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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 2007**

Pre-session documents of the Executive Committee of the Multilateral Fund for the Implementation of the Montreal Protocol are without prejudice to any decision that the Executive Committee might take following issue of the document.

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I. Status of Implementation of the Monitoring and Evaluation Work Programme 2006

1. The following evaluations were implemented in line with the Monitoring and Evaluation Work Programme 2006:

- (a) The final report on the evaluation of Refrigerant Management Plan (RMP) in non-low-volume-consuming (non-LVC) countries was presented to the 48th Meeting of the Executive Committee (UNEP/OzL.Pro/ExCom/48/12). The Executive Committee noted the report with appreciation and requested the Senior Monitoring and Evaluation Officer to develop a comprehensive and categorized compendium of recommendations relevant to that evaluation, distinguishing between new recommendations and those that had already been approved by the Executive Committee. This compendium was presented to the 49th Meeting of the Executive Committee (UNEP/OzL.Pro/ExCom/49/7), which adopted a revised text of the compendium (decision 49/6).
- (b) The report on the desk study on the evaluation of CTC process agent projects and phase-out agreements (UNEP/OzL.Pro/ExCom/48/15) was presented to the 48th Meeting of the Executive Committee. The study focused on CTC used as process agents and on CTC production. At the 48th Meeting, the Executive Committee decided to take note of the desk study, including the proposed evaluation issues and work plan for the second phase of the evaluation.
- (c) The report on the desk study on the evaluation of the Compliance Assistance Programme (CAP) (UNEP/OzL.Pro/ExCom/49/8) was presented to the 49th Meeting of the Executive Committee. It provided an overview of CAP activities, mainly based on UNEP/DTIE documents, comments by the Fund Secretariat thereon and information contained in Fund Secretariat databases. The Executive Committee took note of the information provided in the desk study, including the proposed evaluation issues and work plan for the second phase of the evaluation.
- (d) The synthesis report on the evaluation of cases of non-compliance with the freeze in consumption of CFCs, halons, methyl bromide and methyl chloroform is being presented to the 50th Meeting of the Executive Committee. It summarizes findings from 8 country case studies which have been or are still in non-compliance with the phase-out schedules for one or several ozone depleting substances.
- (e) The consolidated project completion report (PCR) for 2006 is being presented to the 50th Meeting of the Executive Committee. The report provides the Executive Committee with an overview of the results reported in the project completion reports (PCR) received during the reporting period, i.e. since the 47th meeting in December 2005. It also reports on the follow-up to decision 47/6 with regard to establishing full consistency of data in PCRs, in the Inventory and in the Annual Progress Reports of the Implementing Agencies, and on their efforts to provide previously missing information and outstanding PCRs. For the first time, and in line with decision 48/12, lessons learned in the progress reports of annual implementation programmes are included.

II. Evaluation Studies Foreseen in the Year 2007

(a) Evaluations Underway and Proposed

2. When the CTC sector evaluation will be finalized, phase-out activities in practically all sectors funded by the Multilateral Fund, both as investment and non-investment projects, will have been evaluated (see Annex I-A and I-B for an overview). The evaluations are now related to compliance and modalities of assistance, such as CAP and multi-year agreements and to specific project types within sectors, such as incentive programmes or projects addressing low-volume consumption. They are designed to provide insights into lessons learned in the process of phasing out ODS in different countries, to analyze the reasons for problems faced, and to assess the prospects and risks for compliance with future intermediate and final reduction steps.

3. The following evaluations are underway and are proposed for the Monitoring and Evaluation Work Programme for 2007, (a) and (b) being a continuation of work started under the 2006 work programme and (c), (d), (e) and (f) as new activities:

- (a) Evaluation of CTC phase-out projects and agreements: Case studies have been completed for Pakistan and India. Visits to DPR Korea and PR China are planned for November and December 2006 before the synthesis report will be prepared and presented to the 51st meeting of the Executive Committee.
- (b) Evaluation of the CAP programme: Following the desk study, meetings of most regional networks have been attended by consultants to interview ozone officers and representatives of implementing and bilateral agencies. Case studies on CAP activities in these regions have been prepared or are being finalized, with another one on West Asia still to be started. The final synthesis report is scheduled for presentation in mid-2007.
- (c) Evaluation of management and monitoring of National Phase-out Plans (NPPs) in non-low-volume-consuming (non-LVC) countries: This is to complement the evaluation of RMPs and NPPs in non-LVC countries which focused on the refrigeration sector. It seems appropriate to analyze the experiences made with various management forms, in particular with project management units, the flexibility clause, with interministerial coordination and stakeholder cooperation, with the role of lead agencies, coordination among agencies, and the country-driven approach. Moreover, the quality and reliability of monitoring, verification and reporting should be looked at, as they are the basis for continued funding.
- (d) Evaluation of further cases of non-compliance by conducting field visits to a sample of Article 5 countries, and presenting a second synthesis report to the 54th meeting of the Executive Committee in early 2008. This would allow enlargement of the sample covered in the first synthesis report in order to give a more representative analysis. The first series of case studies was appreciated by the Ozone Units of the countries visited and gave an additional impetus to their ongoing efforts to bring back or keep their countries in compliance. The second report would also take into account the final 2005 Article 7 data for all countries,

the efforts made by countries in non-compliance with the 2005 phase-out targets and the results achieved through implementing action plans to return to compliance.

