UNEP

Multilateral Fund for the Implementation of
the Montreal Protocol

*POLICIES, PROCEDURES, GUIDELINES AND
CRITERIA*
(As at November 2017)

CHAPTER XI: MONITORING AND EVALUATION

XI. MONITORING AND EVALUATION

INTERIM STEPS

The Eighteenth Meeting of the Executive Committee decided:

(a) as an interim step pending the further development of the guidelines:

   (i) to ensure that the Fund's objectives are being carried out and to consider `lessons learned' in future operations, Implementing Agencies shall monitor the progress of activities approved by the Fund and evaluate those activities upon their completion. In doing this, it is important to maintain an adequate level of independence and credibility of the system. And it is necessary to strike a balance between the level of oversight that has to be exercised and the cost of doing so.

   (ii) Implementing Agencies will report to the Executive Committee on implementation progress and final evaluation in their progress reports and business plans, whose format will be updated from time to time to reflect indicators and evaluation criteria of interest to the Committee. On implementation of progress, the Implementing Agencies will highlight successes since the last meeting. The report will also highlight projects for which no significant implementation action has taken place within specified periods of say, 12, 18 and 24 months since project approval. Implementing agencies should comment on measures taken to correct problems which have arisen during implementation and measures to prevent their repetition.

   (iii) project completion reports will discuss and evaluate project implementation success based on business plan indicators and conformance with key project parameters. Reports will be submitted to the Committee within six months of final project disbursements.

   (iv) the Secretariat will establish an independent review process which will periodically evaluate a small representative sample of completed projects from each agency to ensure that consistent and objective evaluation standards are being applied.

   (v) the Secretariat will aggregate information from project completion reports and report to the Committee on the success of the Fund in meeting Fund and project objectives, based on criteria and indicators indicated in the business plan and key project parameters. In addition, the Secretariat will report on the performance of each agency using the same criteria while considering the special nature of an agency's portfolio.

   (vi) to ensure that sufficient baseline information is available to allow for meaningful monitoring and evaluation of projects, Implementing Agencies will continue to include project implementation schedules and ODP to be phased out in their project documents. They shall also specify which equipment, if any, will be destroyed and other relevant parameters in project proposals submitted to the Executive Committee.

   (vii) noting that the World Bank has prepared draft technical guidelines for various sectors to facilitate monitoring and evaluation, the Secretariat will coordinate the adoption of standard technical guidelines which will be updated periodically to reflect experience in Monitoring and Evaluation and technical developments.

   (viii) the Secretariat shall work with the Implementing Agencies to finalize the criteria and indicators for institutional strengthening and clearing house activities and to incorporate suggestions received during the Eighteenth Meeting of the Executive Committee, for submission to the Executive Committee at its Twentieth Meeting."

(b) that the Secretariat and the Implementing Agencies should be encouraged to seek expert outside assistance, as necessary, in the further development of the guidelines.

(UNEP/OzL.Pro/ExCom/18/75, Decision 18/20, para. 47).

DESIGN OF A MONITORING AND EVALUATION SYSTEM

The Nineteenth Meeting of the Executive Committee decided:

(a) to endorse the draft terms of reference for the design of a monitoring and evaluation system for the Multilateral Fund;

(b) to authorize the Secretariat, in co-operation with the Implementing Agencies, to proceed with the preparation of a draft monitoring and evaluation system for submission to the Executive Committee at its Twentieth Meeting.

(UNEP/OzL.Pro/ExCom/19/64, Decision 19/40, para. 73).

The Twentieth Meeting of the Executive Committee, having taken note of the presentation of a draft report on a monitoring and evaluation system for the Multilateral Fund, decided:

(a) to request the consultant to do further work, for submission to a subsequent Meeting, concentrating on the following considerations:

(b) while significant changes were proposed in the evaluation area, the proposed system of monitoring was largely in place already, embodied in the present system of reporting;

(c) it was important that the monitoring and evaluation function should not engender excessive costs, nor inflate a presently lean and efficient Secretariat;

(d) evaluations had to involve all stakeholders;

(e) decisions on the scope of external evaluations, and on the number performed in a year, might have to remain in the hands of the Meeting of the Parties;

(f) to invite members of the Executive Committee to submit additional comments in writing to the Fund Secretariat in order to facilitate the work of the consultant.
(UNEP/OzL.Pro/ExCom/20/72, Decision 20/38, para. 56).
(Supporting document: UNEPExCom/20/OzL.Pro/ExCom/20/58).

Institutional procedures of monitoring and evaluation in relevant international financing institutions

The Thirty-ninth Meeting of the Executive Committee decided:

(a) to take note of the Consultant's report contained in document UNEP/OzL.Pro/ExCom/SCMEF/19/2;

(b) to consider clarifying the following issues at its 41st Meeting:

- Could the Senior Monitoring and Evaluation Officer exercise a certain independence within the Secretariat in the context of United Nations staff rules?

- Who had final responsibility for the evaluation reports presented to the Executive Committee and to the Sub-Committee on Monitoring, Evaluation and Finance, particularly with respect to technical and/or policy recommendations?
(UNEP/OzL.Pro/ExCom/39/43, Decision 39/12, para. 46).
(Supporting document: UNEP/OzL.Pro/ExCom/SCMEF/19/2).

Terms of reference and workload for the Senior Monitoring and Evaluation Officer

The Fifty-seventh Meeting of the Executive Committee decided:

(a) to note:

(i) with appreciation, the Consultant's report contained in document UNEP/OzL.Pro/ExCom/57/13;

(ii) the express agreement of the Members of the Executive Committee to continue with the function of monitoring and evaluation at the current budget level and that the post should remain staffed by a highly qualified professional; and

(b) to request the Secretariat to prepare and submit to the 58th Meeting of the Executive Committee, for approval, the terms of reference and workload for the Senior Monitoring and Evaluation Officer (SMEO), taking into consideration that the Members of the Executive Committee reaffirmed that the position of SMEO should retain independence and was best situated in the Secretariat. The Secretariat should propose additional responsibilities to the workload and the terms of reference, including work on climate benefits, risk of non-compliance, auditing and increased emphasis on monitoring functions, and taking into account that the work should be relevant and helpful for HCFC phase-out. In addition, the terms of reference should include a provision for such a position to be fixed-term in line with the standard practice of other international funding institutions.
(UNEP/OzL.Pro/ExCom/57/69, Decision 57/12, para.96).
(Supporting document: UNEP/OzL.Pro/ExCom/57/13).

The Fifty-eighth Meeting of the Executive Committee decided:

(b) to agree on the assessment of the workload of the Senior Monitoring and Evaluation Officer as presented in document UNEP/OzL.Pro/ExCom/58/7;

(c) to adopt the revised job description for the Senior Monitoring and Evaluation Officer as presented in Annex IV to the report of the meting;

(d) to agree that the maximum period of engagement of the Senior Monitoring and Evaluation Officer should be up to ten years, consistent with appointment practices in other agencies; and

(e) to request the Senior Monitoring and Evaluation Officer to reflect, in the future work plan, the discussions held at the 58th Meeting regarding short-term and medium-term needs.
(UNEP/OzL.Pro/ExCom/58/53, Decision 58/5, para.43).
(Supporting document: UNEP/OzL.Pro/ExCom/58/7).

MODEST STRENGTHENING OF THE SECRETARIAT

The Twenty-first Meeting of the Executive Committee decided:

(a) that there should be a modest strengthening of the Secretariat in order to provide a measure of monitoring and evaluation capacity;

(b) that once the work programme has been defined and developed by the Monitoring, Evaluation and Finance Sub-Committee, necessary evaluations will be carried out, bearing in mind the requirements of Action 1 under decision VII/22 of the Seventh Meeting of the Parties (UNEP/OzL.Pro.7/12, Annex V);

(c) that it would need to review the progress on implementation of the monitoring and evaluation programme after one year;

(d) to request the Secretariat to work with the Implementing Agencies and propose for consideration by the Executive Committee or the Monitoring, Evaluation and Finance Sub-Committee deletions from and/or additions to the current monitoring parameters so as to make them more strategic. In this regard, the Secretariat and the Implementing Agencies should consider suggestions by members of the Executive Committee;

(e) to request the Secretariat to work with the Implementing Agencies to explore ways in which standardized monitoring and evaluation components could be included in project proposals and to propose standardized guidelines for the content of project completion reports by Implementing Agencies; and

(f) to request the Secretariat to report back to the Twenty-second Meeting of the Executive Committee on actions taken pursuant to these decisions.
(UNEP/OzL.Pro/ExCom/21/36, Decision 21/36, para. 56).
(Supporting document: UNEP/OzL.Pro/ExCom/21/30).

The Twenty-second Meeting of the Executive Committee decided:

(h) that the modest strengthening of the Secretariat approved by the Executive Committee in Decision 21/36 should be sufficient to enable the Secretariat to perform monitoring and evaluation on a continuous basis, through the development of a monitoring and evaluation system and database, the coordination, supervision and carrying out of monitoring and evaluation studies and assignments, and the establishment of a monitoring and evaluation post within the Secretariat whose incumbent would report directly to the Sub-Committee and/or the Executive Committee and be responsible for the coordination of all monitoring and evaluation activities;

(i) to approve a budget for 12 person-months for these tasks.
(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/19, para. 34 (h), (i)).

The Twenty-third Meeting of the Executive Committee decided:

(a) to approve the revised job description (UNEP/OzL.Pro/ExCom/23/4, Annex II);

(b) to request the Secretariat to initiate its submission to the United Nations classification office through UNEP for finalization.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/3, para. 15).

Status of recruitment of Monitoring and Evaluation Officer

The Twenty-fourth Meeting of the Executive Committee decided:

(a) to take note of the status report;

(b)   to request the Secretariat to keep it informed of developments; and

(c) that a consultant should be employed until the Monitoring and Evaluation Officer could take up the post.
(UNEP/OzL.Pro/ExCom/24/47, Decision 24/11, para. 30).
(Supporting document: UNEP/OzL.Pro/ExCom/24/16).

The Twenty-sixth Meeting of the Executive Committee decided to request the Fund Secretariat to prepare a monitoring and evaluation work programme for 1999 for submission to the Executive Committee at its first meeting in 1999.
(UNEP/OzL.Pro/ExCom/26/70, Decision 26/10, para. 26).

WORK PROGRAMME AND WORK PLAN FOR MONITORING AND EVALUATION

The Twenty-second Meeting of the Executive Committee decided:

(a) to adopt deliverables 1, 2, 4 and 5 as contained in Annex XI.1, noting that one of the milestones for monitoring in deliverable 5 should be the date of dismantling or destruction of equipment;

(b) to adopt outputs 1-4 as contained in Annex XI.1;

(c) to request the Secretariat to take the outputs up in sequence, reversing the order of outputs 2 and 3;

(d) to request the Secretariat to submit output 1 to the next meeting of the Sub-Committee for review of the evaluation questions to be used for the subsequent evaluations, bearing in mind the requirements of Action 1 under decision VII/22 of the Seventh Meeting of the Parties (UNEP/OzL.Pro.7/12, annex V);

(e) that output 4 should focus on a limited number of specific activities, namely training activities, and institutional strengthening;

(f) that evaluations should include the question of disbursements and also the role of the various actors in the monitoring system;

(g) that the evaluations, which were part of the whole monitoring and evaluation process now in place, should review the involvement of all stakeholders in working towards the Fund's objectives.
(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/19, para. 34(a-g)).

Monitoring and evaluation work programme for the year 1999

The Twenty-seventh Meeting of the Executive Committee decided:

(a) to approve the draft monitoring and evaluation work programme for 1999;

(b) to request the Secretariat to submit a draft monitoring and evaluation work programme for 2000 for consideration at the third meeting of the Executive Committee in 1999.
(UNEP/OzL.Pro/ExCom/27/48, Decision 27/11, para. 31).

The Twenty-eighth Meeting of the Executive Committee decided:

(a) to take note of the progress achieved and work planned in the implementation of the 1999 work programme for monitoring and evaluation;

(b) that the methodology for the evaluation of refrigeration sector projects should include the identification, in collaboration with the Implementing Agencies and bilateral agencies, of Executive Committee decisions that might potentially influence the choice of technologies for the conversion of ODS-using technologies.
(UNEP/OzL.Pro/ExCom/28/57, Decision 28/27, para. 53).

The Twenty-ninth Meeting of the Executive Committee decided to take note of the preliminary summaries of the evaluations of refrigeration and institutional strengthening projects and request the Senior Monitoring and Evaluation Officer to submit to it at its Thirtieth Meeting the final reports on the evaluation of refrigeration projects and institutional strengthening projects with an action plan to follow up the results of those evaluations.
(UNEP/OzL.Pro/ExCom/29/65, Decision 29/3, para. 19 (a)).

Monitoring and evaluation work programme for the year 2000

The Twenty-ninth Meeting of the Executive Committee decided:

(a) to approve the proposed work programme;

(b) to approve the budget for its implementation in the amount of US $361,000;

(c) to request the Senior Monitoring and Evaluation Officer to prepare, for submission to the Thirtieth Meeting of the Executive Committee, a paper on the possibility of incorporating a desk study on recovery and recycling projects into the work programme for monitoring and evaluation for the year 2000.
(UNEP/OzL.Pro/ExCom/29/65, Decision 29/5, para. 22).

The Thirtieth Meeting of the Executive Committee decided to request the Senior Monitoring and Evaluation

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Officer to present a desk study on recovery and recycling projects to the Thirty-first Meeting of the Executive Committee, as an addition to the work programme for monitoring and evaluation for the year 2000, taking into account the discussions held and the suggestions made in the Sub-Committee.
(UNEP/OzL.Pro/ExCom/30/41, Decision 30/9, para. 27(b)).

Monitoring and evaluation work programme for the year 2001

The Thirty-second Meeting of the Executive Committee decided to approve the proposed 2001 work programme for monitoring and evaluation at a revised budget of US $318,000, after the removal of the "Extended desk study on recovery and recycling projects" due to insufficient data on the status quo of recovery and recycling projects.
(UNEP/OzL.Pro/ExCom/32/44, Decision 32/22, para. 33).
(Supporting document: UNEP/OzL.Pro/ExCom/32/20).

Monitoring and evaluation work programme for the year 2002

The Thirty-fifth Meeting of the Executive Committee decided to approved the proposed 2002 work programme for monitoring and evaluation at a budget of US $328,000, as indicated in document UNEP/OzL.Pro/ExCom/35/13.
(UNEP/OzL.Pro/ExCom/35/67, Decision 35/11, para. 39).
(Supporting document: UNEP/OzL.Pro/ExCom/35/13).

Monitoring and evaluation work programme for the year 2003

The Thirty-eighth Meeting of the Executive Committee decided to approve the proposed 2003 work programme for monitoring and evaluation at a budget of US $198,000, as indicated in document UNEP/OzL.Pro/ExCom/38/8, and request that work be initiated using the same procedures that had been utilized for such evaluations during 1999, 2000 and 2001.
(UNEP/OzL.Pro/ExCom/38/70/Rev.1, Decision 38/5, para. 36).
(Supporting document: UNEP/OzL.Pro/ExCom/38/8).

Monitoring and evaluation work programme for the year 2004

The Forty-first Meeting of the Executive Committee decided:

(a) to approve the proposed 2004 work programme for monitoring and evaluation at a budget of US $256,000, as indicated in document UNEP/OzL.Pro/ExCom/41/9; and

(b) to take into account the comments made by the members of the Sub-Committee on Monitoring, Evaluation and Finance, particularly with regard to the extent to which sectoral and national phase-out plans assisted countries to meet their obligations under the Montreal Protocol.
(UNEP/OzL.Pro/ExCom/41/87, Decision 41/7, para. 38).
(Supporting document: UNEP/OzL.Pro/ExCom/41/9).

Monitoring and evaluation work programme for the year 2005

The Forty-fourth Meeting of the Executive Committee decided to approve the proposed 2005 work programme for monitoring and evaluation at a budget of US $246,000.
(UNEP/OzL.Pro/ExCom/44/73, Decision 44/10, para.. 77).
(Supporting document: UNEP/OzL.Pro/ExCom/44/13).

The Forty-sixth Meeting of the Executive Committee decided:

(a) to add US $80,000 to the budget for the 2005 monitoring and evaluation work programme for the preparation of country case studies for the evaluation of national and sectoral phase-out plans in the second half of 2005, combined with the evaluation of refrigerant management plans in non-low volume consuming countries;

(b) to request the Secretariat to clearly indicate on all pre-sessional documents that they were without prejudice to any decision that the Executive Committee might take; and

(c) to reclassify evaluation reports submitted to the Executive Committee, including those submitted in past years, as documents for general distribution.
(UNEP/OzL.Pro/ExCom/46/47, Decision 46/7, para. 45).

Monitoring and evaluation work programme for the year 2006

The Forty-seventh Meeting of the Executive Committee decided to approve the proposed 2006 work programme for monitoring and evaluation at a budget of US $346,000, as shown in document

UNEP/OzL.Pro/ExCom/47/11.
(UNEP/OzL.Pro/ExCom/47/61, Decision 47/9, para. 54).
(Supporting document: UNEP/OzL.Pro/ExCom/47/11).

