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EXECUTIVE COMMITTEE OF  
THE MULTILATERAL FUND FOR THE  
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**DRAFT MONITORING AND EVALUATION WORK PROGRAMME FOR THE YEAR  
2002**

## **DRAFT MONITORING AND EVALUATION WORK PROGRAMME FOR THE YEAR 2002**

### **I Three-year objective and results achieved**

1. The mid-term objective for the three year period 2000-2002, as defined in the 2000 Work Programme, is to fully consolidate a cost-effective system for monitoring and evaluation in the Multilateral Fund Secretariat. The Year 2002 Draft Work Programme for Monitoring and Evaluation will continue the work in the following areas:

- (a) prepare evaluation studies of the main sectors and types of projects;
- (b) assure that PCRs are submitted on time and in better quality and eliminate the backlog of project completion reports (PCRs);
- (c) further improve reporting formats and databases, including the roster of consultants;
- (d) monitor the follow-up on the results of evaluations.

2. The main results expected from implementing the 2001 Monitoring and Evaluation Work Programme have been achieved. Final reports on the evaluation of foam, compressor and solvent projects as well as the regional networks have been prepared and presented to the Executive Committee. This further increases the number of sectors and activities covered by evaluations (see overview of completed, on-going and planned evaluations in Annex I). A number of decisions based on the recommendations of the evaluations have been taken by the Executive Committee. The desk studies on Halon projects and Methyl bromide demonstration projects have been postponed until further PCRs have been collected. A desk study on aerosol projects is presented to the 35<sup>th</sup> Meeting (see summary in document 35/11). Further progress has been realized in eliminating the backlog of project completion reports, in line with the schedule agreed upon with the Implementing Agencies and approved by the 32<sup>nd</sup> Meeting of the Executive Committee. The quality of PCRs received has improved to some extent. Further details are presented in the Report on the Implementation of the 2001 Work Programme for Monitoring and Evaluation (document UNEP/OzL.Pro/ExCom/35/11).

3. In accordance with the practice established in the last two Work Programmes, stakeholders concerned have been involved in the collection of information during a number of field missions that have been undertaken by the Senior Monitoring and Evaluation Officer and consultants and in commenting on the draft evaluation reports. In several cases project officers of the Secretariat have participated in the field missions as resource persons. The National Ozone Units of the countries visited have been extensively consulted and some of them provided comments on the draft evaluation reports which were integrated into the final reports. Likewise, the implementing agencies were involved in all stages of preparing and finalizing the reports; increasing participation of agency representatives in field missions helped to clarify issues at the project sites with the evaluation consultants and the beneficiary enterprises.

## **II Evaluation studies foreseen in the year 2002**

### **(a) Guiding principles**

4. The draft Year 2002 Work Programme for Monitoring and Evaluation like the previous two Work Programmes will aim at verifying to what extent intended results have been achieved in terms of sustainable ODS phase-out, within the approved budgets and time schedules. Moreover, it will identify and report on lessons learnt during implementation. While monitoring of results applies to all projects and activities, the interest for lessons learnt is most acute in areas where further funding is foreseen. It is in these areas that evaluations are most meaningful whereas monitoring covers all activities. This implies to focus evaluations on more recent projects, including intermediate reviews for on-going projects and programmes implemented during several years. For the 2002 Work Programme, the following approach is proposed:

- (i) Finalizing evaluations underway: this concerns the on-going evaluation of clearing house activities implemented by UNEP/ DTIE. The final report will focus on information exchange activities and will be presented to the 36<sup>th</sup> Meeting in 2002.
- (ii) Follow up with field visits on the desk study on aerosol projects presented to the 35<sup>th</sup> Meeting and prepare the evaluation on mobile air conditioning projects (MAC) requested by decision 34/13 of the Executive Committee. Halon projects present another sector which will be evaluated by means of a desk study and subsequent field visits. This will include a review of progress in the implementation of the Halon sector plan in China.
- (iii) To conduct studies in selected low-volume consuming countries on the progress achieved in implementing RMPs; these studies will focus on recovery / recycling and training activities as well as policy measures and will analyze the various activities in a country compliance context. As many RMPs have been approved which will take several years to implement, some external mid-term reviews of progress made might be warranted.