- (e) Extended desk study on incentive programmes for retrofits: This study aims to analyze experiences made during implementation in various regions. Commercial end-users in the refrigeration sector received subsidies to their cost of converting installations to non-CFCs. As this modality might be repeated in many countries within TPMPs, the review appears timely and of interest in terms of lessons learned. As a first step, available documents and reports will be analyzed, followed by visits to selected countries to enrich the desk study.
- (f) Extended desk study on low volume methyl bromide (MB) projects: Numerous technical assistance and some training projects have been approved to phase-out MB in many countries with low or no consumption of that ODS. The evaluation aims at establishing the usefulness of these measures and their impact in terms of enabling compliance with the 20% reduction step for MB consumption in 2005.

4. An overview of the evaluation studies and time schedule proposed for 2007 is presented in Table 1 below. For 2008, further evaluation studies will be suggested at the end of 2007.

Table 1
2007 Schedule for Submission of Documents on Monitoring and Evaluation to the Executive Committee

1 st Meeting 2007 (51 st)	2 nd Meeting 2007 (52 nd)	3 rd Meeting 2007 (53 rd)	1 st Meeting 2008 (54 th)
<ul style="list-style-type: none"> • Final Report on the evaluation of CTC phase-out projects and agreements • Desk Study on the evaluation of management and monitoring of national phase-out plans 	<ul style="list-style-type: none"> • Final Report on the evaluation of the CAP programme • Extended Desk Study on incentive programmes for retrofits 	<ul style="list-style-type: none"> • Extended Desk Study on low volume methyl bromide projects • Consolidated project completion report 2007 • Draft Work Programme 2008 	<ul style="list-style-type: none"> • Final Report on the evaluation of management and monitoring of national phase-out plans • Second synthesis report on cases of non-compliance

(b) Implementation Modalities and Methodological Approach

5. The practice of preparing desk studies for consideration of the Executive Committee has proven to be useful for the identification of the main evaluation issues and the preparation of adequate terms of reference for field visits. This practice is therefore planned to be continued.

6. While specific evaluation methodologies are to be worked out for each study, the approach generally consists of preparing a detailed review of project documents, progress reports, project completion reports and other relevant information from the databases available in the Secretariat. This is followed by the elaboration of guidelines for structured interviews to be conducted with all relevant public and private stakeholders during visits to a selected sample of countries in all regions. The case studies resulting from such visits are then synthesized and the final recommendations presented to the Executive Committee.

7. All draft evaluation reports are extensively discussed with the Ozone Units of the countries visited and the implementing and bilateral agencies concerned, and the comments received are taken into account for the final versions. This facilitates the discussion in the Executive Committee and the acceptance of the recommendations.

8. In line with Decision 46/7(c), evaluation reports submitted to the Executive Committee are for general distribution. They are posted on the public website of the Secretariat (www.multilateralfund.org) at the time of dispatch, followed by the decisions taken by the Executive Committee after discussing them. The case studies are placed on the Intranet of the Secretariat.

(c) Budget

9. The main budget items for conducting the proposed evaluations consist of fees and travel costs for consultants. The use of individual consultants has generally given good results due to their technical expertise in specialized fields and is significantly less costly than hiring consulting companies. Therefore, it is planned to continue to hire individual consultants for the evaluations planned as much as possible from both non-Article 5 countries and Article 5 countries and with gender balance in mind.

10. Table 2 below provides best estimates of cost for the proposed evaluation activities in the year 2007. The cost for finalizing the evaluations of the CAP and of CTC phase-out projects and phase-out agreements are covered by the budget for 2006. Desk studies usually cost about US\$10,000 and more if some field visits are already involved. The country case studies cost about US\$ 10,000 on average per country for consultant's fees and travel cost, and the final reports about US\$ 10,000, depending on the number of consultants involved. As these estimates may vary for each particular study, depending on the approach developed in the desk study, some flexibility in expenses between the various studies proposed is assumed. The total budget proposed for the 2007 work programme is US\$361,000 compared to US\$ 346,000 in 2006.