Monitoring and evaluation work programme for the year 2007

The Fiftieth Meeting of the Executive Committee decided to approve the 2007 work programme for monitoring and evaluation at a budget of US $361,000, as shown in document UNEP/OzL.Pro/ExCom/50/11, with the following amendments requesting the Senior Monitoring and Evaluation Officer:

(a) to send the final country studies on cases of non-compliance to the Parties concerned; and

(b) to initiate, instead of further country studies on cases of non-compliance estimated at US $100,000, work on standardization of annual work programmes, progress and verification reports on multi-year agreements.

(UNEP/OzL.Pro/ExCom/50/62,Decision 50/9 para. 64).
(Supporting document: UNEP/OzL.Pro/ExCom/50/11).

Monitoring and evaluation work programme for the year 2008

The Fifty-third Meeting of the Executive Committee decided:

(a) to approve the 2008 monitoring and evaluation work programme and schedule for submission of documents on monitoring and evaluation to the Executive Committee as set out in Table 1 below; and

(b) to approve the budget for the 2008 monitoring and evaluation work programme at the amount of US $326,000 as set out in Table 2 below.

Table 1:Schedule for submission of documents on monitoring and evaluation to the Executive Committee

1st Meeting 2008 (54th)	2nd Meeting 2008 (55th)	3rd Meeting 2008 (56th)	1st Meeting 2009(57th)
• Final report on the evaluation of management and monitoring of NPPs in non-LVC countries • Desk study on the evaluation of institutional strengthening projects	• Report on standardization of annual work programmes, progress and verification reports of MYAs and on the development of country profiles • Desk study on the evaluation of TPMPs	• Final report on the evaluation of institutional strengthening projects • 2008 consolidated project completion report • Draft 2009 monitoring and evaluation work programme	• Desk study on chiller projects, focusing on incentive programmes • Final report on the evaluation of TPMPs

Table 2: proposed budget for the 2008 monitoring and evaluation work programme

Description	Amount (US $)
Desk study on the evaluation of institutional strengthening projects	30,000
Case studies and final report on the evaluation of institutional strengthening projects	90,000
Desk study on the evaluation of TPMPs	20,000
Case studies and final report on the evaluation of TPMPs	100,000
Desk study on chiller projects, focusing on incentive programmes	30,000
Staff travel	50,000
Equipment (computer, etc.)	4,000
Communication (phone, mail couriers, etc.)	2,000
TOTAL	326,000

(UNEP/OzL.Pro/ExCom/53/67,Decision 53/7 para.59).
(Supporting document: UNEP/OzL.Pro/ExCom/53/10).

Monitoring and evaluation work programme for the year 2009

The Fifty-sixth Meeting of the Executive Committee decided:

(a) to approve a reduced budget of US $75,000 for the implementation of the 2009 monitoring and evaluation work programme, in view of the departure of the Senior Monitoring and Evaluation Officer at the end of 2008. The Secretariat, with the assistance of an interim Monitoring and Evaluation Officer and consultants, should finalize activities under way, specifically the preparation of the extended desk study on the evaluation of chiller projects, the final report on the evaluation of terminal phase-out management plans, the consolidated project completion report for the year 2009, the multi-year agreement tables, the

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web-based country profiles, and the multi-year agreement reporting format;

(b) to request the Secretariat to adhere to the draft timetable as proposed in the 2009 monitoring and evaluation work programme, as modified by the work identified in paragraph (a) above and the time required to recruit the interim Monitoring and Evaluation Officer provided for in the 2009 budget, and in any case to complete the work in 2009 and report back on its completion to the Executive Committee by the 59th Meeting;

(c) to request the Secretariat in consultation with the Chair (Article 5) and the Vice-Chair (non-Article 5), as well as the outgoing Senior Monitoring and Evaluation Officer, to engage the services of an interim Monitoring and Evaluation Officer consistent with existing terms of reference for that position, to the extent feasible;

(d) to request the Senior Monitoring and Evaluation Officer to prepare and submit a document to the 57th Meeting of the Executive Committee outlining existing terms of reference for the position and briefly summarizing how evaluation functions in other similar fund secretariats and financial institutions were organized and implemented; and

(e) commencing at the 57th Meeting of the Executive Committee, to make an effort to reach a decision no later than the 58th Meeting of the Executive Committee, to discuss priorities and arrangements that might be necessary over the next five years for the monitoring and evaluation programme, and bearing in mind the 2010 compliance period, the size and complexity of the future work, including associated budgetary and institutional arrangements for carrying out such work, including the possibility of cost effective and independent delivery options external to the Fund Secretariat.

(UNEP/OzL.Pro/ExCom/56/64, Decision 56/8 para 57)
(Supporting document: UNEP/OzL.Pro/ExCom/56/10).

Monitoring and evaluation work programme for the years 2011 and 2012

The Sity-third Meeting of the Executive Committee decided:

(a) To note that decision 59/52(a) had approved US $60,000 as part of the Secretariat budget to cover operational costs for multi-year agreement (MYA) table on-line access, on the understanding that the same amount would be deducted from the Senior Monitoring and Evaluation Officer's work programme budget;

(b) To approve the 2011 monitoring and evaluation work programme at a budget of US $86,750 to cover the activities for 2011 listed below:

Description	Amount (US $)
Completion report format for MYAs	12,000
Desk study on evaluation of MYA projects	18,750
Staff travel (SMEO's travel to network and thematic meetings, MOP meetings)	50,000
Miscellaneous (equipment, communication)	6,000
Total 2011	**86,750**

(c) To note the draft monitoring and evaluation work programme for 2012, as contained in document UNEP/OzL.Pro/ExCom/63/13, with the addition of the evaluation of metered dose inhaler (MDI) projects, and pending the decision on the re-submission of the revised proposals for the evaluation of licensing and regulatory systems for the Committee's approval;

(d) To request:

   (i) The Senior Monitoring and Evaluation Officer to prepare and submit to the 65th meeting of the Executive Committee a strategy for the dissemination and communication of the lessons learned from previous implementation experiences, as well as from the evaluations that had been conducted; and

   (ii) That the 2012 draft monitoring and evaluation work programme, together with its budget, be submitted for approval to the 65th meeting of the Executive Committee.

(UNEP/OzL.Pro/ExCom/63/60, Decision 63/11 para 53)
(Supporting document: UNEP/OzL.Pro/ExCom/63/13).

The Sixty-fourth Meeting of the Executive Committee decided:

(a) To take note of the proposed dissemination and communication strategy on lessons learned; and

(b) In view of the insufficient interest within the Committee, not to proceed with the project.

(UNEP/OzL.Pro/ExCom/64/53, Decision 64/5 para 33)
(Supporting document: UNEP/OzL.Pro/ExCom/64/7).

The Sixty-fifth Meeting of the Executive Committee decided not to recommend an evaluation of legislation, regulations and quotas as suggested in the 2012 draft monitoring and evaluation work programme.

(UNEP/OzL.Pro/ExCom/65/60, Decision 65/8 para 48)
(Supporting document: UNEP/OzL.Pro/ExCom/65/10).

Monitoring and evaluation work programme for the year 2012

The Sixty-fifth Meeting of the Executive Committee decided to approve the proposed 2012 work programme, with the suggested changes, at a budget of US $325,000 as reflected in the table below:

2012	
Description	**Amount (US $)**
Evaluation of MYAs	
-11 case studies	132,000
-Final report (10 working days*US $500)	5,000
Evaluation of methyl bromide projects:	
• Desk study (1 consultant * 35 working days at US $500/day)	17,500
• 7 case studies	84,000
• Final report (10 working days *US $500)	5,000
Desk study on the evaluation of chiller projects (1 consultant * 25 working days at US $500/day)	12,500
Desk study for evaluation of MDI (1 consultant * 35 working days at US $500/day)	17,500
Staff travel	47,000
Miscellaneous (equipment, communication, etc.)	4,500
Total 2012	**325,000**

(UNEP/OzL.Pro/ExCom/65/60, Decision 65/9 para 54)
(Supporting document: UNEP/OzL.Pro/ExCom/65/11).

The Twenty-third Meeting of the Parties decided:

1. To request the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol to consider requesting its Senior Monitoring and Evaluation Officer, when carrying out the evaluation approved at its sixty-fifth meeting on methyl bromide projects in Africa, to consider options for a strategy to achieve the sustainable use of effective alternatives to methyl bromide in Africa;

2. To request the Technology and Economic Assessment Panel, in view of its May 2011 progress report, to consider whether the guidelines and criteria for the preparation of critical-use nominations of methyl bromide need any modification to take into account the situation of parties operating under paragraph 1 of Article 5 and to report on this issue to the Open-ended Working Group at its thirty-third meeting;

(UNEP/OzL.Pro.23/11, Decision XXIII/14)

The Sixty-sixth Meeting of the Executive Committee decided to take note of the information provided in document UNEP/OzL.Pro/ExCom/66/15, including the proposed evaluation issues and approach for the final phase of the evaluation of methyl bromide projects.

(UNEP/OzL.Pro/ExCom/66/54, Decision 66/13 para 62)
(Supporting document: UNEP/OzL.Pro/ExCom/66/15).

Monitoring and evaluation work programme for the year 2013

The Sixty-eighth Meeting of the Executive Committee decided:

(a) To take note of the draft monitoring and evaluation work programme for the year 2013 as contained in document UNEP/OzL.Pro/ExCom/68/12; and

(b) To approve the 2013 monitoring and evaluation work programme at a budget of US $191,000, on the understanding that the terms of reference for the desk study on the evaluation of the preparatory phase of the phasing out of HCFCs would be discussed at the 69th meeting of the Executive Committee, and that it included the addition of US $15,000 for the improvement of the electronic online reporting system on multi-year agreements (MYAs), as shown below: to approve the proposed 2012 work programme, with the suggested changes, at a budget of US $325,000 as reflected in the table below:

2013	
Description	**Amount (US $)**
Evaluation of metered-dose inhaler projects:	
• 6 case studies	90,000
• Final report (1 consultant * 30 working days at US $500/day)	15,000
Desk study on the evaluation of the preparatory phase of the phasing out of HCFCs:	
• (1 consultant * 30 working days at US $500/day)	15,000
Improvement of the electronic online reporting systems on MYAs	15,000
Staff travel	50,000
Miscellaneous	6,000
Total 2013	**191,000**

(UNEP/OzL.Pro/ExCom/68/53, Decision 68/9 para 60)
(Supporting document: UNEP/OzL.Pro/ExCom/68/53).

Monitoring and evaluation work programme for the year 2014

The Seventy-first Meeting of the Executive Committee decided:

(a) To note the draft monitoring and evaluation work programme for the year 2014 contained in document UNEP/OzL.Pro/ExCom/71/15;

(b) To request the Senior Monitoring and Evaluation Officer:

(i) To prepare a revised monitoring and evaluation work programme for the year 2014, taking into account the specific suggestions made at the present meeting and any additional suggestions for further study from Executive Committee members to be submitted to the Secretariat before 15 January 2014; and

(ii) To present the revised work programme for the year 2014 to the Executive Committee at its 72nd meeting.

(UNEP/OzL.Pro/ExCom/71/64, Decision 71/27 para 104)
(Supporting document: UNEP/OzL.Pro/ExCom/71/15).

The Seventy-second Meeting of the Executive Committee decided:

(a) To take note of the revised draft monitoring and evaluation work programme for the year 2014, as contained in document UNEP/OzL.Pro/ExCom/72/10/Rev.1; and

(b) To approve the revised 2014 monitoring and evaluation work programme at a budget of US $148,700, as shown below:

Description	Amount (US $)
Evaluation of HCFC phase-out projects in the foam sector (desk study and field visits)	
Desk study (31 days*US $500)	15,500
Field visits (7 countries)	
-Consultant fee (49 days*US $500)	24,500
-Per diem (49 days*US $351)	17,200
-Travel (7*US $6,000)	42,000
Country report writing (5 days*US $500)	17,500
Synthesis report (6 days*US $500)	3,000
Total (foam sector evaluation)	119,700
Staff travel	25,000
Miscellaneous	4,000
Total budget	**148,700**

(UNEP/OzL.Pro/ExCom/72/47, Decision 72/8 para 49)
(Supporting document: UNEP/OzL.Pro/ExCom/72/10/Rev.1).

Monitoring and evaluation work programme for the year 2015

The Seventy-third Meeting of the Executive Committee decided:

 (a) To note the draft monitoring and evaluation work programme for the year 2015 contained in document UNEP/OzL.Pro/ExCom/73/9/Rev.1;

(b) To request the Senior Monitoring and Evaluation Officer to submit the terms of reference for the desk studies on refrigeration and air-conditioning (RAC) manufacturing projects and on pilot demonstration projects on ODS disposal and destruction, indicated in the table in sub-paragraph (c) below, for consideration by the Executive Committee at its 74th meeting; and

(c) To approve the 2015 monitoring and evaluation work programme, budgeted at US $91,285, as follows:

Description	Amount (US $)
Completion of the evaluation of the phase-out of HCFC in the foam sector	
Field visits (3 countries)	
(1 consultant*7 days*3 countries*US $500/day)	10,500
-Per diem (21 days*US $351)	7,371
-Travel (3 countries*US $6,000)	18,000
-Report writing (3 countries*5 days*US $500)	7,500
-Synthesis report (6 days*US $500/day)	3,000
Desk study of RAC manufacturing projects	
Desk study	
(1 consultant*24 days*US $500/day)	12,000
Evaluation of pilot demonstration projects on ODS disposal and destruction	
Desk study	
(1 consultant*24 days*US $500/day)	12,000
Staff travel to 2 countries for field visits for the evaluation of HCFC phase-out in the foam sector (2 countries*US $6,000; per diem 14 days*US $351)	16,914
Miscellaneous	4,000
Total 2015	**91,285**

(UNEP/OzL.Pro/ExCom/73/62, Decision 73/7 para.46).
(Supporting document: UNEP/OzL.Pro/ExCom/73/9/Rev.1).

Monitoring and evaluation work programme for the year 2016

The Seventy-fifth Meeting of the Executive Committee decided:

(a) To note the draft monitoring and evaluation work programme for the year 2016 contained in document UNEP/OzL.Pro/ExCom/75/11/Rev.2;

(b) To approve the terms of reference for phase two of the evaluation of HCFC phase-out projects in the refrigeration and air-conditioning (RAC) manufacturing sector, contained in Annex I of document UNEP/OzL.Pro/ExCom/75/11/Rev.2; and

(c) To approve the 2016 monitoring and evaluation work programme, budgeted at US $177,226, as follows:

Description	Amount (US $)
Final evaluation of HCFC phase-out in the RAC manufacturing sector	
Field visits (8 countries[1])	
Staff [2]: 7 days/6 weeks	
• Travel (6*US $6,000)	36,000
• Per diem (56*US $351/day)	19,656
Consultants	
• Fee (7 days/10 weeks/US $500/day)	35,000
• Travel (8*US $3,000)	24,000

Description	Amount (US $)
Per diem (70*US $351/day)	24,570
Report writing (8 countries*7 days*US $500/day)	28,000
Synthesis report (12 days*US $500/day)	6,000
Sub-total	**173,226**
Miscellaneous	4,000
Total 2016	**177,226**

[1] Seven days per country except for China and Indonesia (14 days).

[2] The number of staff missions might be rationalized if a consultant could be identified with both the required technical expertise and a thorough understanding of the Multilateral Fund.

(UNEP/OzL.Pro/ExCom/75/85, decision 75/9, para.82).
(Supporting document: UNEP/OzL.Pro/ExCom/75/11/Rev.2).

Monitoring and evaluation work programme for the year 2017

The Seventy-seventh Meeting of the Executive Committee decided:

(a) To approve the monitoring and evaluation work programme for 2017 and the associated budget of US $143,484 contained in document UNEP/OzL.Pro/ExCom/77/10/Rev.1; and

(b) To request the Senior Monitoring and Evaluation Officer to present an amendment to the monitoring and evaluation work programme for 2017 to the 79th meeting, to include the evaluation of the refrigeration servicing sector and the associated budget and terms of reference.

Description	Amount (US $)
Final evaluation of HCFC phase-out in the RAC manufacturing sector	
Field visits (8 countries[1])	
Staff [2]: 7 days/6 weeks	
• Travel (4*US $6,000)	24,000
• Per diem (28*US $351/day)	9,828
Consultants	
• Fee (7 days/8 countries/US $500/day)	28,000
• Travel (8*US $3,000)	24,000
Per diem (56*US $351/day)	19,656
Report writing (8 countries*7 days*US $500/day)	28,000
Synthesis report (12 days*US $500/day)	6,000
Sub-total	**139,484**
Miscellaneous	4,000
Total 2017	**143,484**

(UNEP/OzL.Pro/ExCom/77/76, Decision 77/7, para 46(a)-(b))
(Supporting document: UNEP/OzL.Pro/ExCom/77/10/Rev.1).

