, and to facilitate future decision-making by learning about strengths, weaknesses and unplanned effects of projects of various types.

2. Scope

The scope of Fund evaluations will respond to particular needs which will be identified by the Executive Committee's Evaluation Work Programme. Evaluations may examine a collection of projects in a sector or region, or may focus on a single project.

TYPE OF EVALUATION	SCOPE
Evaluation of a Single Investment Project	Such an evaluation would focus on a single project, but would examine the context in which it is situated. The project may be in the process of being implemented, or it may be completed.
Evaluation of Projects within a Sector (sectoral or thematic)	Such evaluations would normally deal with a group of projects within the sector. They could include both investment and non-investment projects, and both completed and not completed projects. Specific evaluation studies may relate to a designated geographic area or theme, or be limited in other ways.
Evaluation of Non-Investment Projects	Such evaluations would normally deal with a group of completed projects and may be designed to focus on one or more of a combination of particular issues, sectors, implementing agencies, or geographic areas.

3. Focus

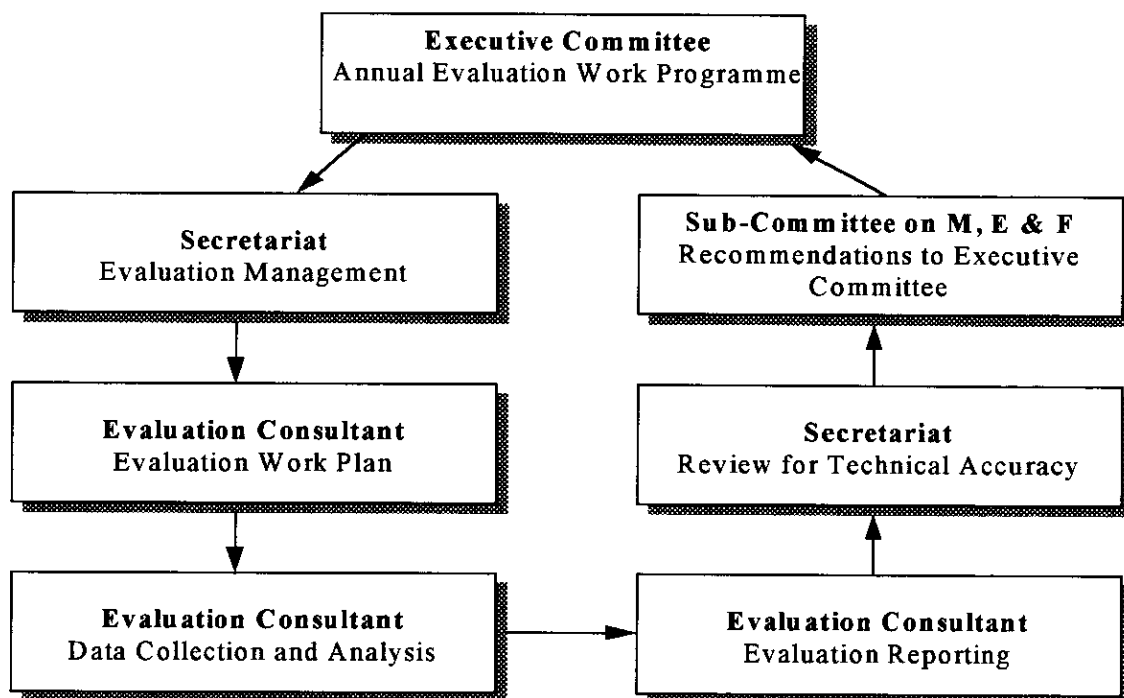
The focus of an evaluation refers to the types of issues it is to address. These are described by the major questions an evaluation is expected to answer. The Executive Committee has considered the following as illustrative of key potential questions for sectoral and thematic evaluations (training and institutional strengthening) supported by the Fund. The following tables provide possible evaluations questions for sectoral, training, and institutional strengthening projects. (Appendices I-III provide additional examples.)

SECTORAL EVALUATIONS	TRAINING	INSTITUTIONAL STRENGTHENING
Effectiveness and Effects	Effectiveness and Effects	Effectiveness and Effects
In general, how effective have the various types of investment projects been in achieving ODP targets and reducing ODS within the sector?	To what extent is training supported by the Fund effective?	To what extent is institutional strengthening supported by the Fund effective?
Was the old technology successfully discontinued?	Is training impacting the enabling environment in ways that support achievement of the Fund's objectives?	Is institutional strengthening impacting the enabling environment in other ways that support achievement of the Fund's objectives?
What have been the effects of the new technology on operating costs? On market demand? On safety and environment?	Is technical training leading to more effective technical conversions?	
How sustainable are the project results?		
Efficiency	Efficiency	Efficiency
What were the major implementation challenges and how were they overcome? How efficient are the various approaches to project implementation (e.g.: financial intermediary; local executing agency; ozone unit)?	Are training activities planned and implemented in the most cost effective way? How could cost effectiveness be improved?	Are institutional strengthening activities planned and implemented in the most cost effective way? How could cost effectiveness be improved?
Which aspects of investment projects in this sector (equipment, technical assistance, training) worked very well?	Do implementing agencies include suitable monitoring and evaluation of training activities that enable such activities to benefit from participant feedback?	Have expenditures been allocated appropriately among the allowable categories?
How effective was transfer of technology in the various projects and regions?		Have regional network activities been implemented in a cost effective way?