5. Annex II gives an overview of evaluation subjects and schedules proposed for presenting the reports to the Executive Committee. An overview of the sectors proposed for evaluation, showing number of projects, funds approved and disbursed, as well as the ODS phase out planned and achieved according to the PCRs received, is shown in Annex III.

### **(b) Main evaluation issues**

6. In the evaluations foreseen, particular attention will be paid to the following issues, as already practiced during the evaluations carried out in 2001:

- (i) Has the actual phase out occurred as planned, within the framework of the

approved budgets for Incremental Capital Cost and Incremental Operating Cost, with expenditures being made for eligible items only, and the projects being completed within the time schedules approved;

- (ii) What can be learned with regard to the sustainability of ODS phase out to limit the risk of returning to the use of ODS;
- (iii) What evidence can be collected on the actual incremental operating cost and savings and its role in facilitating project implementation;
- (iv) What can be learned from the implementation of umbrella projects and terminal phase-out projects, conversion projects involving small- and medium-sized enterprises and sector or country approaches as well as RMPs;
- (v) What are the linkages between project results and the creation and enforcement of an appropriate policy environment conducive to rapid phase out and compliance with the Montreal Protocol schedules (e.g. import licensing schemes, import restrictions, monitoring and enforcement mechanisms to supervise and restrict the use of ODS);
- (vi) Whether investment projects were appropriately supported by non-investment activities, where relevant.

7. Evaluation issues specific to individual studies will be worked out in the on-going or planned desk studies and will be presented in due course to the Executive Committee.

**(c) Implementation modalities and methodological approach to evaluation studies**

8. The practice of preparing desk studies and presenting their results for consideration to the Executive Committee before embarking on field visits has proven to be beneficial and will be continued where appropriate. The consolidated final reports incorporating the results of field visits and consultations with the various stakeholders on the draft reports will generally be presented two meetings after the presentation of desk studies.

9. While specific evaluation methodologies are to be worked out in each desk study, the approach generally consists of preparing a detailed review of project documents, project completion reports and other relevant information from the databases available in the Secretariat, followed by the elaboration of guidelines for structured interviews to be conducted with enterprises' personnel, during visits to a selected sample of projects in all regions. The case studies resulting from visits in the projects are then synthesized and the final recommendations presented to the Executive Committee after consultation with the National Ozone Units and Implementing Agencies involved.

10. For the clearing house evaluation user surveys via telephone interviews, questionnaires and consultations by e-mail are planned but no-field missions. For the intermediate reviews of on-going RMPs, a small sample of countries will be selected which have provided a rather

complete documentation on the progress achieved, in particular by presenting progress reports required for considering a 50% increase of funds as topping up to the RMP. The methodology for these country studies will be developed in consultation with independent experts, Implementing Agencies and National Ozone Units.

**(d) Budget**

11. The main items for conducting evaluations consist of fees and travel costs for consultants. Depending on the size of the samples chosen for field visits and the number of consultants hired, the cost of evaluations vary between US \$50,000 to US \$100,000 per study. Travel cost of staff increased because Project Officers of the Secretariat participated in some evaluation missions as resource persons. This practice proved to be valuable for the evaluations of foam, compressor and solvent projects and will therefore be continued. The proposed budget for the implementation of the Monitoring and Evaluation Work Programme 2002 is about three percent less than that of last year:

**Table 1: Proposed Budget for the Monitoring and Evaluation Work Programme 2002**

Evaluation studies (Aerosol, MAC, Halon Projects) of US \$ 60,000 each for consultant fees and travel	US \$ 180,000
One extended desk study on clearinghouse activities	US \$ 25,000
Selected country studies on implementation of RMPs	US \$ 40,000
Two desk studies (MAC, Halon Projects) at US \$8,000 each for consultant fees	US \$ 16,000
Staff Travel:	US \$ 60,000
Equipment:	US \$ 5,000
Communication, etc.:	US \$ 2,000
<b>Total:</b>	<b>US \$ 328,000</b>