The Seventy–ninth Meeting of the Executive Committee decided:

(a) To approve:

(i) The inclusion of the desk study for an evaluation of the refrigeration servicing sector, and the related budget of US $15,000, in the 2017 monitoring and evaluation work programme pursuant to decision 77/7(b), bringing the total budget for 2017 to US $158,484; and

(ii) The terms of reference for such an evaluation contained in Annex I to document UNEP/OzL.Pro/ExCom/79/7/Corr.1.

(UNEP/OzL.Pro/ExCom/79/51, Decision 79/6, para 39)
(Supporting document: UNEP/OzL.Pro/ExCom/79/7 and Corr.1).

Monitoring and evaluation work programme for the year 2018

The Eightieth Meeting of the Executive Committee decided:

(a) To approve the monitoring and evaluation work programme for 2018 and the associated budget of US $174,780, contained in document UNEP/OzL.Pro/ExCom/80/11/Rev.1; and

(b) To request the Senior Monitoring and Evaluation Officer to submit to the 81st meeting the terms of reference for the desk study for the evaluation of HCFC phase-out management plan preparation activities to assist with the implementation of the Kigali Amendment.

Budget for the monitoring and evaluation work programme for 2018

Description	Amount (US $)
Second phase of the evaluation of the refrigeration servicing sector	
Field visits (9 countries, 7 days/country)	
Staff:	
Travel (4*US $6,000)	24,000
Per diem (28*US $350/day)	9,800
Consultants	
Fee: (*7 days*9 countries*US $500/day)	31,500
Travel (9*US $3,000)	27,000
Per diem (63*US $350/day)	22,050
Report writing (9*7 days*US $500/day)	31,500
Synthesis report (12 days*US $500/day)	6,000
Desk study for the evaluation of HPMP preparation activities to assist with the implementation of the Kigali Amendment	
Report writing (30 days*US $500/day)	15,000
Desk study for the evaluation for the gender mainstreaming in the Montreal Protocol projects and policies	
Report writing	0
Presentation of the lessons learned database to UNEP's annual network meeting*	
Travel (1*US $2,000)	2,000
Per diem (5*US $386/day)	1,930
Sub-total	**170,780**
Miscellaneous**	4,000
Total	**174,780**

* Pursuant to decision 75/5(f), the Secretariat developed an online search engine to access the lessons learned from individual and MYA PCRs, so that stakeholders could easily access it when, for example they were developing or implementing similar projects. In order to disseminate the information and guarantee the general use of this tool, the Senior Monitoring and Evaluation Officer (SMEO) will present the databases to UNEP's annual network meeting, which will gather all Ozone Officers in Paris in 2018.

**Miscellaneous funds are planned to cover the unexpected additional travels while on mission and the unexpected replacement of the Monitoring and Evaluation office equipment.

(UNEP/OzL.Pro/ExCom/80/59, Decision 80/9, para 58)

(Supporting document: UNEP/OzL.Pro/ExCom/80/Rev.1).

DESK STUDY ON EVALUATION OF MULTI-YEAR AGREEMENT PROJECTS

The Sixty-fifth Meeting of the Executive Committee decided:

(a) Regarding the first phase:

    (i) To note the desk study on the evaluation of multi-year agreements presented to the 65th meeting of the Executive Committee;

    (ii) To note the comments and observations made at the 65th meeting on the desk study;

    (iii) To request the Senior Monitoring and Evaluation Officer to post the comments and observations already received on the desk study on the website;

    (iv) To invite current Executive Committee members to submit comments and observations on the desk study intersessionally by 16 January 2012; and

    (v) To request the Senior Monitoring and Evaluation Officer to compile the comments, observations and any responses received on the desk study as an annex and to submit it, together with a corrigendum if necessary, for further consideration by the Executive Committee at its 66th meeting;

(b) Regarding the second phase:

    (i) To note that the desk study contained issues for the second phase of the evaluation;

    (ii) To invite comments from current Executive Committee members giving guidance on the terms of reference for the second phase, which could be made in a discussion group on the Multilateral Fund Secretariat website intersessionally up until 16 January 2012; and

    (iii) To request the Senior Monitoring and Evaluation Officer to consider the intersessional comments and to submit the terms of reference for the second phase to the 66th meeting of the Executive Committee.

(UNEP/OzL.Pro/ExCom/65/60, Decision 65/7 para 45)
(Supporting document: UNEP/OzL.Pro/ExCom/65/9).

The Sixty-sixth Meeting of the Executive Committee decided:

(a) To note the comments, observations and responses received on the desk study on the evaluation of multi-year agreement projects contained in document UNEP/OzL.Pro/ExCom/66/13; and

(b) To request the Senior Monitoring and Evaluation Officer, when preparing the final report of the evaluation, also to take into consideration those comments and observations on the desk study that had been received by the Secretariat by the 66th meeting of the Executive Committee.

(UNEP/OzL.Pro/ExCom/66/54, Decision 66/11 para 53)
(Supporting document: UNEP/OzL.Pro/ExCom/66/13).

The Sixty-sixth Meeting of the Executive Committee decided:

(a) To take note of the terms of reference for the evaluation of multi-year agreement (MYA) projects (second phase) presented in documents UNEP/OzL.Pro/ExCom/66/14 and Corr. 1; and

(b) To request the Senior Monitoring and Evaluation Officer to revise the terms of reference for the evaluation of MYA projects (second phase), taking into account the comments made by the Executive Committee members on the above documents, for consideration by the Committee at a future meeting.

(UNEP/OzL.Pro/ExCom/66/54, Decision 66/12 para 59)
(Supporting documents: UNEP/OzL.Pro/ExCom/66/14 and Corr.1).

The Sixty-seventh Meeting of the Executive Committee decided to note the terms of reference for the evaluation of the multi year agreement projects (second phase) presented in documents UNEP/OzL.Pro/ExCom/67/8 and Add.1.

(UNEP/OzL.Pro/ExCom/67/39, Decision 67/7 para 36)
(Supporting document: UNEP/OzL.Pro/ExCom/67/8).

FINAL EVALUATION REPORT ON MULTI-YEAR AGREEMENT PROJECTS

The Sixty-ninth Meeting of the Executive Committee decided:

(a) To note the final evaluation report on multi-year agreement projects as presented in document UNEP/OzL.Pro/ExCom/69/12; and

(b) To encourage the Senior Monitoring and Evaluation Officer, the Secretariat, the implementing agencies

and interested bilateral agencies to review experiences in assessing the results of activities in the refrigeration and air-conditioning servicing sectors with a view to developing an approach that could be used for future evaluations.

(UNEP/OzL.Pro/ExCom/69/40, Decision 69/11para 62)
(Supporting document: UNEP/OzL.Pro/ExCom/69/12).

DESK STUDY ON EVALUATION OF CHILLER PROJECTS

The Sixty-eighth Meeting of the Executive Committee decided:

(a) To take note of the information provided in the desk study on the evaluation of chiller projects as presented in documents UNEP/OzL.Pro/ExCom/68/10 and Add.1;

(b) To consider at its 71st meeting the need for a field evaluation of chiller projects in the context of the proposed 2014 monitoring and evaluation work programme;

(c) To request the Secretariat to prepare annually a report on the progress of ongoing chiller projects, highlighting key progress in implementation of activities, any further information on co-financing arrangements, information on ODS replaced and any energy efficiency gains achieved through chiller conversions, with the first annual report to be presented to the Executive Committee at its 71st meeting; and

(d) To request the implementing agencies to provide timely information to the Secretariat on the progress of chiller projects in order to enable it to prepare the annual reports requested under paragraph (c) above. This information could be provided in the context of the annual progress reports.

(UNEP/OzL.Pro/ExCom/68/53, Decision 68/8 para 54)
(Supporting documents: UNEP/OzL.Pro/ExCom/68/10 and Add.1).

The Eightieth Meeting of the Executive Committee decided:

(a) To note the final report on the evaluation of chiller projects contained in document UNEP/OzL.Pro/ExCom/80/9; and

(b) To invite the bilateral and implementing agencies to apply, when appropriate, the lessons learned from the key findings of the evaluation of chiller projects.

(UNEP/OzL.Pro/ExCom/80/59, Decision 80/7, para 46)
(Supporting document: UNEP/OzL.Pro/ExCom/80/9).

DESK STUDY ON THE EVALUATION OF THE PREPARATORY PHASE OF PHASING OUT HCFCs

The Sixty-ninth Meeting of the Executive Committee decided to approve the proposed terms of reference for the expanded desk study on the evaluation of the preparatory phase of phasing out HCFCs as contained in document UNEP/OzL.Pro/ExCom/69/13.

(UNEP/OzL.Pro/ExCom/69/40, Decision 69/12para 65)
(Supporting document: UNEP/OzL.Pro/ExCom/69/13).

At its Seventy-first Meeting, the Executive Committee decided to note the desk study on the evaluation of the preparatory phase of the phasing out of HCFCs and its recommendations contained in document UNEP/OzL.Pro/ExCom/71/14.

(UNEP/OzL.Pro/ExCom/71/25, Decision 71/25 para 98)
(Supporting document: UNEP/OzL.Pro/ExCom/71/14).

EVALUATION OF METERED-DOSE INHALER PROJECTS

The Seventy-first Meeting of the Executive Committee decided:

(a) To note the report on the evaluation of projects for the conversion of CFC based metered dose inhalers (MDI) to non-CFC technologies, contained in document UNEP/OzL.Pro/ExCom/71/15, as an interim report; and

(b) To request the Senior Monitoring and Evaluation Officer to visit two additional countries and to submit a final report, with, inter alia, an analysis of the technology issues surrounding the conversion to alternative technologies, the conclusions and lessons learned, to the Executive Committee at its 72nd meeting.

(UNEP/OzL.Pro/ExCom/71/64, Decision 71/26 para 100)
(Supporting document: UNEP/OzL.Pro/ExCom/71/15).

The Seventy-second Meeting of the Executive Committee decided to note the report on evaluation of projects for the conversion of CFC-based metered dose inhalers to CFC free technologies contained in document UNEP/OzL.Pro/ExCom/72/9.

(UNEP/OzL.Pro/ExCom/72/47, Decision 72/7 para 44)
(Supporting document: UNEP/OzL.Pro/ExCom/72/9).

EVALUATION OF THE PILOT DEMONSTRATION PROJECTS ON ODS DISPOSAL AND DESTRUCTION

The Seventy-fifth Meeting of the Executive Committee decided:

(c) To request the Senior Management and Evaluation Officer, when including the field study on ODS disposal in a future draft monitoring and evaluation work programme, to reassess the projects that were included, to provide an update on the status of implementation or completion of the projects and to take into account the comments made by the Executive Committee on the desk study and the terms of reference.
(UNEP/OzL.Pro/ExCom/75/85, decision 75/8, para.74(c)).
(Supporting document: UNEP/OzL.Pro/ExCom/75/10).

EVALUATION GUIDE

The Twenty-third Meeting of the Executive Committee decided:

(a) to take note of the Evaluation Guide and to delete the qualifications 'if requested' and 'if and when feasible' in the last two bullets of sections c) and d) in part V.C.3 of the Guide (see Annex XI.2);

(b) to recognize that the Guide was the first version of what was intended to be a dynamic document that would be revised by the Monitoring and Evaluation Officer in the light of experience with its use by countries and Implementing Agencies;

(c) to invite members of the Executive Committee to provide their comments on the Guide, and Implementing Agencies to continue to offer their advice on the subject in the light of their experience; and

(d) to request the Monitoring and Evaluation Officer, when appointed, to take such comments and advice into account in preparing future proposals for improvements and/or amendments to the Guide for the consideration of the Sub-Committee and to ensure that the impacts of evaluated projects were considered in the light of their impact on the sector as a whole at the national level.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/5, para. 17).
(Supporting document: UNEP/OzL.Pro/ExCom/23/4).

INDICATORS FOR THE EVALUATION OF THE PERFORMANCE OF THE IMPLEMENTING AGENCIES

The Twenty-second Meeting of the Executive Committee decided:

(a) that indicators for non-investment projects should include more outcome-focused indicators and that those for investment projects should be set out in absolute and relative terms;

(b) to approve the indicators in the document, on an interim basis for use in 1997, noting that there was potential for improvement in the indicators and that there would be an opportunity to consider the matter further at a later date;

(c) to take note of the concerns expressed regarding the need to evaluate the performance of all players, including the Secretariat, in the project approval and implementation process.
(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/18, para. 33).

Standard components on monitoring and evaluation in project proposals

The Twenty-third Meeting of the Executive Committee decided:

(a) that utilized capacity should be deleted from the fifth bullet under baseline data as the other criteria would be sufficient to allow effective monitoring and evaluation;

(b) that a ninth bullet should be added to the milestones, as follows:"the beginning of project activities at the country level as stated by the Article 5 Party concerned. Where possible, these activities should be listed.";

(c) that the Monitoring and Evaluation Officer should be requested to report and provide advice in the future on the effectiveness of this additional milestone;

(d) that the Secretariat should propose milestones for non-investment projects for consideration at a future meeting;

(e) that the submission of project completion reports should be included as a milestone;

(f) that the standard components proposed in Annex XI.3, as amended, should be included in investment project proposals as additional components.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/7, para. 20).
(Supporting document: UNEP/OzL.Pro/ExCom/23/6).

The Twenty-ninth Meeting of the Executive Committee decided to request the Senior Monitoring and Evaluation Officer to incorporate the destruction of ODS-based production machinery into the list of main evaluation issues.
(UNEP/OzL.Pro/ExCom/29/65, Decision 29/3, para. 19 (b)).

Milestones for non-investment projects

The Twenty-fourth Meeting of the Executive Committee decided to adopt the proposed milestones for non-investment projects for inclusion in future project proposals as presented in Annex XI.4.
(UNEP/OzL.Pro/ExCom/24/47, Decision 24/8, para. 26).
(Supporting document: UNEP/OzL.Pro/ExCom/24/12).

Concerning non-investment project performance indicators, the Twenty-fifth Meeting of the Executive Committee decided to request the Secretariat, in collaboration with the Implementing Agencies, to consider adding other non-investment project indicators concerning the assessment of the success of performance of such projects. In this regard, it was noted that UNEP had made extensive use of performance indicators and that this should be taken into account by the Secretariat in its discussions with Implementing Agencies concerning modifications to performance indicators.
(UNEP/OzL.Pro/ExCom/25/68, Decision 25/6, para. 28).

PROJECT COMPLETION REPORTS

Project completion reports for investment projects

The Twenty-third Meeting of the Executive Committee decided to adopt the format for project completion reports on investment projects, subject to the following provisions (Annex XI.5 as revised by Decisions 30/8 (a) and 32/18(a)):

(a) that the key project milestones should be included in the completion reports themselves;

(b) that the ODS phase-out should be related to national consumption/phase-out;

(c) that the relevant country should also be asked to endorse the report and space should be left for its comments;

(d) that the glossary of terms in Appendix III to the "Format of Project Completion Reports" should be appended to the reports for information purposes but that it should not be formally approved;

(e) that the Implementing Agencies should be encouraged to describe the lessons learned from a project and therefore their statements in this regard should not be qualified as "brief";

(f) that reference should be made to "local executing agency/financial intermediary", rather than "local executing agency", and that this term should be defined in the glossary;

(g) that the Monitoring and Evaluation Officer should develop criteria for the section on overall assessment of the project and that these should be used by all Implementing Agencies;

(h) that the Executive Committee should approve the foregoing criteria in order to ensure that the assessment process was open and transparent;

(i) that reports should be submitted within a maximum period of six months after completion of the project on the basis of provisional financial figures, on the understanding that final financial figures would be prepared by the Implementing Agencies subsequently and that, if the final financial figures differed significantly from the completion report, they could subsequently be brought to the Executive Committee's attention;

(j) that the Monitoring and Evaluation Officer should submit a consolidated report to the Executive Committee at its third meeting each year, and should submit a status report to other meetings of the Executive Committee indicating the number of investment project completion reports received;

(k) that in 1998 Implementing Agencies should submit their investment project completion reports on projects completed through 1995, together with reports on projects completed in 1996 and 1997, in time for the Executive Committee to receive a first consolidated report at its second meeting in 1998, while the report

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to be submitted to the third meeting of the Executive Committee in 1998 would cover completion reports on projects completed by the end of 1996.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/8, para. 21).
(UNEP/OzL.Pro/ExCom/30/41, Decision 30/8, para. 25(a)).
(UNEP/OzL.Pro/ExCom/32/44, Decision 32/18, para. 29(a)).
(Supporting document: UNEP/OzL.Pro/ExCom/30/7).
(Supporting document: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).

The Twenty-fifth Meeting of the Executive Committee decided:

(a) to request the Secretariat to develop operational guidelines to ensure that in the future project completion reports were prepared in a consistent manner by all Implementing Agencies;

(b) to request UNDP to submit copies of its project completion reports as soon as possible.
(UNEP/OzL.Pro/ExCom/25/68, Decision 25/11, para. 33).