SECTORAL EVALUATIONS	TRAINING	INSTITUTIONAL STRENGTHENING
Project Design	Project Design	Project Design
What were the critical factors in the enabling environment that have affected project success? How have they contributed to or hindered project efficiency and effectiveness?	Are implementing agencies addressing the most pressing training needs?	Was the chosen mechanism appropriate for the institutional strengthening tasks?
Did the design of various types of projects change prior to implementation?	To what extent are training activities suitably targeted to reach people and institutions with a need for such support?	Did the original provisions reflect the needs
Was the level of funding provided by the Fund understood by the enterprise and appropriate to the need and incremental cost requirements?	Are training programmes designed in conformity with contemporary international standards for training?	Did original project documents contain adequate information for subsequent evaluation?
Did original project documents contain adequate information for subsequent evaluation?	Did original project documents contain adequate information for subsequent evaluation?	
Lessons Learned	Lessons Learned	Lessons Learned
What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?	What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?	What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?
What lessons have been learned about monitoring and evaluation under the Fund?	What lessons have been learned about monitoring and evaluation under the Fund?	What lessons have been learned about monitoring and evaluation under the Fund?

C. Evaluation Management and Procedures

The general process for approving and conducting evaluations under the Fund is depicted below.



The Sub-Committee on Monitoring, Evaluation and Finance recommends the annual evaluation work programme and work plan of the Multilateral Fund for approval by the Executive Committee. The approved work programme and plan of the Fund on monitoring and evaluation is the normal basis on which specific evaluations are carried out; however, the Executive Committee may decide to conduct special evaluations at any time. The annual work programme provides, in the form of proposed outputs, a summary description of specific evaluations to be undertaken. The management of these evaluations is the responsibility of the Secretariat as described below.

1. Initiating a Specific Evaluation

The Evaluation Officer within the Secretariat has overall responsibility for managing evaluations approved by the Executive Committee. For each evaluation, it is the responsibility of the Evaluation Officer to prepare terms of reference (TOR) leading to the contracting of external consultants. The content of the TOR is as follows:

TERMS OF REFERENCE (TOR)

- | | |
|-------------------------------------|---------------------------------------|
| 1. Background | 5. Estimated Level of Effort |
| 2. Reasons for Evaluation | 6. Description of Required Evaluators |
| 3. Scope and Focus | 7. Schedule for the Evaluation |
| 4. Specific Evaluation Requirements | 8. Indicative Costs |

Using established contracting procedures, the Secretariat will contract a firm or consultant to conduct the evaluation. The Secretariat typically issues a letter of invitation to qualified consulting firms to submit the qualifications of personnel proposed for the assignment and professional fees for the assignment. The TOR are normally included with this invitation to bid.

2. Evaluation Work Plan

Once evaluators have been contracted, the first deliverable in the contract is normally a work plan for the assignment, with the details worked out in consultation with the Secretariat. The suggested outline for such an evaluation work plan is shown below.

EVALUATION WORK PLAN OUTLINE	
1. Overview	5. Activity/Effort Analysis
2. Evaluation Team	6. Data Collection Plan
3. Project Selection	7. Budget
4. Evaluation Matrix	

The evaluation work plan is an important control document as it supplements the contract and enables the Evaluation Officer to exercise control over the quality of the evaluation. The evaluation work plan will conform to the general requirements of this guide and will continue to evolve in matters of operational detail.

3. Roles and Responsibilities

a) Evaluation Team

In order to benefit from a range of perspectives, and to ensure a balance of independent views and a mix of expertise, evaluations are normally conducted by teams of independent experts who are not directly linked to the preparation and/or implementation of projects and activities approved under the Multilateral Fund. These teams are contracted under the normal procedures for contracting of consultants. The specific composition of each evaluation team will vary according to the evaluation needs and cost effectiveness considerations. Evaluation teams for a simple project evaluation may include as few as one or two external consultants.

Each evaluation conducted by a team will involve an Evaluation Team Leader with expertise related to the work of the Multilateral Fund, and/or ODS technology, and/or evaluation methodology, experienced in leading evaluation teams in international contexts.