Table 2: Proposed Budget for the 2006 Monitoring and Evaluation Work Programme

Desk study, case studies and final report on the evaluation of management and monitoring of national phase-out plans:	US \$120,000
Extended desk study on incentive programmes for retrofits:	US\$ 35,000
Extended desk study on low volume methyl bromide projects::	US\$ 40,000
Further country studies and second synthesis report on cases of non-compliance:	US \$100,000
Staff Travel:	US \$60,000
Equipment (computer, etc.):	US \$4,000
Communication (phone, mail courriers, etc.):	US \$2,000
Total:	US \$361,000.00

III. Action Expected from the Executive Committee

11. The Executive Committee might wish to consider approving the proposed 2007 work programme for monitoring and evaluation at a budget of US\$361,000, as shown in document UNEP/OzL.Pro/ExCom/50/11.

ANNEX I (A): OVERVIEW OF EVALUATION COMPLETED, UNDERWAY AND PLANNED INVESTMENT PROJECTS

Sector	No. of Approved Projects	No. of Completed Projects	ODP Consumption Approved As Per Inventory	ODP Consumption Phased Out As Per 2005 Progress Report	ODP Production Approved As Per Inventory	ODP Production Phased Out As Per 2005 Progress Report	Total Funds Approved	Total Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Aerosol	117	107	25,557	24,897	0	0	35,339,444	28,333,046	X		
<i>CTC*</i>	3	2	173	150	0	0	676,779	546,510		X	
Foam	975	951	63,820	61,341	0	0	342,435,775	309,293,697	X		
Fumigant	71	19	5,010	3,016	0	0	66,712,754	36,228,299	X		
Halon	37	34	40,212	34,943	41,658	31,188	71,047,418	56,557,606	X		
Process Agent (CTC)	23	15	6,002	5,690	32,108	25,466	87,080,044	44,007,182		X	
National Phase-Out Plan	123	27	27,444	10,477	10,406	0	172,349,439	52,584,427	X		X
<i>CTC**</i>	24	3	12,533	1,441	10,406	0	49,533,441	14,267,118		X	
<i>Incentive and Retrofit</i>	8	0	302	30	0	0	8,856,292	1,808,152			X
Production CFC	28	17	0	0	70,730	57,793	229,300,000	180,882,368	X		
Refrigeration	591	546	38,943	35,899	0	0	421,799,482	391,612,549	X		
<i>Compressor</i>	43	42	4,581	4,580	0	0	65,633,154	65,568,336	X		
<i>MAC</i>	22	21	174	64	0	0	36,515,788	36,353,517	X		
<i>MAC Compressor</i>	3	3	1	1	0	0	4,624,714	4,624,714	X		
Solvent	118	110	6,761	6,623	0	0	82,273,617	55,402,634	X		
<i>CTC*</i>	35	28	5,156	5,002	0	0	57,195,054	30,465,015		X	
Other***	22	14	2,105	1,738	2,020	1,750	34,928,691	19,476,564			
Total	2,105	1,840	215,854	184,624	156,922	116,197	1,543,266,664	1,174,378,372			

*Projects with CTC component; however, no separate figures are available.

** Including projects with CTC component; however, no separate figures are available, except for CTC Phase-Out Plan.

*** Other include Multiple Sector (4 projects), Tobacco Fluffing (8 projects), Production TCA (1 project), Production MBr (1 project), Production ODS (5 projects) and Sterilant (3 projects).