The Thirtieth Meeting of the Executive Committee decided:

(a) to approve the revised PCR format for investment projects (Annex XI.5);

(b) to take note of the proposed revised overall assessment scheme for investment projects (Appendix to Annex I to UNEP/OzL.Pro/ExCom/30/7);

(c) to agree on the principle of a quantification and the three indicators proposed (ODS phase-out, cost and implementation delays) (Appendix to Annex I to UNEP/OzL.Pro/ExCom/30/7);

(d) to request that the Senior Monitoring and Evaluation Officer, in association with the Implementing Agencies, continue refining the content and wording of the assessment scheme and report on the results to the Thirty-second Meeting of the Executive Committee;

(e) to request the Senior Monitoring and Evaluation Officer to continue dialogue with the Implementing Agencies and National Ozone Units, including through the use of network meetings, on the suggested format for terminal reports and extension requests for institutional strengthening projects, to see how the process could be further streamlined and how the work could be divided between the Implementing Agencies and the National Ozone Units so that there would be no additional burden on the National Ozone Units;

(f) to request the Senior Monitoring and Evaluation Officer to indicate the differences between existing report formats and proposed formats so that members of the Sub-Committee on Monitoring and Evaluation and Finance might compare the work involved in completing each version of the reports;

(g) to request that future proposals for country programme updates be accompanied by an assessment of the results achieved under the approved country programme.
(UNEP/OzL.Pro/ExCom/30/41, Decision 30/8, para. 25 (a)).
(Supporting document: UNEP/OzL.Pro/ExCom/30/7).

Project completion reports for non-investment projects

The Twenty-third Meeting of the Executive Committee also decided:

(a) to request the Secretariat and the Implementing Agencies to work as quickly as possible to agree on the format of the project completion reports for non-investment projects so that they could be reviewed at the Sub-Committee's fourth meeting;

(b) to request the Implementing Agencies, once the formats had been agreed, to give initial priority to preparing completion reports in the refrigeration and foam sectors.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/2, para. 20).

Regarding the format for project completion reports for non-investment projects, the Twenty-third Meeting of the Executive Committee decided to invite Committee members to provide suggestions in writing and to request the Secretariat to work with Implementing Agencies to develop the format for submission to the fourth meeting of the Sub-Committee on Monitoring, Evaluation and Finance.
(UNEP/OzL.Pro/ExCom/23/68, Decision 23/9, para. 22).

The Twenty-fourth Meeting of the Executive Committee decided:

(a) to approve the Format for Project Completion Report (Non-investment Projects), as presented in Annex XI.6;

(b) that a project completion report should be submitted six (6) months after the completion of the project; and

(c) that the time schedule specified in Decision 23/8(k) for submitting completion reports for investment projects should also apply to non-investment projects, with an interval of three months to enable Implementing Agencies to prepare to use the new format.
(UNEP/OzL.Pro/ExCom/24/47, Decision 24/9, para. 27).
(Supporting document: UNEP/OzL.Pro/ExCom/24/13).

Consolidated project completion reports

The Twenty-sixth Meeting of the Executive Committee took note of the consolidated progress report while recognizing that it was an initial report, to be updated, in a periodic report series and decided that, in the preparation of subsequent consolidated reports, the new Senior Evaluation Officer should ensure better consultation with the parties concerned, with a view to resolving any issues outstanding from the review of the project completion reports.
(UNEP/OzL.Pro/ExCom/26/70, Decision 26/11, para. 27).

The Twenty-ninth Meeting of the Executive Committee decided:

(a) to take note of the schedules prepared by the Implementing Agencies to deal with the backlog of project completion reports, as contained in Annex XI.7 to the present report;

(b) to request the Secretariat to prepare, for the third Meeting of the Executive Committee in the year 2000, a report on the Implementing Agencies' compliance with the schedules for submission of project completion reports and on the practicalities and the legal aspects of withholding a part of the administrative costs for a project until such time as the project completion report, including the final financial data, has been submitted;

(c) to note that, where a project was approved before 1995, the project completion report should include only the basic information required, tied to the original project proposal. For projects approved after 1995, an effort should be made to improve the quality of information contained in the project completion reports;

(d) that, where a project completion report has been submitted to a national ozone unit or Government for comments and no response has been received after a period of one month, the Implementing Agency should submit the project completion report to the Secretariat, with the clear notation that it has not been approved by the national ozone unit or the Government concerned. The Implementing Agency should also inform the relevant Government that the project completion report has been submitted to the Secretariat and should invite the Government to comment on the project completion report, as appropriate;

(e) that information covering the ongoing UNEP activities should be included within the framework of the annual progress report;

(f) to request the Senior Monitoring and Evaluation Officer to organize a workshop, bringing together the Implementing Agencies and the Secretariat, to discuss and finalize elements to be included in a revised project completion report format, including the issue of improving the quality of information contained therein. With regard to institutional strengthening projects, the workshop would examine the question of merging the project completion report and terminal report into a new template to be used for project extension. At this workshop, reporting related to country programmes will also be discussed, taking into account the need for information on the past country programmes in the context of preparing updated country programmes. A report on the outcome of the workshop should be submitted to the Executive Committee at its Thirtieth Meeting;

(g) to note that, for institutional strengthening projects, project completion reports should still be submitted to the Senior Monitoring and Evaluation Officer only in cases where there were no requests for extension;

(h) that information required on the completion of country programmes should be included within the framework of the agencies' annual progress reports;

(i) to note that no project completion reports were requested for project preparation projects. Instead, the Senior Monitoring and Evaluation Officer will send a questionnaire to the Implementing Agencies to obtain information on project preparation for projects included in the sample of projects to be evaluated.
(UNEP/OzL.Pro/ExCom/29/65, Decision 29/3, para. 21).

The Thirty-second Meeting of the Executive Committee decided:

(b) to endorse the new overall assessment scheme (Annex XI.8) contained in section 2 of the Project Completion Report format, which will be used from 1 January 2001 onwards;

(c) to take note of the schedule for submission of outstanding Project Completion Reports in 2001 (Annex XI.9);

(d) authorize Implementing Agencies to withhold part of funding until such time as proof of equipment destruction has been provided according to the guidelines being finalized by the Secretariat in consultation with the Implementing Agencies and the company has also submitted to the Implementing Agency the necessary data to prepare a project completion report of good quality.
(UNEP/OzL.Pro/ExCom/32/44, Decision 32/18, para. 29 (b-d)).
(Supporting document: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).

The Thirty-fifth Meeting of the Executive Committee decided:

(a) to take note of the report on the implementation of the monitoring and evaluation work programme for the year 2001 and the schedule for submission of project completion reports due in 2002 contained in document UNEP/OzL.Pro/ExCom/35/11;

(b) with a view to improving the quality of project completion reports:

(i) to request the Implementing Agencies to report to the 38th Meeting of the Executive Committee on measures taken to improve submission of data for project completion reports from beneficiary companies, in particular on experiences with withholding part of project funds until such data had been delivered and proof of equipment destruction had been provided in accordance with Decision 32/18;

(ii) also to request the Implementing Agencies to specify in the project documents the list of equipment to be destroyed and the modalities for such destruction, including the certification, as well as the data required for the project completion reports;

(iii) further to request the Implementing Agencies to ensure consistency of data reported in the project completion reports and the annual progress reports.
(UNEP/OzL.Pro/ExCom/35/67, Decision 35/8, para. 34).
(Supporting document: UNEP/OzL.Pro/ExCom/35/11).

The Thirty-eighth Meeting of the Executive Committee decided:

(a) to take note of the consolidated project completion report (UNEP/OzL.Pro/ExCom/38/7 and Add.1), including the schedule for submission of project completion reports (PCRs) due in 2003;

(b) to request the Implementing Agencies, in co-operation with the Multilateral Fund Secretariat, to establish by the end of March 2003 full consistency of data reported in the PCRs, the Inventory of Approved Projects, and the Annual Progress Reports;

(c) also to request the Implementing Agencies to provide final financial figures on actual expenditures of financially completed projects for projects that were to be evaluated, as required by the Senior Monitoring and Evaluation Officer, instead of updating all PCRs;

(d) to encourage the Implementing Agencies to provide in future project completion reports insight into the project history, the problems encountered and resolved, and the lessons learned in the process leading to a substantive analysis of projects.
(UNEP/OzL.Pro/ExCom/38/70/Rev.1, Decision 38/4, para. 35).

The Forty-first Meeting of the Executive Committee decided:

(a) to take note of the 2003 consolidated project completion report, as contained in document UNEP/OzL.Pro/ExCom/41/8 and Add.1, including the schedule for submission of project completion reports due;

(b) to request the World Bank, in cooperation with the Fund Secretariat, to establish full consistency of data reported in the project completion reports, in the inventory and in the annual progress reports by the end of January 2004;

(c) also to request UNDP and the World Bank to provide the information still missing in a number of project completion reports by the end of January 2004;

(d) to urge Implementing Agencies to continue to improve their descriptive assessments of completed projects

in project completion reports, while at the same time ensuring that each assessment contained useful information specific to the project that was the subject of the report; and

(e) to request the Senior Monitoring and Evaluation Officer to provide the Executive Committee with information compiled on the lessons learned from project completion reports.
(UNEP/OzL.Pro/ExCom/41/87, Decision 41/6, para. 37).
(Supporting document: UNEP/OzL.Pro/ExCom/41/8 and Add.1).

2004 consolidated project completion report

The Forty-fourth Meeting of the Executive Committee decided:

(a) to take note of the 2004 consolidated project completion report, as contained in documents UNEP/OzL.Pro/ExCom/44/11 and Add.1, including the schedule for submission of project completion reports due;

(b) to request bilateral agencies concerned to make all necessary efforts and to request Implementing Agencies:

(i) to establish by the end of January 2005, in cooperation with the Fund Secretariat, full consistency of data reported in the project completion reports, in the Inventory of approved projects and in the annual progress reports;

(ii) to provide, by the end of January 2005, the information still missing in a number of project completion reports;

(iii) to clear the backlog of project completion reports for projects completed before the end of 2000 by the end of January 2005; and

(c) to urge UNDP and the World Bank to make all necessary efforts to deliver the project completion reports still scheduled to be provided in 2004.
(UNEP/OzL.Pro/ExCom/44/73, Decision 44/9, para. 67).
(Supporting document: UNEP/OzL.Pro/ExCom/44/11 and Add.1).

2005 consolidated project completion report

The Forty-seventh Meeting of the Executive Committee decided:

(a) to take note of the 2005 consolidated project completion report contained in documents UNEP/OzL.Pro/ExCom/47/8 and Add.1, including the schedule for submission of project completion reports (PCRs) due;

(b) to request implementing and bilateral agencies concerned:

(i) to establish by the end of January 2006, in cooperation with the Multilateral Fund Secretariat, full consistency of data reported in the PCRs, in the Inventory and in the Annual Progress Reports;

(ii) to provide, by the end of January 2006, the information still missing in a number of PCRs;

(iii) to clear the backlog of PCRs for projects completed before the end of 2002 by the end of January 2006;

(iv) to provide information as to why PCRs had not been submitted;

(c) to urge the World Bank to make all necessary efforts to deliver the PCRs still scheduled to be provided in 2005; and

(d) to request that the Senior Monitoring and Evaluation Officer, in cooperation with the implementing agencies, develop guidelines for PCR reporting of non investment projects, with particular attention to improving the "lessons learned" component, and prepare a short report containing concrete recommendations on how to make best use of those lessons, to be reviewed by the Executive Committee at its 48th Meeting.
(UNEP/OzL.Pro/ExCom/47/61, Decision 47/6, para. 39).
(Supporting document: UNEP/OzL.Pro/ExCom/47/8 and Add.1).

The Forty-eighth Meeting of the Executive Committee decided:

(a) to take note of the report on issues related to project completion reports (follow up to decision 47/6) as presented in document UNEP/OzL.Pro/ExCom/48/14 and Add.1;

(b) to request:

(i) bilateral and multilateral implementing agencies to incorporate project completion report data collection and reporting obligations into contracts with their consultants and the beneficiary enterprises or institutions, as appropriate, so as to ensure that all required project completion report data were provided to the agency on time and with the information required;

(ii) UNEP to ensure that, whenever appropriate, representatives from industry and other stakeholders were invited to regional network meetings to address relevant lessons learned on technology transfer and development of substitute technologies as a means of exchanging information and expertise;

(iii) Implementing Agencies:

a. to disseminate information on local/national equipment manufacturers in some Article 5 countries that produced equipment suitable for small- and medium-sized enterprises at competitive prices;

b. to consider carefully socio-cultural, political and administrative differences between participating countries when preparing regional projects in order to avoid delays, and to encourage where possible the exchange of ideas and experiences rather than regional projects;

c. to ensure that the financial and market implications of conversion projects were appropriately planned for, and to consider mitigating measures where necessary;

d. to ensure that beneficiary enterprises fully understood all project implementation procedures and costs, and to agree with them, where appropriate, on specific completion deadlines for complementary activities such as installation of additional new equipment or construction of buildings for site relocation;

e. to include lessons learned in the progress reports of annual implementation programmes, given that multi-year projects were currently the main modalities for project implementation; and

(iv) the Senior Monitoring and Evaluation Officer to include such lessons learned in the consolidated project completion report in addition to those reported in project completion reports.

(UNEP/OzL.Pro/ExCom/48/45, Decision 48/12, para. 83).
(Supporting document: UNEP/OzL.Pro/ExCom/48/14 and Add.1).

2006 consolidated project completion report

The Fiftieth Meeting of the Executive Committee decided:

(a) to take note of the 2006 consolidated project completion report (UNEP/OzL.Pro/ExCom/50/10 and Add.1) including the schedule for submission of PCRs due and the lessons learned in Annex II to the same document;

(b) to request the implementing and bilateral agencies concerned:

(i) to establish, by the end of January 2007 and in cooperation with the Multilateral Fund Secretariat, full consistency of data reported in the PCRs, in the inventory of approved projects database and in the annual progress reports;

(ii) to provide, by the end of January 2007, the information still missing in a number of PCRs;

(iii) to clear the backlog of PCRs for projects completed before the end of 2004 by the end of January 2007; and

(c) to invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned drawn from PCRs and annual reports on the implementation of multi-year agreements when preparing and implementing projects, and to facilitate discussion on lessons learned during regional network meetings.

(UNEP/OzL.Pro/ExCom/50/62,Decision 50/8 para. 60).
(Supporting document: UNEP/OzL.Pro/ExCom/50/10 and Add.1).

2007 consolidated project completion report

The Fifty-third Meeting of the Executive Committee decided:

(a) to take note of the 2007 consolidated project completion report, including the schedule for submission of project completion reports (PCRs) due and the lessons learned in Annex II to document UNEP/OzL.Pro/ExCom/53/9;

(b) to request implementing and bilateral agencies concerned:

(i) in cooperation with the Multilateral Fund Secretariat, to establish full consistency of data reported in the PCRs in the inventory and in the annual progress reports by the end of January 2008;

(ii) to provide the information still missing in a number of PCRs by the end of January 2008; and

(iii) to clear the backlog of PCRs for projects completed before the end of 2005 by the end of January 2008.

(UNEP/OzL.Pro/ExCom/53/67,Decision 53/6 para. 52).
(Supporting document: UNEP/OzL.Pro/ExCom/53/9).

2008 consolidated project completion report

The Fifty-sixth Meeting of the Executive Committee decided:

(a) to take note of the 2008 consolidated project completion report contained in documents UNEP/OzL.Pro/ExCom/56/9 and Add.1, including the schedule for submission of project completion reports (PCRs) due and the lessons learnt;

(b) to request the implementing agencies and bilateral agencies concerned:

(i) to establish by the end of January 2009, in cooperation with the Multilateral Fund Secretariat, full consistency of data reported in the PCRs in the inventory of approved projects and in the annual progress reports;

(ii) to provide the information still missing in a number of PCRs by the end of January 2009;

(iii) to clear the backlog of PCRs on projects completed before the end of 2006 by the end of January 2009; and

(c) to invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/56/64, Decision 56/7 para 50)
(Supporting document: UNEP/OzL.Pro/ExCom/56/9 and Add.1).

2009 consolidated project completion report

The Fifty-sixth Meeting of the Executive Committee decided:

(a) To take note of the 2009 consolidated project completion report, including the schedule for submission of project completion reports (PCRs) due and the lessons learned contained in Annex II to document UNEP/OzL.Pro/ExCom/59/8;

(b) To request the implementing agencies and bilateral agencies concerned:

(i) In cooperation with the Fund Secretariat, to establish full consistency of data reported in the PCRs in the inventory and in the annual progress reports by the end of January 2010;

(ii) To provide the information still missing in a number of PCRs by the end of January 2010;

(iii) To clear the backlog of PCRs on projects completed before the end of 2006 by the end of January 2010;

(c) To request that the Senior Monitoring and Evaluation Officer, when recruited, address the issue of development of a completion report format for completed multi-year agreement projects as a matter of priority; and

(d) To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/59/59, Decision 59/6 para 42)
(Supporting document: UNEP/OzL.Pro/ExCom/59/8 and Add.1).