Evaluation teams will be contracted by the Fund Secretariat. The Team Leader's role is to:

- Lead the evaluation team in all aspects of the work, so as to produce all required outputs according to agreed standards and time frames
- Be responsible for coordinating the implementation of the required evaluations
- Liaise with the Evaluation Officer within the Secretariat
- Participate with the team in data collection and analysis
- Be responsible for drafting the evaluation report
- Submit reports to the Secretariat that respond to the TOR.

b) The Multilateral Fund Secretariat

The Fund Secretariat ensures that evaluations relate to the evaluation needs of the Fund, the decisions of the Executive Committee and the requirements of the Executive Committee's work programme on monitoring and evaluation. The role of the Secretariat is to:

- Manage the evaluation process
- Provide an ongoing link between the evaluation and the Secretariat
- Approve the evaluation work plan developed by the Evaluation Team Leader
- Facilitate communication between the evaluation team and implementing agencies, participating Article 5 countries and bilateral agencies
- Provide technical expertise and participate in field missions as required
- Provide data from the Secretariat's data bases and archives
- Review final evaluation report to ensure it meets the requirements of the TOR and has adequate technical quality.

c) Implementing Agencies

Implementing agencies are expected to support the evaluation process by:

- Being responsive to the requirements of evaluation team members
- Meeting the evaluators at Headquarters and/or in field offices as required

- Facilitating meetings with financial intermediaries and enterprises as appropriate
- Advising the evaluation team on suitable approaches for data collection if requested
- Providing relevant data on projects, enterprises and their context
- Commenting on the accuracy of data in report drafts, if requested
- Contributing to the formulation of lessons learned, if and when feasible

d) Article 5 Countries

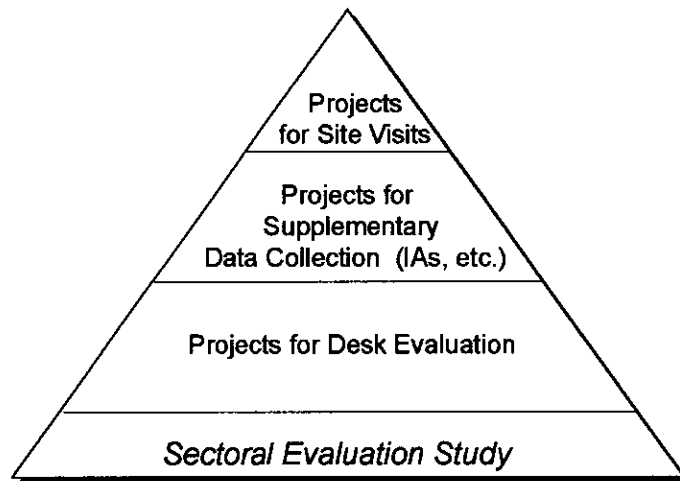
Involvement of Article 5 countries is key to improving the performance of the Fund in reduction of ODS. Country representatives such as Ozone Officers are important contributors to the work of evaluation teams. The role of Article 5 country representatives is to:

- Meet with the evaluators during field missions
- Advise the evaluation team on suitable approaches for data collection if requested
- Provide relevant data and interpretation on projects implemented within the country
- Facilitate the collection of data within government departments and on site visits to enterprises
- Advise on local product markets
- Comment on the accuracy of data in report drafts, if requested
- Contribute to the formulation of lessons learned, if and when feasible

D. Procedures for Implementing Work Plans

1. Selecting Projects for Evaluation

Sometimes the selection of specific projects to be evaluated will be specified in the TOR. In other situations, such as with sectoral evaluations, all projects that have certain characteristics will be reviewed, but at different levels of detail as shown below:



The Evaluation Team Leader, in consultation with the Evaluation Officer, and within the context of the approved work programme, will make the technical decision about the particular projects which will be included in an evaluation, and at what level of examination. The selection of projects for site visits will depend on a variety of factors including the needs for coverage, cost efficiency, and the scale and type of projects (e.g.: demonstration; completed or ongoing).

2. Evaluation Framework Matrix

The framework for data collection and analysis is recorded in an evaluation matrix. This matrix outlines the key questions and sub-questions to be addressed, and shows the indicators and sources of data to be included in the data analysis relative to each question.

Three generic evaluation matrices (including possible evaluation questions, indicators and sources of data) are presented in Appendices I-III): Appendix I: a matrix for a sectoral evaluation, Appendix II: a matrix for an evaluation of training projects, and Appendix III: a matrix for an evaluation of institutional strengthening projects.

Using the generic evaluation matrix as a guide, the Team will refine the evaluation questions and develop the specific indicators and data sources required to address the specific TOR.

3. Activity/Effort Analysis

The work plan will include a table of the activities to be undertaken, who will undertake them, and the amount of time planned for each. This table will link to the personnel costs in the budget. The Team will divide responsibilities so that all aspects of data collection and analysis are efficient. In practice this may involve different team members conducting different site and country visits.

4. Data Collection Plan

The Evaluation Team Leader will develop a detailed data collection plan; assign specific roles and responsibilities; schedule specific activities such as site visits; and develop the necessary data collection methods and instruments.