**ANNEX I: OVERVIEW OF EVALUATIONS COMPLETED, UNDERWAY AND PLANNED  
INVESTMENT PROJECTS**

Sector	No. of Approved Projects	No. of Completed Projects	ODP To Be Phased Out As Per Inventory	ODP Production Approved	ODP Phased Out As Per 2000 Progress Report	Total Funds Approved	Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Aerosol	106	71	24,894	0	21,832	26,713,922	21,591,074		X	
Foam	926	496	49,685	0	27,443	279,377,034	161,121,888	X		
Fumigant	22	0	1,489	0	56	21,802,522	3,514,677			
Halon	40	24	30,883	25,836	55,295	49,217,362	30,882,499			X
<i>Recovery/Recycling</i>	3	3	1,100	0	1131	1,610,000	1,495,840			
Multiple Sectors	4	2	670	0	0	3,819,515	1,997,909			
Other	3	2	530	0	404	7,059,360	4,904,697			
Process Agent	11	0	1,096	0	0	4,322,310	233,887			
Production	7	5	0	18,374	13,511	73,607,120	47,303,620			
Refrigeration	536	287	30,002	0	19,023	391,395,039	284,507,625	X		
<i>Compressor</i>	44	26	1,678	0	323	67,325,550	54,852,087	X		
<i>MAC</i>	20	14	64	0	162	36,630,255	30,479,238			X
<i>MAC compressor</i>	3	3	1	0	1	4,680,210	4,356,919			X
<i>RMP</i>	21	0	55	0	0	1,983,629	0			X
Solvent	96	70	3,136	0	1,605	43,420,245	23,854,359	X		
Sterilant	1	1	21	0	21	395,095	395,095			
Total	1,752	958	142,405	44,210	139,190	901,129,524	580,307,330			

**OVERVIEW OF EVALUATIONS COMPLETED, UNDERWAY AND PLANNED  
NON-INVESTMENT PROJECTS**

Type	No. of Approved Projects	No. of Completed Projects	ODP To Be Phased Out As Per Inventory	ODP Phased Out As Per 2000 Progress Report	Total Funds Approved	Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Country Programme	144	129	0	0	7,090,310	5,710,326			
Demonstration	76	42	565	169	19,106,905	13,135,570			
<i>Methyl Bromide</i>	43	13	115	0	13,490,088	7,781,632			
<i>Recovery/Recycling and MAC Recovery/Recycling</i>	25	23	226	95	4,291,130	4,170,203	X*		
Institutional Strengthening	221	89	0	0	27,669,564	17,039,667	X		
Preparation	837	592	0	0	41,727,130	34,871,500			
Technical Assistance	496	291	4,258	1,758	66,411,193	52,779,394			
<i>Clearing house</i>	20	18	0	0	4,078,450	3,656,450		X	
<i>Networking</i>	31	26	0	0	7,440,326	5,510,694	X		
<i>Recovery/Recycling and MAC Recovery/Recycling</i>	58	45	2,108	1,377	14,721,934	12,106,447	X*		
<i>RMP</i>	94	2	705	31	10,515,868	4,557,907			X
Training	226	114	196	297	19,003,856	12,033,195	X*		
<i>RMP</i>	83	1	0	0	4,960,105	1,107,961			X
Total	2,000	1,257	5,019	2,224	181,008,958	135,569,652			

\* Limited sample evaluated so far; will be taken up again in the context of the planned intermediate evaluation of selected RMPs.