2010 consolidated project completion report

The Sixty-second Meeting of the Executive Committee decided:

(a) To note the 2010 consolidated project completion report contained in documents UNEP/OzL.Pro/ExCom/62/8 and Add.1, including the schedule for submission of project completion reports (PCRs) due and the lessons learned in Annex II to document UNEP/OzL.Pro/ExCom/62/8;

(b) To request the bilateral and implementing agencies concerned:

(i) To establish by the end of January 2011, in cooperation with the Fund Secretariat, full consistency of data reported in the PCRs in the inventory of approved projects and in the annual progress reports;

(ii) To provide the information still missing in a number of PCRs by the end of January 2011;

(iii) To clear the backlog of PCRs on projects completed before the end of 2006 by the end of January 2011;

(c) To request the Senior Monitoring and Evaluation Officer to address the issue of development of a completion report format for completed multi-year projects as a matter of priority and to inform the 65th meeting of the Executive Committee on progress; and

(d) To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/62/62, Decision 62/6 para 31)
(Supporting documents: UNEP/OzL.Pro/ExCom/62/8 and Add.1).

2011 consolidated project completion report

The Sixty-fifth Meeting of the Executive Committee decided:

(a) To note the 2011 consolidated project completion report (PCR), including the schedule for submission of PCRs due and the lessons learned, as presented in Annex II to document UNEP/OzL.Pro/ExCom/65/7;

(b) To request the implementing agencies and bilateral agencies concerned:

(i) To establish, by mid-February 2012, in cooperation with the Multilateral Fund Secretariat, full consistency of data reported in the PCRs in the inventory and in the annual progress reports;

(ii) To provide, by mid-February 2012, the information still missing in a number of PCRs;

(iii) To clear, by mid-February 2012, the backlog of PCRs on projects completed before the end of 2006; and

(c)To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects

(UNEP/OzL.Pro/ExCom/65/60, Decision 65/5 para 37)
(Supporting documents: UNEP/OzL.Pro/ExCom/65/7 and Add.1).

2012 consolidated project completion report

The Sixty-eighth Meeting of the Executive Committee decided:

(a) To take note of the 2012 consolidated project completion report (PCR), including the schedule for submission of PCRs due and the lessons learned in Annex II to document UNEP/OzL.Pro/ExCom/68/7;

(b) To request bilateral and implementing agencies concerned, by the end of January 2013:

(i) To establish full consistency of data reported in the PCRs in the inventory of approved projects database and in the annual progress reports, in cooperation with the Secretariat;

(ii) To provide the information still missing in a number of PCRs;

(iii) To clear the backlog of PCRs on projects completed before the end of 2006; and

(c) To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/68/53, Decision 68/5 para 40)

(Supporting document: UNEP/OzL.Pro/ExCom/68/7).

2013 consolidated project completion report

The Seventy-first Meeting of the Executive Committee decided:

(a) To take note of the 2013 consolidated Project Completion Report (PCR) contained in document UNEP/OzL.Pro/ExCom/71/13, including the schedule for submission of PCRs due and the lessons learned;

(b) To request the bilateral and implementing agencies concerned:

(i) To establish by the end of January 2014, in cooperation with the Secretariat, full consistency of data reported in the PCRs in the Inventory of approved projects and in the annual progress reports;

(ii) To provide to the Secretariat by the end of January 2014 the information still missing in a number of PCRs;

(iii) To clear by the end of January 2014 the backlog of PCRs on projects completed before the end of 2006; and

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(c) To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/71/64, Decision 71/24 para 94)
(Supporting document: UNEP/OzL.Pro/ExCom/71/13).

2014 consolidated project completion report

The Seventy-third Meeting of the Executive Committee decided:

(a) To note the 2014 consolidated project completion report (PCR) contained in document UNEP/OzL.Pro/ExCom/73/7, including the schedule for submission of the PCRs due and the lessons learned;

(b) To request the World Bank:

(i)   To ensure that, by the end of December 2014, the PCR data in the Inventory of approved projects and in the annual progress reports were fully consistent;

(ii) To provide the Secretariat, by the end of December 2014, with the information still missing in a number of PCRs;

(iii) To clear, by the end of December 2014, the backlog of PCRs on projects;

(c) To request bilateral and implementing agencies to submit outstanding PCRs in line with decisions 23/8 and 24/9; and

(d) To invite all those involved in the preparation and implementation of projects to take into consideration the lessons learned drawn from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/73/62, Decision 73/5 para.38).

(Supporting document: UNEP/OzL.Pro/ExCom/73/7)

2015 consolidated project completion report

The Seventy-fourth Meeting of the Executive Committee decided:

(a) To note the 2015 consolidated project completion reports (PCRs) contained in document UNEP/OzL.Pro/ExCom/74/7;

(b) To urge implementing agencies to submit to the 75th meeting the backlog of PCRs for multi year agreements (MYAs) and individual projects as listed in Tables 5 and 10, respectively, of document UNEP/OzL.Pro/ExCom/74/7, and if the PCRs due were not submitted, to provide the reasons for not doing so and the schedule for submission; and

(c) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/74/56, Decision 74/5 para.43).

(Supporting document: UNEP/OzL.Pro/ExCom/74/7).

The Seventy-fifth Meeting of the Executive Committee decided:

(a) To take note of the 2015 consolidated project completion report (PCR) contained in document UNEP/OzL.Pro/ExCom/75/7;

(b) To urge bilateral and implementing agencies to submit to the 76th meeting the backlog of PCRs for multi-year agreements (MYAs) and individual projects as contained in Tables 3 and 7, respectively, of document UNEP/OzL.Pro/ExCom/75/7, and if the PCRs due were not submitted, to provide the reasons for not doing so, along with the schedule for submission;

(c) To urge cooperating implementing agencies to complete their portion of PCRs to allow the lead implementing agency to submit them according to the schedule;

(d) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learnt from PCRs when preparing and implementing future projects;

(e) To approve the PCR format for HCFC phase-out management plan contained in Annex III to the present report; and

(f) To request the Senior Monitoring and Evaluation Officer to further develop the pilot application for

searching for and extracting information on lessons learnt in PCRs to cover all the PCRs considered by the Executive Committee, and to report back to the 76th meeting.

(UNEP/OzL.Pro/ExCom/75/85, Decision 75/5 para. 47).

(Supporting document: UNEP/OzL.Pro/ExCom/75/7).

2016 consolidated project completion report

The Seventy-sixth meeting of the Executive Committee decided:

(a) To take note of the 2016 consolidated project completion reports (PCRs) contained in documents UNEP/OzL.Pro/ExCom/76/7 and Corr.1;

(b) To urge bilateral and implementing agencies to submit to the 77th meeting the backlog of PCRs for multi-year agreements (MYAs) and individual projects, and, if the PCRs due were not submitted, to provide the reasons for not doing so and the schedule for submission;

(c) To urge cooperating implementing agencies to complete their portions of PCRs to allow the lead implementing agency to submit them according to the schedule;

(d) To urge bilateral and implementing agencies to enter clear, well written and thorough lessons learned when submitting their PCRs, as they would appear in their submitted form in the database of lessons learned; and

(e) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learnt from PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/76/66, Decision 76/5, para 42)
(Supporting document: UNEP/OzL.Pro/ExCom/76/7 and Corr.1).

The Seventy-seventh meeting of the Executive Committee decided:

 (a) To take note of the 2016 consolidated project completion report (PCR) contained in document UNEP/OzL.Pro/ExCom/77/7;
(b) To urge bilateral and implementing agencies to submit to the 79th meeting PCRs for multi-year agreements (MYAs) and individual projects that were due, and if they did not, to provide the reasons for not doing so and the schedule for submission;
(c) To urge cooperating implementing agencies to complete their portions of PCRs to allow the lead implementing agency to submit them according to the schedule;
(d) To urge bilateral and implementing agencies to enter clear, well written and thorough lessons learned when submitting their PCRs; and
(e) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learned from PCRs when preparing and implementing future projects.
UNEP/OzL.Pro/ExCom/77/76, Decision 77/4, para33(a)-(e))
(Supporting document: UNEP/OzL.Pro/ExCom/77/7).

2017 consolidated project completion report

The Seventy–ninth Meeting of the Executive Committee decided:

(a) To note the 2017 consolidated project completion report (PCR) contained in document UNEP/OzL.Pro/ExCom/79/15;
(b) To urge bilateral and implementing agencies to submit to the 80th meeting PCRs for multi year agreements (MYAs) and individual projects that were due, and if they were not going to submit, to provide the reasons for not doing so and the schedule for submission;
(c) To urge lead and cooperating agencies to closely coordinate their work in finalizing their portions of PCRs to allow the lead implementing agency to submit the finished PCRs according on schedule;
(d) To urge bilateral and implementing agencies to enter clear, well written and thorough lessons learned when submitting their PCRs; and
(e) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learned from PCRs, if relevant, when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/79/51, Decision 79/21, para 78)

(Supporting document: UNEP/OzL.Pro/ExCom/79/15).

The Eightieth Meeting of the Executive Committee decided:

(a) To note the 2017 consolidated project completion report (PCR) contained in document UNEP/OzL.Pro/ExCom/80/13;

(b) To urge bilateral and implementing agencies to submit to the 81st meeting the PCRs for multi year agreements (MYAs) and individual projects that were due, and if they were not going to submit them, to provide the reasons for not doing so and the schedule for submission;

(c) To urge lead and cooperating agencies to closely coordinate their work in finalizing their portion of PCRs to allow the lead implementing agency to submit the completed PCRs according to schedule;

(d) To urge bilateral and implementing agencies to enter clear, well written and thorough lessons when submitting their PCRs; and

(e) To invite all those involved in the preparation and implementation of MYAs and individual projects to take into consideration the lessons learned from PCRs, if relevant, when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/80/59, Decision 80/32, para 105)
(Supporting document: UNEP/OzL.Pro/ExCom/80/13).

Multi-year agreement project completion report

The Sixty-fifth Meeting of the Executive Committee decided to take note of the multi-year agreement project completion report format as presented in document UNEP/OzL.Pro/ExCom/65/8, together with the comments made by members of the Executive Committee.

(UNEP/OzL.Pro/ExCom/65/60, Decision 65/6 para 41)

(Supporting document: UNEP/OzL.Pro/ExCom/65/8).

The Sixty-eighth Meeting of the Executive Committee decided:

(a) To take note of the information provided in document UNEP/OzL.Pro/ExCom/68/8; and

(b) To request bilateral and implementing agencies to submit the multi-year agreement project completion reports to the second meeting of the Executive Committee each year.

(UNEP/OzL.Pro/ExCom/68/53, Decision 68/6 para 43)
(Supporting document: UNEP/OzL.Pro/ExCom/68/8).

The Seventieth Meeting of the Executive Committee decided:

(a) To take note of the information provided in document UNEP/OzL.Pro/ExCom/70/8 regarding the consolidated multi-year agreement (MYA) project completion report;

(b) To request bilateral and implementing agencies:

   (i) To provide an exhaustive submission schedule for project completion reports for MYAs due to the Secretariat; and

   (ii) To submit their respective project completion reports for MYAs according to that schedule.

(UNEP/OzL.Pro/ExCom/70/59, Decision 70/5 para 45)
(Supporting document: UNEP/OzL.Pro/ExCom/70/8).

The Seventy-second Meeting of the Executive Committee decided:

(a) To take note of the 2014 consolidated project completion report (PCR) of multi year agreements (MYA) contained in document UNEP/OzL.Pro/ExCom/72/7;

(b) To request bilateral and implementing agencies concerned to submit to the 73rd meeting the backlog of MYA PCRs, as contained in Table 1 of document UNEP/OzL.Pro/ExCom/72/7; and

(c) To invite all those involved in the preparation and implementation of MYA projects to take into consideration the lessons learned from MYA PCRs when preparing and implementing future projects.

(UNEP/OzL.Pro/ExCom/72/47, Decision 72/5 para 38)
(Supporting document: UNEP/OzL.Pro/ExCom/72/7).

- From the 74th meeting, see the heading Project completion report.

ANNEX XI.1: WORK PROGRAMME AND WORK PLAN ON MONITORING AND EVALUATION OF THE MULTILATERAL FUND FOR A TWELVE-MONTH PERIOD BETWEEN 1997 - 1998

A. DELIVERABLES

Deliverable 1: **Action oriented indicators for monitoring project progress**

Justification: UNEP/OzL.Pro/ExCom/21/36, para. 51(d), decision 21/36

Date of completion: 4 months upon approval of the work programme

Brief description of the final product:

This emanates from one of the recommendations of the Consultant's report. Since a project monitoring system provides continuous supervision over the entire process of project implementation, it should have a number of signposts, or milestones, identified along the way which can assist management to easily track the movement of the project. If these signposts could be carefully chosen to be associated with a responsible party involved in the process that will facilitate identification of any hold-up and adoption of remedial action to be taken.

Currently, the existing reporting system has a number of indicators which focus the tracking on the commencement and the completion dates of a project, while what happens in between the two end points is hard to track.

The proposed modifications are to reduce the existing number of indicators, but add a few action-oriented signposts as discussed earlier. This will enhance the effective in-process supervision over the project implementation and facilitate identification of strategic remedial actions by the Executive Committee.

Deliverable 2: **A set of performance indicators for non-investment projects**

Justification: Recommendation from the Consultant (UNEP/OzL.Pro/ExCom/21/30).

Date of completion: 4 months upon approval of the work programme

Brief description of the final product:

The existing progress reporting system does not adequately monitor non-investment projects. This is mainly due to the absence of good indicators which can effectively track the movement of these projects. These projects cover country programmes, institutional strengthening, training, networking, information clearing-house and others. Since most of these projects do not result in direct ODS phase-out, the indicators to measure their performance have to respond to the specific nature of these activities and, at the same time, render them accountable to management supervision. The deliverable should define these indicators and suggest how best they may be applied.

Deliverable 3: **Reports of a select number of evaluations, as proposed in the annual work plan of evaluations**

Justification: UNEP/OzL.Pro/ExCom/21/36, para. 51(b), decision 21/36

Date of Completion: 12 months upon approval of the work programme

Brief description of the final product:

In recognition of the desire of the Executive Committee to start off with project evaluations, a draft work plan on evaluations is proposed. The work plan of evaluations is prepared on the basis of the various options, as proposed in the Consultant's report (UNEP/OzL.Pro/ExCom/21/30).

The work plan is intended as a pilot scheme to carry out a select number of evaluations. The deliverables will be the reports on the evaluations carried out by consultants according to this work plan. Those reports should provide the Executive Committee with the opportunity to assess the usefulness of the evaluations both in terms of the modality and the substance of such an exercise for future benefits.

Deliverable 4: **Formats for project completion reports for investment and non-investment projects**

Justification: UNEP/OzL.Pro/ExCom/21/36, para. 51(e), decision 21/36).

Date of Completion: 3 months upon approval of the work programme

Brief description of the final product:

Project completion reports will be the building blocks for project/programme evaluations. In view of the cost

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involved, project level evaluations will be carried out only on a very selective basis or with a very specific mandate, and the focus of evaluations will be at programmatic level (sector, substance, thematic, etc.). For the majority of projects, project completion reports would serve as the project evaluation reports. Therefore, the content of the project completion report will be crucial for management oversight.

The final product should include:

Key reporting criteria defined, in lieu of the baseline data;
Reporting formats for investment and non-investment projects;
Recording of lessons learned;
A success rating system;
A draft directive to be adopted by the Executive Committee to implement the formats.

Deliverable 5:	**A proposal for standardized component on monitoring and evaluation in project proposals**
Justification:	UNEP/OzL.Pro/ExCom/21/36, para. 51(e), decision 21/36
Date of completion:	3 months upon approval of the work programme

Brief description of the final product:

The effectiveness of project monitoring and evaluation depends on availability and accuracy of baseline data (e.g., ODS consumption, existing equipment and their capacity, etc.), because the latter provides a point of reference for measuring success of the project in achieving its objectives, and providing management with lessons learned for future benefit. This baseline data should be included in the project proposal for future evaluation. Looking from the end point, what is going to be evaluated in the project completion report should be present in the project proposal as the baseline data.

The final deliverable should include:

Categories of baseline data;
Forms of presentation;
A schedule of monitoring and evaluation, with dates for completion and major milestones for monitoring.

Inputs needed

In order to produce the above deliverables, estimates of inputs needed are made on the basis of tasks to be accomplished under each deliverable. The input requirements are shown in person/months in two categories, internal and external, because, depending on the nature of the task and the expertise required, the inputs may be provided by the Secretariat[1] (internal) or by the consultant (external).

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[1] Estimates of additional staff time required.