In developing the detailed data collection plan, the Team may review available implementing agency reports and project completion reports. The Evaluation Team Leader may make a preliminary request for data from implementing agencies and from Ozone Officers.

5. Budget

The work plan will include a budget for the costs of personnel, travel, and other expenses. This budget is indicative of the emphasis of various components of the evaluation; however, contracting may be on a fixed fee basis with payments linked to specific deliverables.

6. Collecting and Analyzing Data (See Later Section for General Aspects)

a) Initial Analysis

The first level of analysis will be through the existing data found in implementing agency reports, of which the Project Completion Reports are particularly important. The initial data analysis will help the team to understand what data are not available and need to be collected elsewhere, and will help define issues that require follow-up.

b) Country Field Missions

Field missions are an important supplement to existing reported data. They provide an opportunity to validate available data, to supplement it, and to collect data on developments following operational completion of a project.

Once the dates of field missions are known, the Secretariat informs the concerned Article 5 countries and implementing agencies of the start of the evaluation field mission. The nature of their involvement and expected support will be indicated.

Country missions may begin with in-country briefings with the Ozone Officer, to review and obtain input and assistance on the data collection plan.

The purpose of site visits will be to gain additional understanding by confirming and/or complementing information available from existing data sources, and situating the findings in the context. During the mission, data will be collected according to the data collection plan (through interviews and visits with government representatives, implementing

agencies' field offices, enterprises, and bilateral donors as applicable) with modifications made as needed and as agreed by the Team.

c) Non-Investment Evaluations

As in other types of evaluations, studies of non-investment projects will involve analysis of extensive existing data (e.g. internal evaluations of training workshops, country programmes and reports). These tend to be self-reported data that are collected before or at project completion. In addition, evaluations emphasizing effects and impact will require follow-up or tracer study methods such as questionnaire surveys, telephone interviews, electronic communication, and, when warranted, visits to the field.

7. Reporting

The Team Leader bears overall responsibility for the final analysis and reporting. Following accepted practice for sound evaluation, the Team Leader will attempt to share drafts of relevant sections of reports with involved implementing agencies and Article 5 countries to give them the opportunity to correct factual errors in the drafts. While every attempt will be made to ensure factual accuracy, the substantive conclusions of the evaluation are the responsibility of the evaluators.

The Evaluation Team Leader will submit the report to the Evaluation Officer. The Evaluation Officer ensures conformity to the TOR, technical accuracy and quality, and may require revisions before submitting the report to the Sub-Committee.

a) Sectoral Evaluations

The outline of each evaluation report will be tailored to the specific TOR and other requirements. A suggested outline is provided below to indicate the type of reporting desired. The emphasis is on clear reports that state what was found, the resulting conclusions and recommendations directed at specific stakeholders. Every report should contain a concise executive summary of 2-5 pages.

SECTORAL EVALUATION REPORT OUTLINE

Executive Summary

1. Introduction

- Background
- Description of projects
 - Investment
 - Non-investment
- Evaluation Methodology
- Organization of Report

2. Design and Rationale

- Assumptions
- Sector Context
- Context - enabling environment
- Design
 - Changes
 - Evaluability
 - Alternative Designs
- Cost
 - Planned/actual
 - Cost sharing
 - Sources of extra cost

3. Effectiveness and Effects

- Achievement of results
 - ODS phaseout
 - Institutional strengthening at operational level
- Differences by sector, region
- Equipment rendered unusable
- Effects on enterprises
- Effects on safety/environment

4. Implementation Efficiency

- Conversion of inputs to outputs
 - Differences by component
 - Differences by type of project, region, agency
- Project management

5. Sustainability

6. Conclusions

7. Recommendations and Follow-up

8. Lessons Learned

Annex 1 - TOR

Annex 2 - Evaluation Matrix

Annex 3 - Organizations visited

Annex 4 - Project List

b) Reporting on Evaluations of Non-Investment Projects

The outlines of the evaluation reports for non-investment projects will follow the key questions of the evaluation framework matrix. A sample outline for a training evaluation and for an institutional strengthening evaluation are shown below.