ANNEX I (B): OVERVIEW OF EVALUATION COMPLETED, UNDERWAY AND PLANNED NON-INVESTMENT PROJECTS

Sector	No. of Approved Projects	No. of Completed Projects	ODP To Be Phased Out As Per Inventory	ODP Phased Out As Per 2005 Progress Report	Total Funds Approved	Total Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Country Programme	163	157	0	0	7,143,882	6,935,351			
Demonstration	85	67	473	218	32,345,965	17,192,922			
<i>Methyl Bromide</i>	41	35	23	21	12,412,793	11,816,271	X		
<i>Recovery/Recycling and MAC</i>	25	25	226	123	4,232,063	4,199,542	X		
<i>Recovery/Recycling</i>									
Institutional Strengthening	475	285	664	379	53,148,285	38,587,574	X		
Preparation	1,093	987	0	0	47,288,383	44,520,283			
Technical Assistance	836	525	9,314	3,449	133,851,785	99,285,820			
<i>Clearing House</i>	20	20	0	0	4,064,534	4,064,534	X		
<i>Regional Networks</i>	35	35	0	0	7,331,465	7,331,465	X		
<i>Recovery/Recycling and MAC</i>	57	54	2,105	1,753	14,127,897	13,168,997	X		
<i>Recovery/Recycling</i>									
<i>RMP</i>	258	93	2,087	855	28,278,886	16,717,328	X		
<i>Methyl Bromide</i>	61	35	281	107	6,051,634	2,769,839	X		
<i>Low Volume Methyl Bromide</i>	33	18	9	1	1,743,709	881,072			X
<i>National Phase-out Plans</i>	44	6	431	20	5,071,227	1,307,216			X
<i>Customs Training</i>	32	9	521	369	5,022,807	3,158,433	X		
<i>Licensing Systems</i>	29	17	13	0	5,704,509	5,287,143	X		
<i>CAP</i>	5	4	0	0	30,710,588	22,094,327		X	
<i>CTC (NPP)**</i>	1	0	0	0	25,000	0		X	
<i>CTC (Solvent)**</i>	12	0	34	0	670,690	71,027		X	
<i>Incentive and Retrofit</i>	25	2	259	68	4,984,679	1,278,489			X
Training	322	238	247	225	25,980,418	21,727,242	X		
<i>RMP</i>	157	88	0	0	9,194,761	6,197,512	X		
<i>Methyl Bromide</i>	21	19	6	3	1,580,183	1,484,515			
<i>Low Volume Methyl Bromide</i>	4	3	0	0	128,957	93,957			X
<i>National Phase-out Plans</i>	10	1	0	0	2,210,225	1,423,051			X
<i>Customs Training*</i>	78	44	0	0	3,996,993	2,781,150	X		
<i>Licensing Systems*</i>	10	6	0	0	543,400	265,588	X		
Total	2,974	2,259	10,698	4,271	299,758,718	228,249,192			

* These are stand-alone projects and some which are part of RMPs but have separate project numbers and budgets. Those which are fully integrated into one RMP project are part of the figures

** Projects with CTC component; however, no separate figures are available.

ANNEX II: OVERVIEW OF PROJECTS/SECTORS PROPOSED FOR DESK STUDIES AND FIELD EVALUATIONS IN THE 2007 MONITORING AND EVALUATION WORK PROGRAMME*

Sector	Agency	No. of Approved Projects	No. of Completed Projects	Total Funds Approved	Total Funds Disbursed	ODP Consumption Approved (tons)	ODP Consumption Phased Out (tons)	ODP Production Approved (tons)	ODP Production Phased Out (tons)
Compliance Action Programme (CAP)	Total	5	4	30,710,588	22,094,327	0	0	0	0
	UNEP	5	4	30,710,588	22,094,327	0	0	0	0
CTC Phase-Out Projects and Agreements (including Process Agent)	Investment Projects								
	Total	49	19	151,402,157	60,325,305	18,328	7,104	44,269	27,216
	IBRD	14	7	110,986,583	51,730,316	11,570	5,180	42,167	25,466
	UNDP	1	0	114,480	0	0	2	0	0
	UNIDO	24	12	21,101,094	6,523,626	3,868	1,924	2,102	1,750
Bilateral	10	0	19,200,000	2,071,363	2,888	0	0	0	
Phase-Out Plans	Investment Projects								
	Total	104	25	124,544,126	38,344,354	15,268	9,064	0	0
	IBRD	33	18	47,619,782	16,596,659	5,912	3,174	0	0
	UNDP	23	1	40,615,847	11,260,353	7,072	4,824	0	0
	UNIDO	26	4	26,820,830	7,001,036	1,470	1,003	0	0
	Bilateral	22	2	9,487,667	3,486,306	814	63	0	0
	Non-Investment Projects (Technical Assistance and Training)								
	Total	51	6	6,683,852	2,479,683	431	20	0	0
	UNDP	7	0	425,000	70,617	39	0	0	0
	UNEP	20	1	1,844,228	415,904	54	0	0	0
	UNIDO	7	2	775,218	52,382	263	7	0	0
	Bilateral	17	3	3,639,406	1,940,780	76	13	0	0
	Incentive and Retrofit	Investment Projects							
Total		8	0	8,856,292	1,808,152	302	30	0	0
UNDP		4	0	3,159,200	242,570	110	30	0	0
UNIDO		3	0	5,635,062	1,540,582	190	0	0	0
Bilateral		1	0	62,030	25,000	2	0	0	0
Non-Investment Projects (Technical Assistance)									
Total		25	2	4,984,679	1,278,489	259	68	0	0
UNDP	18	1	3,620,212	819,295	140	17	0	0	
Bilateral	7	1	1,364,467	459,194	119	51	0	0	
Low Volume Methyl Bromide	Non-Investment Projects (Technical Assistance and Training)								
	Total	37	21	1,872,666	975,029	9	1	0	0
	UNDP	3	0	730,000	440,576	7	1	0	0
	UNEP	17	15	500,875	293,146	0.4	0	0	0
	UNIDO	12	4	396,261	121,307	0	0	0	0
Bilateral	5	2	245,530	120,000	1.5	0	0	0	

* In addition, further case studies on countries in non-compliance are planned