INPUTS NEEDED

DELIVERABLE	INTERNAL		EXTERNAL	
	Task to be performed	Inputs Needed (in person months)	Task to be performed	Inputs Needed (in person months)
Action oriented indicators for monitoring project progress	1. Preparation of TOR. 2. Consult with IAs/ExCom. 3. Recruitment of consultant. 4. Management of the consultant. 5. Introduce and implement the new system.	1.5 p/m (for Tasks 1-5)	6. Overhaul the existing reporting system. 7. Propose reductions of redundant indicators and new milestones for action-oriented monitoring. 8. Propose revised reporting format incorporating the changes. 9. Propose an implementation schedule.	1 p/m (for Tasks 6-9)
A set of performance indicators for non-investment projects	1. Preparation of TOR. 2. Recruit and manage the consultant. 3. Consult with the Implementing Agencies. 4. Introduce and implement the indicators.	1.5 p/m (for Tasks 1-4)	5. Propose performance indicators for country programmes, institutional strengthening, training, networking, information clearing-house. 6. Propose reporting format for application of performance indicators. 7. Propose an implementation schedule.	2 p/m
Reports of a select number of evaluations	1. Preparation of TOR for work plan of evaluations 2. Recruit & manage consultant's work. 3. Prepare TOR for each evaluation. 4. Recruit and brief consultant. 5. Coordinate with members of evaluation team. 6. Participate (if necessary) in some of the evaluations. 7. Supervise the production of the evaluation reports. 8. Prepare the synthesis report of all the evaluations.	6 p/m (for Tasks 1-8)	9. Propose a draft work plan of evaluations for the 12 month period May 1997 - May 1998 in line with Decision 21/36. 10. Organize the evaluation team. 11. Conduct data collection using standardized questionnaire and desk review. 12. Carry out field visits and interviews. 13. Design evaluation report format. 14. Prepare evaluation reports and consult with concerned parties.	15 p/m (for Tasks 9-14)

DELIVERABLE	INTERNAL		EXTERNAL	
	Task to be performed	Inputs Needed (in person months)	Task to be performed	Inputs Needed (in person months)
Project completion report formats	1. Prepare draft project completion report formats for investment and non-investment projects. 2. Consult with Implementing Agencies. 3. Finalize the formats. 4. Develop a project success rating system. 5. Draft a directive for implementation for adoption by the Executive Committee.	1.5 p/m (for tasks 1-5)		
A proposal for standardized component on monitoring and evaluation in project proposals	1. Draft standardized components and formats for presentation on monitoring and evaluation in project proposals. 2. Consult with Implementing Agencies. 3. Finalize the components and formats for presentation to the Executive Committee. 4. Draft a directive for implementation to be adopted by the Executive Committee.	1.5 p/m (for tasks 1-4)		
Total		12 p/m		18 p/m

B. WORK PLAN OF EVALUATIONS

OUTPUT 1: EVALUATION GUIDE FOR INVESTMENT PROJECTS AND NON-INVESTMENT PROJECTS

This guide will incorporate and build on guidelines and procedures already developed by the Implementing Agencies (UNIDO/DG/B.106: *In-depth evaluation of technical co-operation projects,* 1989; IBRD: *Monitoring and Evaluation Guidelines for ODS Phase-out Investment Projects*, 1995; UNDP: *Policy and Procedures Manual, Monitoring, Evaluation and Reporting*, 1987). This will help develop standardized procedures for these and subsequent evaluations specifically related to the requirements of the Fund.

The guide will include frameworks, key evaluation questions, sources of data, instruments and approaches for data collection, evaluation teams and divisions of responsibility of various stakeholders, as well as a sample table of contents for evaluation reports of investment projects. It would incorporate suggestions from the Executive Committee over time so that evaluations respond increasingly to concerns and questions of the committee.

Proposed Development Team: The proposed development team would include:

- Coordinator contracted by the Secretariat and Technical Assistant
- Representative of the Fund Secretariat
- Representatives of the Implementing Agencies: IBRD, UNDP, UNEP, UNIDO

Methodology

The team would exchange views and documentation and contribute to the drafting and critique of proposed drafts. A workshop with the development team would be used to share materials, develop outlines and key questions. This would be followed by circulation of drafts and contributions by all members of the team. The draft guide would be added to and improved through the results of the evaluations to be conducted.

Timeframe: June 1997 - September 1997 for draft guide

Cost: US$ 43,500

Definition of the evaluations during 1997/98

As well as building evaluation capacity in the Secretariat, the work plan proposes conducting three evaluations in 1997/98. The selection criteria are to choose evaluations that:

- Are representative of the range of projects and activities supported by the Fund (i.e. include investment and non-investment projects).
- Focus on sectors where the Fund has been most involved
- Include projects of all Implementing Agencies
- Provide for examination of projects in all regions
- Allocate effort to the most involved countries
- Allocate effort to the individual projects with the greatest ODP reductions
- Focus on investment projects that have been completed rather than those still in progress
- Avoid the earliest projects, approved before all procedures were fully operational

Review of the data base for completed investment projects indicates that the most cost effective evaluation option would be to focus on the Foam and Refrigeration sectors. These comprise 56 and 34 completed projects respectively, with total funding of US$ 60.8 million. Furthermore, these two sectors contain 31% and 56% of targeted investment project approvals in 1997, so lessons that are learned will be of continuing potential value. The 90 projects to be included as the target population in the evaluation have proposed phase-out of 7,062 tonnes and an actual phase-out that is even larger.

The two proposed evaluations relate to interrelated sectors, so it is proposed to conduct them with a common evaluation team that will divide data collection and analysis among appropriate team members. This will enable cost-effective missions to many of the involved countries (The exact selection of countries can be made after approval and in keeping with the available travel budget.) The definition of the targeted projects and proposed methodology are described with each deliverable.

OUTPUT 2:   EVALUATION OF COMPLETED PROJECTS IN THE FOAM SECTOR

This component of the evaluation work plan will involve the evaluation of a sample of completed investment projects in the foam sector. This evaluation will demonstrate the feasibility and cost effectiveness of sector investment project evaluations in contributing to the performance of the Fund in ODS phase-out and future decision-making by the Executive Committee.

Description of Completed Projects: Completed projects in the foam sector are characterized as follows:

Table 1: Completed foam projects by Implementing Agency

Implementing agency	Number of projects	Funding (millions of US$)	ODP proposed to be phased out
IBRD	11	7.9	1,332
UNIDO	3	1.9	545
UNDP	42	14.0	2,324
Total	56	$23.8	4,201

Table 2: Completed foam projects by region

Region	Number of projects	Funding (millions of US $)	ODP proposed to be phased out
AFR	10	4.8	702
ASP	38	14.5	2,637
LAC	8	4.5	862
Total	56	$23.8	4,201

Table 3: Partial listing of completed foam projects by sub-sector

Sub-sector	Number of projects	Funding (millions of US $)	ODP proposed to be phased out
Rigid	15	4.9	490
Flexible Slabstock	9	3.5	731
Polystyrene/Polyethylene	13	6.7	2,087
Integral Skin	2	1.2	105
Flexible Moulded	3	1.0	115
Multiple-subsectors	5	1.4	146
Rigid (insulation refrigeration)	9	5.0	3,674
Total	56	23.8	4,201

The majority of these projects were approved by the Executive Committee at its 8th-18th meetings, so they represent projects that benefited from the early experience of the Fund.

Participating Article 5 countries: The following countries are the locations of completed investment projects in the foam sector (number of projects in brackets):

Egypt (10)	China (9).
Indonesia	India (4).
Malaysia (18)	Philippines (2).
Thailand (4)	Argentina (3).
Chile (2)	Ecuador

Mexico (2) Uruguay

Focus of Evaluation

Possible Evaluation Questions: The following questions apply to evaluations of both sectors:

Project Design and Rationale

1. 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 there any contextual factors that should be a concern for future project approvals? Are there constraints in the enabling environment that the Fund should attempt to address?

2. Did the design of various types of project change prior to implementation? Was the technology implemented different than the technology approved? Why and with what effects?

3. Was the level of funding provided by the Fund understood by the enterprise and appropriate to the need and incremental cost requirements?

Effectiveness and Effects

4. In general, how effective have the various types of investment projects been in achieving ODP targets and reducing ODS within the sector? Were there differences by region or Implementing Agency?

5. Was the old technology successfully discontinued? For how long was the old technology in use after implementation of the project? How was the de-commissioned equipment disposed of?

6. What have been the effects of the new technology on operating costs? On market demand?

Implementation Efficiency

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7. Given the recent findings on speed of implementation of investment projects (UNEP/OzL.Pro/ExCom/22/6 para. 4 indicates 20 - 37 months), what were the major implementation challenges and how were they overcome?

8. Which aspects of investment projects in this sector (equipment, technical assistance, training) worked very well?

9. How effective was transfer of technology in the various projects and regions?

Lessons Learned

10. What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?

11. What are the implications of the findings for additional and/or alternative information in future project proposals?

Proposed Evaluation Team

The proposed evaluation team would include:

*   Evaluation Team Coordinator contracted by the Secretariat
*   Two external technical experts in foam/refrigeration technology
*   Representative of the Fund Secretariat
*   One expert representative of UNDP
*   One expert representative of UNIDO
*   One expert representative of the World Bank
*   Representatives of each country in which evaluation activities take place would be involved for evaluation data collection and analysis related to that country

Methodology

The evaluation team will begin with a collective work planning phase that will develop standard data collection instruments and procedures well understood by all members of the evaluation team. Planning will include detailed allocation of responsibilities and scheduling of country missions. It is expected that the team will use a combination of methods including review of project proposals and reports, surveys and telephone interviews to project stakeholders, and country and on-site visits where the volume of projects warrants it. Since the proposed team would cover both foam and refrigeration sectors, actual data collection will relate to both sectors and may involve different team members visiting different countries. Everyone would contribute to data analysis and the coordinator would ensure that all aspects come together into an integrated report.

Timeframe: September 1997 - May 1998

Cost: US$ 129,000

OUTPUT 3:   EVALUATION OF COMPLETED PROJECTS IN THE REFRIGERATION SECTOR

This component of the evaluation work plan will involve the evaluation of a sample of completed investment projects in the refrigeration sector and will be conducted in tandem with the evaluation within the foam sector.

Description of Completed Projects: Completed projects in the refrigeration sector are characterized as follows:

Table 4: Completed refrigeration projects by Implementing Agency

Implementing agency	No. Of projects	Funding (millions of US $)	ODP proposed to be phased out
IBRD	21	16.4	1,637
UNIDO	8	17.8	1,105
UNDP	5	2.8	119
Total	34	$37.0	2,861

Table 5: Completed refrigeration projects by region

Region	No. of projects	Funding (millions of US $)	ODP proposed to be phased out

AFR	5	11.9	688
ASP	14	14.2	501
EUR	4	8.2	1,283
LAC	11	2.7	389
Total	34	$37.0	2,861

The majority of these projects were approved by the Executive Committee at its 8th-18th meetings.

Participating Article 5 countries: The following countries are the locations of completed investment projects in this sector (number of projects in brackets):

Algeria	Cameroon
Egypt (3)	Malaysia
Philippines (3)	Syria (2).
Thailand (7)	Vietnam
Romania	Turkey (3).
Brazil	Chile (3).
Guatemala	Mexico (4).
Venezuela (2)	

Possible Evaluation Questions:	See output 2
Proposed Evaluation Team:	See output 2
Methodology:	See output 2
Timeframe:	September 1997 - May 1998
Cost:	US$ 129,000

OUTPUT 4:   NON-INVESTMENT PROJECT EVALUATION

To complement the evaluation of investment projects in the two noted sectors, the work plan includes a collaborative evaluation of some of the major activities of UNEP's OzonAction Programme. It will enable UNEP to develop useful qualitative performance indicators and evaluate the extent to which its strategy in support of crucial enabling environments is being achieved. Because most country programmes have been approved, it is not considered cost effective to evaluate this aspect of the programme. The optimal configuration would be determined in collaboration with UNEP, but is expected to focus on information exchange, training, and networking.

Description of Ongoing Projects

Since inception of the Fund, UNEP has received $11.4 million for technical co-operation. Decision 21/14 outlined the dimensions of recurring programme activities and capped information-exchange activities (US$ 1.05 million) and networking (US$ 1.1 million). The proposed evaluation will assist future decision-making by assessing the extent to which previously funded activities have been cost effective and impacted the enabling environment.

Focus of Evaluation

Possible Evaluation Questions

UNEP/OzL.Pro/ExCom/22/7/33 proposes some of the qualitative performance indicators for UNEP's recurring core clearinghouse, networking and information dissemination activities. The evaluation will consider these and add to them in an attempt to develop a more complete understanding of UNEP's effectiveness in affecting the enabling environment for the work of the Fund. This will contribute to the aspect of the evaluation work programme that proposes to develop indicators for non-investment projects.

Some of the specific questions that could be addressed are:

Design and Rationale

1. To what extent are UNEP's activities suitably targeted to reach people and institutions with a need for such support? How has the configuration of activities evolved?

2. Does UNEP include suitable monitoring and evaluation of activities that enable programme activities to benefit from participant feedback? How might monitoring and evaluation systems be improved?

Effectiveness and Effects

3. To what extent have UNEP's information exchange activities been relevant to ODS phase-out in Article 5 countries?

4. To what extent was the training effective? Is it being applied on the job? If not, what are the constraints? How could training be improved?

5. What have been the effects of networking, training, information exchange activities on initiation of awareness-raising or other activities supported by countries?

6. What policies have been initiated by countries as a result of UNEP's programme?

7. What improvements in data reporting and enacted legislation and policies for networking countries can be attributed to UNEP's programme?

Efficiency

8. Are UNEP's activities planned and implemented in the most cost effective way? How could cost-effectiveness be improved?

9. Is the allocation of resources optimal given related evaluation findings on the various aspects of programming? Should UNEP re-allocate resources for greater impact?

Lessons Learned

10. How can UNEP's programme better serve the needs of involved countries?

Proposed Evaluation Team

• Coordinator of Evaluation Team
• Representative of the Secretariat
• External expert on organizational and programme self-assessment
• UNEP Representatives
• Country representatives will be involved in various aspects linked to ongoing programme activities and missions of the investment project evaluation team

Methodology

The recommended methodology would incorporate contemporary empowerment approaches to organizational evaluation by combining participatory evaluation with some independent data collection. The process would engage UNEP and its clients in collaborative processes to refine the key questions, develop and refine indicators, collect and analyze relevant data in a collaborative way, and develop a report coordinated by suitable external experts. Ideally, this evaluation will capitalize on the data collection activities of the investment project evaluation team which would collect independent data in the various countries visited. As well, it is anticipated that a questionnaire survey will be distributed to users and potential users of UNEP's programme activities. In this way the evaluation report will have objectivity while leading directly to programming improvements at UNEP.

Timeframe: June 1997 - May 1998

Cost: US$ 78,500

C. SUMMARY BUDGET

Item	Person/month (p/m))	Cost (US $)
Personnel		
Staff (additional)	12 p/m	100,000
Consultancy	18 p/m	216,000
Sub-total Personnel	30	316,000
Travel		
Staff (additional)		20,000
Consultancy		85,000
Sub-total Travel		105,000
Equipment		20,000
Reporting		9,000
Miscellaneous		11,000
Total	30	461,000

(UNEP/OzL.Pro/ExCom/22/79/Rev.1, Decision 22/19, para. 34).
(Supporting document: UNEP/OzL.Pro/ExCom/22/SC-MEF/2, Corr.1, Add.1).

ANNEX XI.2: EVALUATION GUIDE

CONTENTS

4. Instrumentation
5. Indicators

Appendices

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	A finding is a factual statement (e.g. 405 tonnes of ODS were phased out). 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).
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/project'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 to 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.

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 non-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 issue 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 evaluation 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?
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?