TRAINING EVALUATION REPORT OUTLINE

- | | |
|--|---|
| <p>Executive Summary</p> <p>1. Introduction</p> <ul style="list-style-type: none"> • Background • Description of projects • Evaluation Methodology • Organization of Report <p>2. Design and Rationale</p> <ul style="list-style-type: none"> • Assumptions • Context - enabling environment • Design <ul style="list-style-type: none"> – Relevance of plan – Changes • Cost <ul style="list-style-type: none"> – Planned/actual – Cost sharing – Sources of extra cost | <p>3. Effectiveness and Effects</p> <ul style="list-style-type: none"> • Achievement of targets • Effects on enterprises • Effects on safety/environment <p>4. Implementation Efficiency</p> <ul style="list-style-type: none"> • Delivery of inputs • Project management <p>5. Sustainability</p> <p>6. Conclusions</p> <p>7. Recommendations</p> <p>8. Lessons Learned</p> <p>Annex 1 - TOR</p> <p>Annex 2 - Evaluation Matrix</p> <p>Annex 3 - Organizations visited and interviews conducted</p> <p>Annex 4 - Project list</p> |
|--|---|

INSTITUTIONAL STRENGTHENING EVALUATION REPORT OUTLINE

- | | |
|---|---|
| <p>Executive Summary</p> <p>1. Introduction</p> <ul style="list-style-type: none"> • Background • Description of IS funding • Evaluation Methodology • Organization of Report <p>2. Design and Rationale</p> <ul style="list-style-type: none"> • Assumptions • Design <ul style="list-style-type: none"> – Relevance of plan – Level of responsibility – Variations in different category countries – Changes in roles of units • Cost <ul style="list-style-type: none"> – Planned/actual – Cost sharing – Sources of extra cost <p>3. Effectiveness and Effects</p> <p>Achievement of objectives: data-gathering; information exchange; dissemination; monitoring; coordination</p> | <ul style="list-style-type: none"> • Fulfillment of obligations • Differences by sector, region, category of country, etc. • Regional Networks • Effects on ODS phase-out <p>4. Efficiency</p> <ul style="list-style-type: none"> • Time lags in implementation • Capital expenditures • Professional staff • Operational costs • Regional Networks <p>5. Sustainability</p> <ul style="list-style-type: none"> • Need for continuation • Government Plans <p>6. Conclusions</p> <p>7. Recommendations</p> <p>8. Lessons Learned</p> <p>Annex 1 - TOR</p> <p>Annex 2 - Evaluation Matrix</p> <p>Annex 3 - Organizations visited and interviews conducted</p> <p>Annex 4 - Project list</p> |
|---|---|

E. Data Collection And Analysis

1. Types of Data

Data can be hard or soft, quantitative or qualitative. Hard (quantitative) data generally include technical or financial facts such as the amount of ODS phased-out through a project or the number of trainees who participated in a course. Soft (qualitative) data reflects perceptions or judgments. It includes both non-technical judgments such as the perceptions of people about what took place, and the expert judgment of an individual who is knowledgeable and experienced in a particular field. Valid evaluations try to obtain as many types of data from as many sources as possible. One of the rules of thumb of evaluation is that the more sources that confirm a finding, the more valid the finding.

2. Data Sources

Evaluation studies draw from many data sources, as it is a combination of sources that lend strength to evaluation findings. Some of the major sources include the following:

- Documents
 - Project Proposals
 - Project Documents
 - Project Progress Reports
 - Project Completion Reports
 - Country Programmes
- Interviews
 - Government Officials
 - Persons involved in any aspect of project implementation
 - Persons involved in training and institutional strengthening supported by the Fund
 - Bilateral donors involved in the sector
 - Managers (e.g.: production; marketing) and technical personnel from involved enterprises
 - Persons involved in product markets (e.g.: distributors; retailers)
- Enterprises
 - Equipment and production processes
 - Production reports
 - Product sampling

Note that there are instances where data are missing or not available, in which case alternative sources may provide data with which to address the questions. In extreme cases, there are no data and the questions cannot be answered, at least at the time of the evaluation. This would suggest recommendations for improved data systems in future project approvals and implementation.

3. Methods of Data Collection

It is expected that the Evaluation Team will use a combination of methods of data collection and analysis, including:

- review of project proposals and reports, especially project completion reports
- surveys and telephone interviews with project stakeholders
- country and on-site visits to enterprises, where the volume of projects warrants it
- selective sampling of products considered to be ozone-friendly may also be undertaken through market surveys.

Whatever methods are used, the evaluators will ensure the confidentiality of people who provided data by avoiding the use of interpretations and conclusions that could be traced back to the person providing them.

4. Instrumentation

Each evaluation team will also develop data collection instruments and procedures suited to the needs of particular evaluation studies and sites. The types of instruments normally used include:

- Interview Protocols:
 - Country officials
 - Persons knowledgeable about project implementation
 - Persons who have been supported by non-investment projects
 - Other stakeholders (Bilateral donors; persons involved with product markets)
- Checklists:
 - Factors in the enabling environment
 - Environmental and safety concerns
- Questionnaire Surveys
 - Training participant tracer surveys

5. Indicators

Indicators are important quantifiable measures of various aspects of project performance. The amount of ODP phased-out is an example. The proportion of training participants who are successful in applying new skills is another. The time taken to reach agreed targets is a third. Each of the evaluation questions will be judged using one or more indicators of this type. The use of indicators helps make the rules of judgment transparent, and it provides a sound and rational basis for data analysis.