**ANNEX II: 2002 Schedule for Submission of Documents on Monitoring and Evaluation to the Executive Committee**

3 <sup>rd</sup> Meeting 2001	1 <sup>st</sup> Meeting 2002	2 <sup>nd</sup> Meeting 2002	3 <sup>rd</sup> Meeting 2002	1 <sup>st</sup> Meeting 2003
<ul style="list-style-type: none"> <li>• Desk study on the evaluation of <b>aerosol projects</b></li> <li>• Final report on the evaluation of <b>solvent projects</b></li> <li>• Report on the Implementation of the 2001 Work Programme, including <b>Consolidated Project Completion Report 2001</b></li> <li>• <b>Draft Work Programme 2002</b></li> </ul>	<ul style="list-style-type: none"> <li>• Extended desk study on the evaluation of <b>clearing house activities</b></li> <li>• Desk study on the evaluation of <b>MAC projects</b></li> </ul>	<ul style="list-style-type: none"> <li>• Final report on the evaluation of <b>aerosol projects</b></li> <li>• Desk study on the evaluation of <b>Halon projects</b></li> </ul>	<ul style="list-style-type: none"> <li>• Final report on the evaluation of <b>MAC projects</b></li> <li>• Report on the Implementation of the 2002 Work Programme, including <b>Consolidated project completion report 2002</b></li> <li>• <b>Draft Work Programme 2003</b></li> </ul>	<ul style="list-style-type: none"> <li>• Selected country studies on monitoring and evaluation of <b>RMP projects</b></li> <li>• Final report on the evaluation of <b>Halon projects</b></li> </ul>

**ANNEX III: Overview of Projects/sectors Proposed for Desk Studies and Field Evaluation in the 2002 Work Programme**

Sector	Agency	Number of Approved Projects	Number of Completed Projects	Total Funds Approved	Total Funds Disbursed	ODP to be Phased Out (tons)	ODP Phased Out (tons)	PCRs Received
<b>Aerosol</b>	<b>Total</b>	<b>106</b>	<b>71</b>	<b>26,713,922</b>	<b>21,591,074</b>	<b>24,894</b>	<b>21,832</b>	<b>59</b>
	Bilateral	1	1	90,400	52,952	16	0	0
	IBRD	26	18	12,294,115	10,213,722	19,664	17,729	16
	UNDP	36	21	6,398,124	4,528,445	1,737	1,028	14
	UNIDO	43	31	7,931,283	6,795,955	3,477	3,075	29
<b>MAC</b>	<b>Total</b>	<b>20</b>	<b>14</b>	<b>36,630,255</b>	<b>30,479,238</b>	<b>64</b>	<b>162</b>	<b>10</b>
	Bilateral	1	0	138,600	66,000	0	0	0
	IBRD	19	14	36,491,655	30,413,238	64	162	10
	<b>Total</b>	<b>40</b>	<b>25</b>	<b>49,217,362</b>	<b>30,882,499</b>	<b>30,883</b>	<b>55,295</b>	<b>22</b>
	Bilateral	6	1	1,748,400	807,000	1,004	231	1
	IBRD <sup>1</sup>	14	7	44,650,736	27,970,706	26,051	51,800	4
	UNDP	19	16	2,322,634	1,609,201	2,718	1,784	16
	UNIDO	1	1	495,592	495,592	1,110	1,480	1
<b>Clearing House<sup>2</sup></b>	<b>Total</b>	<b>20</b>	<b>18</b>	<b>4,078,450</b>	<b>3,656,450</b>	<b>0</b>	<b>0</b>	<b>13</b>
	UNEP	20	18	4,078,450	3,656,450	0	0	13
<b>RMPs</b>	<b>Total</b>	<b>198</b>	<b>3</b>	<b>17,459,602</b>	<b>5,665,868</b>	<b>760</b>	<b>31</b>	<b>0</b>
	Bilateral	62	1	5,989,411	2,631,443	313	0	0
	UNEP	72	0	3,752,515	692,617	0	0	0
	UNDP	36	2	4,247,752	1,630,224	254	31	0
	UNIDO	28	0	3,469,924	711,584	193	0	0

<sup>1</sup> Including funds approved and disbursed so far for the Halon Sector plan for China which was approved at the 23<sup>rd</sup> Meeting of the Executive Committee.

<sup>2</sup> Indicated here are only the non-recurrent activities. In addition, there is an annual core funding allocation for information exchange activities implemented by UNEP of about 1.1 Million US\$.

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