Sectoral evaluations	Training	Institutional strengthening
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.
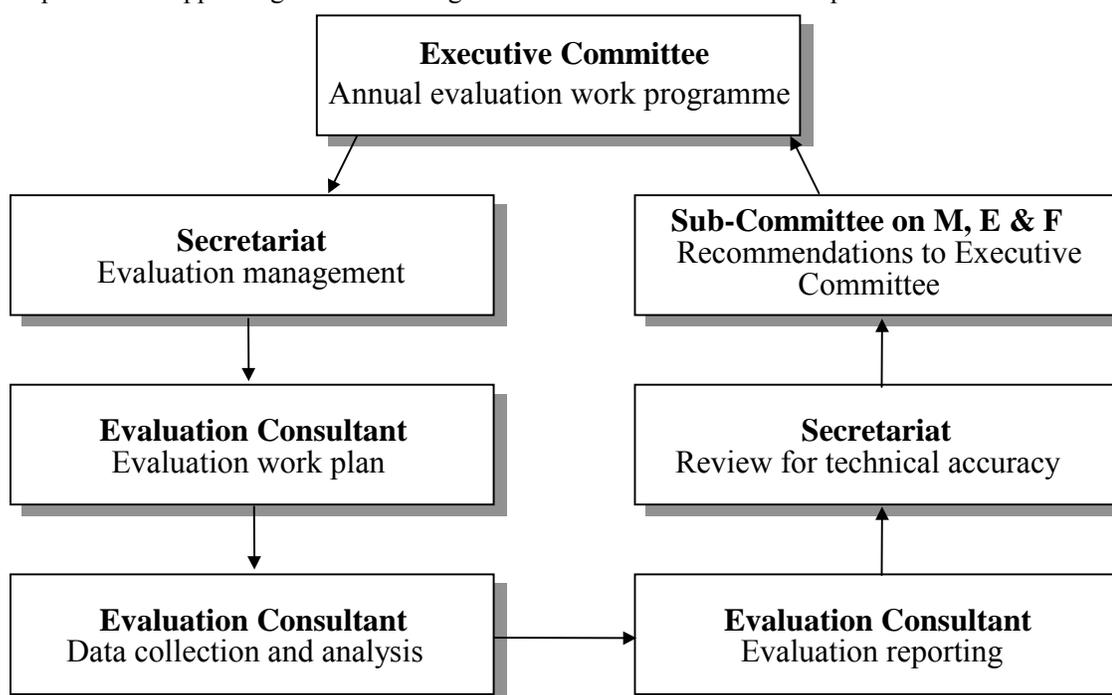
The Sub-Committee on Monitoring, Evaluation and Finance recommends the annual evaluation work programme and work plan of the Multilateral Fund for approval by the Executive Committee. The approved work programme and plan of the Fund on monitoring and evaluation is the normal basis on which specific evaluations 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 Monitoring and 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 Monitoring and 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

Background	Estimated Level of Effort
Reasons for Evaluation	Description of Required Evaluators
Scope and Focus	Schedule for the Evaluation

Specific Evaluation Requirements   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

Overview	Activity/effort analysis
Evaluation team	Data collection plan
Project selection	Budget
Evaluation matrix	
Methodology	

The evaluation work plan is an important control document as it supplements the contract and enables the Monitoring and 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 that respond to the TOR to the Secretariat.

b) 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 databases 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;
- Contributing to the formulation of lessons learned.

d) Article 5 Countries

Involvement of Article 5 countries is the key to improving the Fund's performance reducing 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;
- Contribute to the formulation of lessons learned.

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:
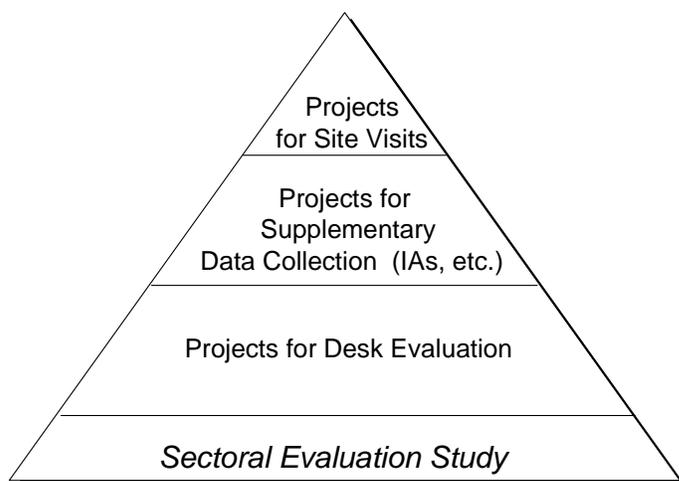
The Evaluation Team Leader, in consultation with the Monitoring and Evaluation Officer, and within the context of the approved work programme, will make the technical decision about the particular projects which will be included in an evaluation, and at what level of examination. The selection of projects 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 Monitoring and Evaluation Officer. The latter 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	Effectiveness and effects
Introduction	Achievement of results
Background	ODS phase-out
Description of projects	Institutional strengthening at operational level
Investment	Differences by sector, region
Non-investment	Equipment rendered unusable
Evaluation methodology	Effects on enterprises
Organization of report	Effects on safety/environment
Design and Rationale	Implementation efficiency
Assumptions	Conversion of inputs to outputs
Sector context	Differences by component
Context - enabling environment	Differences by type of project, region, agency
Design	Project management
Changes	Sustainability
Evaluability	Conclusions
Alternative designs	Recommendations and follow-up
Cost	Lessons Learned
Planned/actual	Annex 1 - TOR
Cost sharing	Annex 2 - Evaluation matrix
Sources of extra cost	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

Executive summary	Effectiveness and Effects
Introduction	Achievement of targets
Background	Effects on enterprises
Description of projects	Effects on safety/environment
Evaluation methodology	Implementation efficiency
Organization of report	Delivery of inputs
Design and rationale	Project management
Assumptions	Sustainability

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

Conclusions
Recommendations
Lessons Learned
Annex 1 – TOR
Annex 2 – Evaluation matrix
Annex 3 – Organizations visited and interviews conducted
Annex 4 - Project list

Institutional strengthening evaluation report outline

Executive summary
Introduction
Background
Description of IS funding
Evaluation methodology
Organization of report
Design and rationale
Assumptions
Design
Relevance of plan
Level of responsibility
Variations in different category countries
Changes in roles of units
Cost
Planned/actual
Cost sharing
Sources of extra cost
Effectiveness and effects
Achievement of objectives: data-gathering; information exchange; dissemination; monitoring; coordination

Fulfillment of obligations
Differences by sector, region, category of country
Regional networks
Effects on ODS phase-out
Efficiency
Time lags in implementation
Capital expenditures
Professional staff
Operational costs
Regional networks
Sustainability
Need for continuation
Government plans
Conclusions
Recommendations
Lessons Learned
Annex 1 - TOR
Annex 2 - Evaluation matrix
Annex 3 - Organizations visited and interviews conducted
Annex 4 - Project list

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	Effectiveness and effects
Introduction	Achievement of targets
Background	Differences by sector, region, etc.
Description of projects	Effects on enterprises
Evaluation methodology	Effects on safety/environment
Organization of report	Sustainability
Design and rationale	Implementation efficiency
Assumptions	Delivery of inputs

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

Project management
Conclusions
Recommendations
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?	Were there differences by region or Implementing Agency? Were there differences by sub-sector? Were there differences by type of technology?	Baseline + ODS reduction Change in ODP Planned/actual target achievement	Project documents Enterprise data Country representatives Project implementation agencies
Was the old technology successfully discontinued?	For how long was the old technology in use after implementation of the project? How was the de-commissioned equipment rendered unusable?	% old technology destruction % of various means of disposal months for phase-out	Project documents Enterprise Country representatives Project implementation agencies
What have been the effects of the new technology on operating costs? On market demand? On safety and environment?	What were the effects on production following conversion? What were the effects of conversion on product quality, price, market acceptance? What were the effects on safety and the environment?	% change in products % change in costs % market penetration Changes in accident rates; safety guidelines	Project documents Enterprise Product testing Market sampling
How sustainable are the project results?	Has the project led to plans for additional conversions? What are the risks of re-conversion?	Number of inquiries about adopting technology Instances of re-conversion	Project documents Enterprise Country representatives Project implementation agencies Bilateral agencies
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)?	How has the capacity of local Implementing Agencies affected project efficiency and effectiveness? Have conversions complied with environmental/safety standards? Have new equipment or processes introduced new safety or environmental risks?	Time to various project milestones Frequency of specific contextual constraints Frequency of specific environmental or safety concerns	Project documents Enterprises Country representatives Project implementation agencies and associates
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	Project documents and IAs Enterprises Country representatives

Possible evaluation questions	Possible sub-questions	Possible indicators	Possible sources of data
How effective was transfer of technology in the various projects and regions?	What types of difficulty were encountered in obtaining non-ODS technology? Is there any evidence of conversion back to ODS? Have other producers demonstrated interest in adopting this technology?	Frequency of specific difficulties Instances of re-conversion Number of inquiries about adopting technology	Project documents Enterprises Country representatives Project implementation agencies Bilateral agencies
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?	Have there been effective changes in regulation and policy during project implementation? Are there constraints in the enabling environment that the Fund or country should attempt to address? Have training and institutional strengthening activities supported the success of investment projects? Were assumptions valid? Are there any contextual factors that should be a concern for future project approvals?	Checklist of critical factors in the enabling environment List of changes in legislation/regulation	Country representatives, IAs, project implementation agencies, enterprises, bilateral agencies Legislation, regulations
Did the design of various types of project change prior to implementation?	Did the technology implemented differ from 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 question and approach 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
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 phase-out 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			

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

Possible evaluation questions	Possible sub-questions	Possible indicators	Possible sources of data
Have expenditures been allocated appropriately among the allowable categories?	What proportions have been allocated between capital and recurrent expenditures in various categories of country?	Proportions of budget	Proposals Reports Ozone Units
Have regional network activities been implemented in a cost effective way?	Have network meetings conformed to standards of similar international gatherings of this type?	Cost comparisons	UNEP reports and budgets
Lessons Learned			
What lessons have been learned that may be useful in guiding future project preparation, approval, or implementation?			All stakeholders

(UNEP/OzL.Pro/ExCom/23/68, Decision 23/5, para. 17).
(Supporting document: UNEP/OzL.Pro/ExCom/23/4)).

ANNEX XI.3: STANDARD COMPONENTS ON MONITORING AND EVALUATION IN PROJECT PROPOSALS

INTRODUCTION

The Executive Committee decided that project proposals should include a standardized component on monitoring and evaluation, and should provide sufficient information to enable a comparison between the project proposal approved by the Executive Committee and the project completion report, as indicated by its decision 22/19(a) regarding the 1998 work programme of monitoring and evaluation. One of the deliverables of the work programme pertains to forms of presentation, categories of baseline data, a schedule of monitoring and evaluation with dates for completion and major milestones for monitoring (UNEP/OzL.Pro/ExCom/22/79/Rev.1, Annex III).

The Implementing Agencies have included information on baseline data in project proposals submitted by them to the Executive Committee according to the established format (UNEP/OzL.Pro/ExCom/7/30, Annex III). Such data pertain to: project objectives; sector consumption; project phase-out; proposed budget and cost item's rationale; schedule for implementation and disbursement; a copy of all agreements; and, a copy of the technical review per the guidelines adopted by the Twelfth Meeting.

Baseline data

The baseline data is intended to provide a point of reference for measuring the degree to which the project had achieved its objectives. In this context the baseline data currently included in project proposals should be slightly modified to include:

- actual ODS consumption by enterprise and its relation to the national sector consumption for the three years prior to the submission of the project
- all equipment to be replaced and retrofitted (and subsequently destroyed or de-commissioned) by model number, serial number, and control, as pertinent
- design type (local or international) and the year of manufacture
- date of installation and commissioning of the equipment
- design capacity where applicable
- applicable national or international safety standard
- accurate number of units/systems produced
- the beginning of project activities at the country level as stated by the Article 5 Party concerned. Where possible, these activities should be listed

Milestones for project monitoring

In addition to the existing requirements, the following milestones for project monitoring should be indicated by the number of months from project approval until:

- grant agreement submitted to beneficiary
- grant agreement signature
- bids prepared and requested
- contracts awarded
- equipment delivered
- commissioning and trial runs
- de-commissioning and/or destruction of redundant baseline equipment

(UNEP/OzL.Pro/ExCom/23/68, Decision 23/7, para. 20).
(Supporting document: UNEP/OzL.Pro/ExCom/23/6).

ANNEX XI.4: NON-INVESTMENT PROJECT MILESTONES

Legal Arrangements

- grant agreement submitted to beneficiary
- grant agreement signature
- bids requested
- contracts awarded

Initial stages of project implementation begins

preliminary meetings envisaged under the project (excluding meetings where meeting is the principal activity).
initial mission to beneficiary country (as applicable).
start-up of project activities at country level as stated by Article 5 Party concerned

Intermediate goals achieved

data collection completed (as applicable).
intermediate outputs completed (printed material, draft regulations or laws, if not the principal activity).
equipment delivered (as applicable).

Project completion and follow-up

principal activity completed (workshop/training/document if principal activity) by Implementing Agency
government/Executive Committee approval of output (country programmes, strategies, proposed legislation or
regulations) submission of completion report
(UNEP/OzL.Pro/ExCom/24/47, Decision 24/8, para. 26).
(Supporting document: UNEP/OzL.Pro/ExCom/24/12).

ANNEX XI.5: FORMAT FOR PROJECT COMPLETION REPORT (INVESTMENT PROJECTS).

SECTION 1: PROJECT OVERVIEW

1.1	Country:		
1.2	Project number (as per Inventory):	Project number	
1.3	Project title		
1.4	Address(es) of enterprise and project site(s):		
1.5	Date of approval of the project (as per Inventory):		
		Approved	Actual
1.6	Date of completion:	Original:	
		Latest revised:	
1.7	Conversion/alternative technology used1:	From: To: other	To:
		From: To: other	To:
		From (other): To (other)	To (other):
1.8	ODP phase-out:	0.00	0.00
1.9	Total MLF funding:	$ 0	$ 0
1.10	Total counterpart funding (as per project document):	$ 0	$ 0
1.11	Total project cost:	$ 0	$ 0
1.12	Cost-effectiveness:		
1.13	Percentage of Article 5 country ownership:	0.0 %	0.0 %
1.14	Percentage of exports to non-Article 5 countries:	0.0 %	0.0 %
	Discussion held with:	Agency	Name/date
1.15	Implementing agency:		
1.16	Executing agency/financial intermediary:		
1.17	National coordinating agency/NOU:		
1.18	Beneficiary company		
If the actual technology used is different from the approved one, indicate procedures followed with regard to informing the executive committee and seeking approval in accordance with the guidelines established by decision 22/70: Other explanations, if needed:			

*Indicate whether this report is provisional ☐ or final ☐.

SECTION 2: Criteria and Rating Scheme for Overall assessment

Part A: Assessment of Quantitative Project Performance Data		
	Criteria	Rating
Pre-conditions for completion*	ODS phase-out as approved	20
	Conversion completed (no more CFC in use, ODS-free production has started).	20
	Certified equipment destruction	20
Delays	On time	15
	6 to 12 months delay	0
	More than 12 months delay	-15
Cost-effectiveness of MLF funding	Cost-effectiveness more than 5% better than approved	5
	Cost-effectiveness as approved or less than 5% better	0
	Cost-effectiveness less than approved	-5
Sub-total A		
Part B: Qualitative Rating of Project Performance**		
Project Preparation	Quality of project design	5,3or1

Technology choice	Conversion technology	5,3or1
	Type of equipment	5,3or1
	Supplier	5,3or1
Management of risks	Safety / health protection	5,3or1
	Maintenance of equipment	5,3or1
	Maintaining product quality	5,3or1
	Preventing return to ODS use	5,3or1
Sub-total B		
Total score	Highly satisfactory: 100 to 120	
	Satisfactory: 75 to 99	
	Less satisfactory: 48 to 74	

 *The overall rating will be calculated only if the pre-conditions for completion as defined by the Executive Committee in Decision 28/2 are met and documented (applicable for projects completed after July 1999).

**Please rate the project performance with regard to quality/appropriateness using the following scale for each category: Highly satisfactory: (5); Satisfactory: (3); Less satisfactory: (1).

SECTION 3: DESCRIPTIVE ASSESSMENT OF PROJECT PERFORMANCE

The following questions are to summarize actual performance as compared to what was approved in the project document.

3.1 Comments on ODS phase-out approved and achieved (explain differences, report on remaining consumption of ODS and the risk of the beneficiary returning to the use of ODS):

3.2 Explain reasons if conversion technology was changed after approval (in cases other than approved by the Executive Committee):

3.3   Describe any major (technical, financial, political or other) problems encountered in project preparation, causes of delays and actions taken to overcome them:

3.4 Describe main post-conversion safety and environmental risks and measures taken to cope with them; attach copies of appropriate certificates:

3.5 Report on implementation of Executive Committee approval conditions (in cases of approval with specified conditions):

3.6 Comments on differences between approved and actual figures for capital, operational and contingency costs and actions taken to cope with cost overruns:

3.7 Report on reasons for changes in counterpart funding for eligible incremental costs:

3.8 Categorize and describe causes of implementation delays and actions taken to overcome them:

Categories	Causes of Delay	Actions taken to Overcome Delay(s)
a) due to Implementing Agency delays		

Categories	Causes of Delay	Actions taken to Overcome Delay(s)
b) due to enterprise delays		
c) due to equipment / chemical supplier delays		
d) due to Governmental delays		
e) due to external (regional/global) factors		
f) due to delays in funding following project approval		

3.9 Provide an overall assessment of the fate of the baseline equipment (refer to Section 7):

3.10 Lessons learned for future action:

3.11 Comments of the beneficiary enterprise:

3.12 Government's / NOU's comments:

SECTION 4: ODS PHASE-OUT
Pre-conversion (as reported in project document).