SECTORAL EVALUATION REPORT OUTLINE

Executive Summary

1. Introduction

- Background
- Description of projects
- Evaluation Methodology
- Organization of Report

2. Design and Rationale

- Assumptions
- Sector Context
- Regulation/Legislation
- Context - enabling environment
- Design
 - Relevance of plan
 - Changes
- Cost
 - Planned/actual
 - Cost sharing
 - Sources of extra cost

3. Effectiveness and Effects

- Achievement of targets
- Differences by sector, region, etc.
- Effects on enterprises
- Effects on safety/environment
- Sustainability

4. Implementation Efficiency

- Delivery of inputs
- Project management

5. Conclusions

6. Recommendations

7. Lessons Learned

Annex 1 - TOR

Annex 2 - Evaluation Matrix

Annex 3 - Organizations visited and interviews conducted

Annex 4 - Project list

Appendix I: Sectoral Evaluation Matrix

The following matrix includes generic questions, indicators and data sources. It is included to suggest the types of questions and approaches that may be useful; however, it is not intended to be prescriptive – each evaluation will need to develop a matrix that addresses its TOR.

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Effectiveness and Effects			
In general, how effective have the various types of investment projects been in achieving ODP targets and reducing ODS within the sector?	<p>Were there differences by region or implementing agency?</p> <p>Were there differences by sub-sector?</p> <p>Were there differences by type of technology?</p>	<p>Baseline +</p> <p>ODS reduction</p> <p>Change in ODP</p> <p>Planned/actual target achievement</p>	<p>Project documents</p> <p>Enterprise data</p> <p>Country representatives</p> <p>Project implementation agencies</p>
Was the old technology successfully discontinued?	<p>For how long was the old technology in use after implementation of the project?</p> <p>How was the de-commissioned equipment rendered unusable?</p>	<p>% old technology destruction</p> <p>% of various means of disposal</p> <p>months for phase-out</p>	<p>Project documents</p> <p>Enterprise</p> <p>Country representatives</p> <p>Project implementation agencies</p>
What have been the effects of the new technology on operating costs? On market demand? On safety and environment?	<p>What were the effects on production following conversion?</p> <p>What were the effects of conversion on product quality, price, market acceptance?</p> <p>What were the effects on safety and the environment?</p>	<p>% change in products</p> <p>% change in costs</p> <p>% market penetration</p> <p>Changes in accident rates; safety guidelines</p>	<p>Project documents</p> <p>Enterprise</p> <p>Product testing</p> <p>Market sampling</p>
How sustainable are the project results?	<p>Has the project lead to plans for additional conversions?</p> <p>What are the risks of re-conversion?</p>	<p>Number of inquiries about adopting technology</p> <p>Instances of re-conversion</p>	<p>Project documents</p> <p>Enterprise</p> <p>Country representatives</p> <p>Project implementation agencies</p> <p>Bilateral agencies</p>

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Efficiency			
What were the major implementation challenges and how were they overcome? How efficient are the various approaches to project implementation (e.g.: financial intermediary; local executing agency; ozone unit)?	<p>How has the capacity of local implementing agencies affected project efficiency and effectiveness?</p> <p>Have conversions complied with environmental/safety standards?</p> <p>Has new equipment or process introduced new safety or environmental risks?</p>	<p>Time to various project milestones</p> <p>Frequency of specific contextual constraints</p> <p>Frequency of specific environmental or safety concerns</p>	<p>Project documents</p> <p>Enterprises</p> <p>Country representatives</p> <p>Project implementation agencies and associates</p>
Which aspects of investment projects in this sector (equipment, technical assistance, training) worked very well?	Were there contextual factors that affected the implementation of certain components?	Frequency of specific contextual constraints	<p>Project documents and IAs</p> <p>Enterprises</p> <p>Country representatives</p>
How effective was transfer of technology in the various projects and regions?	<p>What types of difficulties were encountered in obtaining non-ODS technology?</p> <p>Is there any evidence of conversion back to ODS?</p> <p>Have other producers demonstrated interest in adopting this technology?</p>	<p>Frequency of specific difficulties</p> <p>Instances of re-conversion</p> <p>Number of inquiries about adopting technology</p>	<p>Project documents</p> <p>Enterprises</p> <p>Country representatives</p> <p>Project implementation agencies</p> <p>Bilateral agencies</p>
Project Design			
What were the critical factors in the enabling environment that have affected project success? How have they contributed to or hindered project efficiency and effectiveness?	<p>Have there been effective changes in regulation and policy during project implementation?</p> <p>Are there constraints in the enabling environment that the Fund or country should attempt to address?</p> <p>Have training and institutional strengthening activities supported the success of investment projects?</p> <p>Were assumptions valid? Are there any contextual factors that should be a concern for future project approvals?</p>	<p>Checklist of critical factors in the enabling environment</p> <p>List of changes in legislation/regulation</p>	<p>Country representatives, IAs, project implementation agencies, enterprises, bilateral agencies</p> <p>Legislation, regulations</p>