4.1 Products manufactured/services provided:

4.2 Annual level of production / services:

4.3 ODS consumed in baseline year:

Substance	Amount in tonnes	ODP of the substance	Total ODP tonnes
ODS (1)	0.00	0.00	0.00
ODS (2)	0.00	0.00	0.00
ODS (3)	0.00	0.00	0.00
ODS (4)	0.00	0.00	0.00
Total:	0.00		0.00
Explanations, if needed:			

4.4 Project Preparation

Budget Approved:	$ 0
Actual Expenditures:	$ 0
Describe briefly the role of the enterprise in project preparation:	
In what way was the NOU involved in project preparation:	
Were any changes made as a consequence of the external technical review? If yes, please specify:	
Did the ExCom approve the project in its original version? If not, please specify:	
Explanations, if needed:	

Transition from ODS-based to non-ODS-based production/services

4.5 Evolution of the amount of ODS consumed

Schedule	Actual	Units produced/	Amount of ODS consumed (Tonnes)

	Year	serviced using ODS	ODS(1)	ODS(2)	ODS(3)	ODS(4)
199X*						
199X**						
199X+1						
199X+2						
199X+3						
199Y***						
200Y+1****						
Explanations, if needed:						

4.6 Evolution of the amount of substitutes consumed

Schedule	Actual Year	Units produced/ serviced using substitutes	Amount of substitutes consumed (Tonnes)			
			SUB(1)	SUB(2)	SUB(3)	SUB(4)
199X*						
199X**						
199X+1						
199X+2						
199X+3						
199Y***						
200Y+1****						
Explanations, if needed:						

*Baseline year (per project document).
**Year of project approval. Please adjust accordingly if baseline year = approval year
***Year of successful commencement of new projection.
****Most recent year.

Post-conversion

4.7 Amount of substitutes consumed in final year of report, and remaining Ozone Depleting Potential

Substitute	Amount in Tonnes	ODP of the Substitute	Total ODP Tonnes
SUB (1)	0.00	0.00	0.00
SUB (2)	0.00	0.00	0.00
SUB (3)	0.00	0.00	0.00
SUB (4)	0.00	0.00	0.00
Total:	0.00		0.00
Explanations, if needed:			

SECTION 5: BUDGET AND EXPENDITURES

In case this PCR is still provisional (as indicated in Section 1), this may serve as a status report on project expenditures at the time of preparing the Project Completion Report with the understanding that a full financial completion report will be prepared as a supplement once the accounts of the project are closed.

5.1 Total budget and expenditure on incremental cost:

Project budget	Approved costs	Actual total costs	Actual total funding disbursed	
			Grant funds	Counterpart funds
Incremental capital costs	$ 0	$ 0	$ 0	$ 0
Contingency	$ 0		$ 0	
IOC*	$ 0	$ 0	$ 0	$ 0
Total	$ 0	$ 0	$ 0	$ 0

Project budget	Approved costs	Actual total costs	Actual total funding disbursed	
			Grant funds	Counterpart funds
Total MLF grant**	$ 0			
Total MLF grant not utilized	$ 0			
Indicate date(s) and amount(s) of IOC disbursement(s) by Implementing Agency: Other explanations, if needed:				

*If IOC funds were used to finance incremental capital costs, in accordance with ExCom Decision 20/6, the amount should be specified in Section 3.6 above.

**Differences between total approved costs and total MLF grant may be due to non-Art. 5 country ownership and/or exports to Art. 2 countries (see Sections 1.11 and 1.12 above).

5.2 Detailed list of incremental capital cost and contingency by item:

Project budget	Approved costs	Actual costs	Actual funding	
			Grant funds	Counterpart funds
Incremental capital costs*				
Subtotal				
Contingency				
Explanations, if needed:				

*List of equipment capital cost, including cost for international consultants by item as approved in project document (additional equipment should be indicated). If the company insists on purchasing equipment for more than the limits established through international bidding please provide detailed explanation in Section 3.6.

5.3   Incremental Operating Costs by Item and Disbursement(s)

	As per project document approved		Based on information from company
Cost Items	Before	After	Actual
CFC/ODS prices US$/kg (per substance)	$ 0.00		
Substitute prices US$/kg (per substance)		$ 0.00	$ 0.00
Compressor prices US$/unit*	$ 0.00	$ 0.00	$ 0.00
Average foam density kg/m3*	0.00	0.00	0.00
Other (please specify)			
Explanations, if needed:			

*Where applicable

5.4 Approved and actual incremental operating costs: (To be filled only upon specific request by the Multilateral Fund Secretariat)

	As per project document approved		Based on information from company
Item	Before	After	Actual
Number of units produced (annually)	0.00		0.00
Incremental unit costs US$/unit*	$ 0.00	$ 0.00	$ 0.00
IOC/Year	$ 0	$ 0	$ 0
Duration (years)	0		0
Total IOC, NPV	$ 0	$ 0	$ 0
Explanations, if needed:			

*Present the calculation of the actual incremental unit cost in the box below or attach it.

5.5 Counterpart funding of additional items not included in the project document (based on information provided by the company/beneficiary):

	Items	Actual expenditures
1.		
2.		
3.		

	Items	Actual expenditures
Total		
Explanations, if needed:		

SECTION 6: IMPLEMENTATION EFFICIENCY

Project milestones	Planned dates	Planned duration in months**	Actual date	Actual duration in months**	Delay in months
ExCom approval date					
Start-up of project activities at country level as stated by Article 5 Party concerned					
Grant agreement submitted to beneficiary					
Grant agreement signature					
Bids prepared and requested					
Contracts awarded					
Equipment delivered					
Commissioning and trial runs					
Start of ODS-free production					
Decommissioning and/or destruction of redundant baseline equipment					
Total duration until project completion*					
Submission of project completion report					
Explanations, if needed:					

*Completion of project refers to when ODS-free production starts and equipment has been destroyed per ExCom Decision 28/2(a).
**The number of months taken to complete item by item

SECTION 7: FATE OF ODS-BASED PRODUCTION EQUIPMENT

List of equipment rendered unusable (the baseline)*		Implemented			
Type of equipment	Description/ specification**	Disposal type***	Date of disposal	Implemented by:	Certified by****:
Explanations, if needed, particularly in case funds approved for retrofitting have subsequently been used to replace equipment rather than to retrofit it:					

*List of equipment to be rendered unusable or to be modified according to the project document
**Description/specification should include model and serial numbers
***Type of equipment disposal
****Attach copy of certificate
(UNEP/OzL.Pro/ExCom/30/41, Decision 30/8, para. 25).
(UNEP/OzL.Pro/ExCom/32/44, Decision 32/18, para. 29).
(Supporting document: UNEP/OzL.Pro/ExCom/30/7).
(Supporting document: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).

ANNEX XI.6: **FORMAT FOR PROJECT COMPLETION REPORT (NON-INVESTMENT PROJECTS).**

SECTION 1: PROJECT DATA

1.1   Country/Region/Global:
1.2   Project number: (*as per inventory*)
1.3   Project title:
1.4   Date of approval of the project.:
1.5   Type of Activity: ([ ] Country Programme, [ ] Institutional Strengthening,
         [ ] Training, [ ] Networking, [ ] Information exchange, [ ] Workshop).
1.6   Implementing agency:
1.7   Local executing agency/
         Financial intermediary:
1.8   National coordinating agency:
1.9   Scheduled date of completion:
1.10   Actual date of completion:
1.11   Date of project completion report:
1.12   Completion report done by:
         (*Implementing Agency/National Agency)*

SECTION 2: EXECUTIVE SUMMARY

Item	Plan/approved	Actual	Comment
Achievement of project objective (use quantifiable indicators to the extent possible)			
Budget and expenditure (US$)			
Project implementation (in months)			
Project duration			
Start-up of project activities at country level as stated by Article 5 Party concerned			
Grant agreement submitted to beneficiary			
Grant agreement signature			
Bids requested			
Contracts awarded			
Equipment delivered			
Principle activity completed (e.g. workshop, training)			
Submission of completion report			

Overall Assessment of the Project: A brief description of no more than 200 words of the degree the project achieved its objective(s),the manner and the extent the outputs of the projects were being used, major problems encountered and lessons learnt.

SECTION 3: BUDGET AND EXPENDITURES

Information in this section pertain to status reports on project expenditures at the time of preparing the project completion report with the understanding that a full financial completion report will be prepared as a supplement once the accounts of the project are closed.

(A) INSTITUTIONAL STRENGTHENING

3.1 Summary

Item	Budget (plan)(US $)	Expenditure (to-date) (US $)	Difference/Comment (US $)
Capital costs			
Operating cost			
Contingency cost			
Total			

3.2 Budget and Expenditure on Capital Cost

Item*	Budget	Expenditure	Difference	Reason
Total				

*   List of equipment approved in the project document (additional equipment should be so indicated).

3.3 Budget and Expenditure on Operating Cost

Year	Item*	Approved			Expenditure		
		Unit cost	No. of employees**	Total	Unit cost	No. of employees***	Total
	E.g. Salaries						
	E.g.: Communications						
	Total						

*   List of incremental operating cost items in the project document
** No. of employees on which the calculation of operating cost is based
*** No. of employees employed at the time of project completion

3.4 Budget and Expenditure on Contingency Cost

	Item(s)	Expenditure
Contingency		
Funds		
	Total	
	Approved	
	Difference	

(B) TRAINING AND WORKSHOP

3.1 Budget and Expenditure

Item*	Budget	Expenditure	Difference	Reason
Total				

*   List all the cost items as approved in the project document

3.2 Budget and Expenditure on Contingency Cost

	Item(s)	Expenditure
Contingency		
Funds		
	Total	
	Approved	
	Difference	

(C) COUNTRY PROGRAMME, INFORMATION EXCHANGE AND NETWORKING

3.1 Budget and Expenditure

Item*	Approved	Expenditure	Difference	Reason
Total				

*   List all the cost items as approved in the project document

SECTION 4: IMPLEMENTATION EFFICIENCY

Item	Yes	No	Delay/comment
4.1 Project Schedule			
Project duration			
Start-up of project activities at country level as stated by			

Article 5 Party concerned			
Grant agreement submitted to beneficiary			
Grant agreement signature			
Bids requested			
Contracts awarded			
Equipment delivered			
Principle activity completed (e.g. workshop, training)			
Submission of completion report			
4.2 Equipment*(where applicable)*			
Quantity as Planned			
Quality as Specified			
Delays			
4.3 Training			
Quantity as Planned			
Quality as Specified			
Delays			

4.4 Please describe any major problems encountered in project implementation and what was the major cause of delay.

SECTION 5: OUTPUTS AND IMPACT

Outputs*	Achieved as planned		Impact assessment				Indicators**
	Yes	No	Highly satisfactory	Satisfactory	Unsatisfactory	Unacceptable	
1							
2.							

List the outputs one by one as they are described in the project document.

** Indicators should be identified to validate the rating given to the impact assessment of the outputs. The indicators should be chosen to show the extent the outputs have been used by their end-users. For illustration two examples are given in the following table:

Type of Project	Outputs	Impact assessment	Indicators
Country programme formulation	A well designed country programme	Satisfactory	Frequency of use of the country programme as reference. Accuracy of the data in the country programme.
Institutional strengthening	A well functioning ozone office	Satisfactory	Timely and accurate data reported to Ozone Secretariat. Actions initiated to promote ODS phase-out.

SECTION 6: OVERALL ASSESSMENT OF PROJECT

Using three indicators, namely achievement of project impact cost and speed of completion (plan v. actual), please give an overall assessment of the project in the scale below.

    [ ] Highly satisfactory, more than planned

    [ ] Satisfactory, as planned

    [ ] Satisfactory, though not as planned

    [ ] Unsatisfactory, less than planned

    [ ] Unacceptable

Comments from Government:

SECTION 7: LESSONS LEARNT

Please state any lessons that can be drawn from this project that will benefit future projects.
(UNEP/OzL.Pro/ExCom/24/47, Decision 24/9, para. 27).
(Supporting document: UNEP/OzL.Pro/ExCom/24/13).

ANNEX XI.7: SCHEDULES OF SUBMISSION OF BACKLOGGED PROJECT COMPLETION REPORTS

UNDP PCR Completion Schedule (to reduce backlog to zero)

	Investment	Non-Investment	Total
31 December 1999	30 (foam)	0	30
15 January 2000	10 (foam)	6 (training)	16
31 March 2000	16 (foam)	14	30
30 June 2000	30	18	48
30 September 2000	35	15	50
31 December 2000	35	15	50
	156	68	224

UNEP PCR Completion Schedule

Type	Number	Deadline
Training	2	December 1999
Technical assistance	25	January 2000

CP plus ongoing activities (UNEP's recurring costs programme for clearing house and network) in accordance with the Executive Committee's decision.

World Bank PCR Completion Schedule

January.	4 Compressor (incl. MACs)
February	10 Foam (before 1999)
March	7 Foam (before 1999)
June	16 technical assistants, 18 foam (1999)
July	3 solvents
August	1 halon
September	5 aerosols

UNIDO PCR Completion Schedule

Training:	Nothing due
Foam:	10 PCRs by end of February 2000
	10 PCRs by end of March 2000
Recovery and recycling:	5 PCRs until mid-January 2000
Compressors:	2 PCRs by end of March 2000
Solvents:	3 PCRs by end of July 2000
Methyl bromide demonstration projects:	No projects yet completed

(UNEP/OzL.Pro/ExCom/29/65, Decision 29/4, para. 21).
(Supporting document: UNEP/OzL.Pro/ExCom/29/65, Annex II).

ANNEX XI.8: CRITERIA AND RATING SCHEME FOR OVERALL ASSESSMENT

(from Section II of Project Completion Report)

Part A: Assessment of quantitative project performance data			
Category	**Criteria**	**Range**	**Rating**
Pre-conditions for completion*	ODS phase-out as approved	0 or 20	
	Conversion completed (no more CFC in use, ODS-free production has started)	0 or 20	
	Certified equipment destruction	0 or 20	
Delays	On time	15	
	6 to 12 months delay	0	
	More than 12 months delay	-15	
Cost-effectiveness of MLF funding	Better than approved by 5% or more	5	
	As approved, or better by up to 5%	0	
	Less cost-effective than approved	-5	
Subtotal A			0
Part B: Qualitative rating of project performance**			
Project Preparation	Quality of project design	5, 3 or 1	
Technology choice	Conversion technology	5, 3 or 1	
	Type of equipment	5, 3 or 1	
	Supplier	5, 3 or 1	
Management of risks	Safety / health protection	5, 3 or 1	
	Maintenance of equipment	5, 3 or 1	
	Maintaining product quality	5, 3 or 1	
	Preventing return to ODS use	5, 3 or 1	
Subtotal B			0
Total score	Highly satisfactory Satisfactory Less satisfactory	100 to 120 75 to 99 48 to 74	0

* The overall rating will be calculated only if the pre-conditions for completion, as defined by the Executive Committee in Decision 28/2, are met and documented (applicable for projects completed after July 1999).

** Please rate the project performance with regard to quality/appropriateness using the following scale for each category: Highly satisfactory: (5); Satisfactory: (3); Less satisfactory: (1).

(UNEP/OzL.pro/ExCom/32/44, Decision 32/18, para. 29).

(Supporting document: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).

ANNEX XI.9: SCHEDULE FOR SUBMISSION OF OUTSTANDING PROJECT COMPLETION REPORTS (PCRS) IN 2001*

	Schedule	Sector	Investment PCRs	Non-Investment PCRs
UNDP	31 Mar 01	UNDP will concentrate on foam PCRs until 15th February 2001, and will deliver the outstanding solvent PCRs until 31st January 2001 and the three aerosol PCRs and one halon PCR by end-February 2001. After that, the remaining PCRs would be primarily in the foam and refrigeration sectors.	30	10
	30 Jun 01		30	10
	30 Sept 01		30	10
	31 Dec 01		29	10
	Total		119	40
UNEP	Schedule	Sector	Investment PCRs	Non-Investment PCRs
	31 Jan 01	TAS		20
	31 Jan 01	Training		2
	Total			22
UNIDO	Schedule	Sector	Investment PCRs	Non-Investment PCRs
	31 Jan 01	Foam	7	
	31 Mar 01	Aerosol**	2	
	31 Mar 01	Refrigeration	22	
	31 Jul 01	Refrigeration	2	
	Total		33	
IBRD	Schedule	Sector	Investment PCRs	Non-Investment PCRs
	31 Jan 01	Foam (13)*** Solvent (2). Compressor (3)	18	
	31 Feb 01	Halon (0). Refrigeration (5). All Sectors (5)	10	
	31 Mar 01	All Sectors	10	
	31 Apr 01	Aerosol (3). All Sectors (10)	13	
	31 May 01	All Sectors	6	
	31 Jun 01	TAS (2) INS (2)		4
	31 Jul 01	Foam (1) All Sectors (7) TAS (1)	8	1
	Total		67	5

*The table shows expected PCRs for projects completed as of 31 December 1999 and takes into account the number of outstanding PCRs as of 31 October 2000. The Implementing Agencies will, in addition to the above schedule, submit PCRs in 2001 for projects completed through 2000 and up to June 30, 2001.

**The completion reports on 2 other aerosol projects in Kenya are pending until warehouse issues are cleared.

***Some of these foam projects will have PCRs ready for submission before January 2000.

(UNEP/OzL.Pro/ExCom/32/44, Decision 32/18, para. 29).

(Supporting documents: UNEP/OzL.Pro/ExCom/32/19, Corr.1 and Add.1).