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Did the design of various types of projects change prior to implementation?	Was the technology implemented different than the technology approved? Why and with what effects?	% of each alternative technology changed % popularity of alternative technologies	Project documents Enterprise Country representatives Project implementation agencies
Was the level of funding provided by the Fund understood by the enterprise and appropriate to the need and incremental cost requirements?	Did the cost change appreciably during implementation? If so, who paid the additional cost?	% change in project cost % cost borne by different stakeholders	Project documents Enterprise Country representatives Project implementation agencies
Did original project documents contain adequate information for subsequent evaluation?		Sufficient material available to complete evaluability checklist (e.g.: baseline data, training needs assessments include skill levels prior to training)	Project documents
Lessons Learned			
What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?	What are the implications of the findings for additional and/or alternative information in future project proposals?		All stakeholders

Appendix II: Non-Investment Project Evaluation Matrix – Training Projects

The following matrix includes generic questions, indicators and data sources. It is included to suggest the types of questions and approaches that may be useful; however, it is not intended to be prescriptive – each evaluation will need to develop a matrix that addresses its TOR.

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Design			
Are implementing agencies addressing the most pressing training needs?	Are training needs assessments conducted in conformity with contemporary international standards? Do programming priorities reflect priorities of key stakeholders?	Expert judgment Congruence of training demand and supply	Training experts Stakeholders: IAs, countries
To what extent are training activities suitably targeted to reach people and institutions with a need for such support?	Are policies and procedures for identification of training participants suitable for addressing identified needs?	Expert judgment	Training experts Stakeholders: IAs, countries
Are training programmes designed in conformity with contemporary international standards for training?	Do training workshops incorporate key principles for effective adult learning? Are training materials effective in supporting training outcomes?	Expert judgment Participant ratings of satisfaction; effectiveness of materials	Training experts Training participants Training manuals and materials
Did original project documents contain adequate information for subsequent evaluation?		Sufficient material available to complete evaluability checklist (e.g.: baseline data, training needs assessments include skill levels prior to training)	Project documents
Effectiveness and Effects			
To what extent is training supported by the Fund effective?	Are participants learning the intended knowledge and skills? Is training being applied on the job? If not, what are the constraints?	Skill performance; Knowledge acquisition % participants reporting successful transfer Frequency of constraints	Tests and records Training participants Ozone Units Enterprises

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Is training impacting the enabling environment in ways that support achievement of the Fund's objectives?	What policies, regulations, procedures have been initiated by countries as a result of training programmes?	Frequency of targeted changes to regulations, etc. (e.g.: customs and import, licensing, re-export, non-compliance measures)) Degree of implementation of Article 4 of the Montreal Protocol Extent of financial support of ODS phaseout activities	Training participants Ozone Units Enterprises IAs
Is technical training leading to more effective technical conversions?		Reduced time for introduction of new technology	Enterprises Project completion reports
Efficiency			
Are training activities planned and implemented in the most cost effective way? How could cost effectiveness be improved?	What are unit training costs, and how do they compare with costs of other international training of this type? What is the breakdown of training costs and are there ways to reduce cost components without negatively affecting quality?	Cost comparisons Expert judgment	Budgets/ financial reports Training experts Other UN agencies
Do implementing agencies include suitable monitoring and evaluation of training activities that enable such activities to benefit from participant feedback?	Does M&E address all the steps in the training cycle: Attitudes? learning? Transfer? Impact? How might monitoring and evaluation systems be improved?	Expert judgment	Training experts
Lessons Learned			
What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?			All stakeholders

Appendix III: Non-Investment Project Evaluation Matrix – Institutional Strengthening Projects

The following matrix includes generic questions, indicators and data sources. It is included to suggest the types of questions and approaches that may be useful; however, it is not intended to be prescriptive – each evaluation will need to develop a matrix that addresses its TOR.

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
Design			
Was the chosen mechanism appropriate for the institutional strengthening tasks?	Is the designated mechanism a central national facility?	Degree of confidence in the mechanism	Ozone/Institutional strengthening experts Stakeholders: IAs; enterprises
Did the original provisions reflect the needs	Was funding adequate for country requirements?	Amount of supplementary funding required	Government representatives Ozone Unit
Did original project documents contain adequate information for subsequent evaluation?	Did the proposal conform to the requirements of the TOR and qualifying areas of expenditure? Did documents identify indicators	Number of instances of non-congruence	Project documents
Effectiveness and Effects			

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
To what extent is institutional strengthening supported by the Fund effective?	<p>Are ozone units collecting and processing data to fulfill national obligations as parties to the protocol?</p> <p>Have units exchanged relevant information with other countries, etc. and disseminated information to end-users?</p> <p>Are capacities to coordinate phase-out activities being enhanced?</p> <p>Are capacities to monitor phase-out activities being enhanced?</p> <p>Have units served as a focal point for the Fund Secretariat and IAs, including reporting?</p>	<p>Extent of obligations for data collection and reporting to Meeting of Parties met</p> <p>Amount of information exchange and public awareness activities</p> <p>Improved coordination</p> <p>Improved monitoring</p> <p>Contributions to country programmes</p> <p>Adoption/Changes/harmonization of legislation and/or regulations</p>	<p>Ozone Units</p> <p>Ozone Secretariat</p> <p>Enterprises</p> <p>Implementing agencies</p> <p>Fund Secretariat</p>
Is institutional strengthening impacting the enabling environment in other ways that support achievement of the Fund's objectives?	<p>Have regional networks been effective in supporting institutional strengthening? What actions have been initiated by countries as a result of the institutional strengthening programme?</p>	<p>Ratings of the extent to which regional networks effective</p> <p>Frequency of various actions</p>	<p>Ozone Units</p> <p>Enterprises</p> <p>IAs</p> <p>Participants in regional networks</p>
Efficiency			
Are institutional strengthening activities planned and implemented in the most cost effective way? How could cost effectiveness be improved?	<p>What has been the time lag in implementation and what are the reasons?</p>	<p>Planned/actual time variance</p>	<p>Reports of ozone units</p> <p>Ozone units</p>
Have expenditures been allocated appropriately among the allowable categories?	<p>What proportions have been allocated between capital and recurrent expenditures in various categories of country?</p>	<p>Proportions of budget</p>	<p>Proposals</p> <p>Reports</p> <p>Ozone Units</p>
Have regional network activities been implemented in a cost effective way?	<p>Have network meetings conformed to standards of similar international gatherings of this type?</p>	<p>Cost comparisons</p>	<p>UNEP reports and budgets</p>
Lessons Learned			

POSSIBLE EVALUATION QUESTIONS	POSSIBLE SUB-QUESTIONS	POSSIBLE INDICATORS	POSSIBLE SOURCES OF DATA
What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?			All stakeholders

Annex II**REVISED JOB DESCRIPTION AND QUALIFICATIONS FOR MONITORING AND EVALUATION OFFICER****JOB DESCRIPTION**

Under the general supervision of the Chief Officer, the incumbent will be responsible to:

1. Draft the work programme and work plan for monitoring and evaluation *for Sub-Committee/Executive Committee review and approval.*
2. Work with the implementing agencies, bilateral and other agencies to explore ways of ensuring effective monitoring and evaluation of projects supported by the Fund *consistent with Executive Committee requirements.*
3. Coordinate monitoring and evaluation functions *required by the Executive Committee* with those of implementing and bilateral agencies, financial intermediaries and recipient countries
4. *Following any Executive Committee request and/or guidance, and* in cooperation with implementing agencies, prepare and update standard monitoring and evaluation guidelines for the content of project proposals, progress reports and completion reports for Fund-supported activities *for Sub-Committee review and Executive Committee approval.*
5. Verify that *Executive Committee approved* monitoring and evaluation standards are being applied to all facets of the development and implementation of approved projects.
6. Develop monitoring and evaluation systems and databases *consistent with the need to generate data requested by the Executive Committee* with which to describe and analyze activities supported by the Fund.
7. Manage special evaluation studies, including the preparation of terms of references *for Executive Committee approval*, selecting *diverse* evaluators *consistent with any applicable bidding requirements*, and overseeing the implementation of evaluations.
8. Aggregate information on the performance of the Fund in meeting Fund and project objectives *consistent with information requested by the Executive Committee.*
9. Report to the Monitoring, Evaluation, and Finance Sub-Committee *and the* Executive Committee on the performance of and lessons learned from projects approved under the Multilateral Fund at all stages of implementation based on experience from bilateral and other agencies through periodic reports in relation to Executive Committee policies and guidelines.

10. Report to the Monitoring, Evaluation, and Finance Sub-Committee *and the* Executive Committee on the process of monitoring and evaluation being used and suggest changes as necessary.
11. Follow-up on the decisions and directives of the Executive Committee within the field of monitoring and evaluation.
12. *Prepare, and after Executive Committee approval, disseminate* information on best practices and successful results.
13. Undertake missions, as required to carry out the above functions.

QUALIFICATIONS

1. At least 10 years of experience, in the areas of monitoring, evaluation, and research.
2. Advanced university degree in a relevant field of the social sciences, engineering, or equivalent qualifications and/or experience in monitoring and evaluation.
3. Experience with respect to both programming and programme implementation would be an advantage.
4. Demonstrated abilities in assessment techniques and good skills in interpersonal communication.
5. Fluency in English and preferably other UN languages.
6. Knowledge of office automation systems and related software are essential.
7. Good analytic writing, communications, and administrative skills.