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EXECUTIVE COMMITTEE OF
THE MULTILATERAL FUND FOR THE
IMPLEMENTATION OF THE MONTREAL PROTOCOL
Forty first Meeting
Montreal, 17 -19 December 2003

**DRAFT MONITORING AND EVALUATION WORK PROGRAMME FOR THE YEAR
2004**

I Status of Implementation of the Monitoring and Evaluation Work Programme 2003

1. An extended desk study on RMPs was presented to the 39th meeting of the Executive Committee (document UNEP/OzL.Pro/ExCom/39/14). It contained preliminary conclusions based on the analysis of documentation and case studies in Guatemala, Jamaica and St. Lucia. It also proposed the approach for further case studies, including having discussions at regional network meetings. The resulting report on the evaluation of RMPs focussing on LVC countries is being presented to the 41st meeting, containing lessons learnt and recommendations to refocus the approach.
2. A report on the evaluation of the halon sector was presented to the 40th meeting of the Executive Committee, based on case studies in Brazil, India, Malaysia, PR China and Venezuela. This report pointed to strengths and weaknesses of the halon phase-out programme in each of the countries visited and of the halon-related activities implemented by UNEP. Based on lessons learnt in completed and on-going projects, it presented principles for the development of national fire codes and standards as well as for the design and implementation of effective and sustainable halon banking and recovery/recycling projects.
3. There was also a desk study on the intermediate mid-term evaluation of CFC production sector phase-out agreements presented to the 40th meeting (document UNEP/OzL.Pro/ExCom/40/9). The evaluation issues and approach proposed for the field evaluation were reviewed by the MEF-Subcommittee and endorsed by the Executive Committee.
4. As a follow-up to the final report on the evaluation of aerosol projects (document UNEP/OzL.Pro/ExCom/38/5) and subsequent decisions 38/2 and 39/11 (b), information on procurement procedures of implementing agencies was provided in document UNEP/OzL.Pro/ExCom/39/5 and further elaborated in document UNEP/OzL.Pro/ExCom/40/10.

II Evaluation Studies Foreseen in the Year 2004

(a) Guiding Principles

5. The guiding principles presented in last year's Monitoring and Evaluation work programme with its new focus on intermediate evaluations of on-going activities, in particular sector phase-out plans and multi-year projects, remain valid also for the coming year. The two main reasons for this new focus are that the traditional projects have largely been covered by the various evaluations undertaken so far, and that sector and national phase-out plans and multi-year projects are now the dominant instruments for achieving ODS phase-out and enabling compliance. Some sector plans are now under implementation for several years, and their evaluation would yield valuable lessons learnt for the design of future phase-out plans, and for the implementation of on-going sector programmes, bearing in mind their flexibility clause which allows for continued adjustments.

(b) Evaluations Proposed

6. The following evaluations are proposed for the Monitoring and Evaluation Work Programme 2004:

- (i) Follow-up on the desk study on the CFC-production sector, by conducting field visits to China, India and DPR Korea and presenting the evaluation report to the 42nd meeting of the Executive Committee. This mid-term evaluation will examine the implementation of a programme which absorbs a large part of funds of the Multilateral Fund and will have a crucial impact on the success of the CFC phase-out programme for all Article 5 countries.
- (ii) Finalize the evaluation on the solvent sector phase-out plan in China already foreseen in the 2003 work programme and present it to the 42nd meeting of the Executive Committee. The purpose of this evaluation is to establish lessons learnt during the implementation of this sector plan, which was the second one approved after the halon sector plan China. The evaluation will study the methods used for contracting solvent enterprises, analyze the reasons for the delays occurred, the overall cost-effectiveness, the institutional set-up and policies as well as the monitoring and reporting mechanisms used. This might yield valuable conclusions relevant to the preparation and implementation of sector or national phase-out plans in other countries, taking into account the particular conditions in China.
- (iii) Extend the RMP evaluation which so far focussed on LVC countries, by conducting case studies in non-LVC countries, including those with phase-out plans for the refrigeration sector. The conditions in these countries are in some aspects different from LVC countries, particularly with respect to number of workshops, volume of CFC consumption, quantities recovered and recycled and the need for reclamation or destruction facilities. Some national and sector phase-out plans have also used new implementation modalities worthwhile to analyze.
- (iv) Organize further case studies on halon banking and R&R projects, in order to supplement the evaluation report on the halon sector presented to the 40th meeting of the Executive Committee, in particular with regard to halon banking and recovery/recycling projects in LVC countries. This report would also analyze regional halon banking projects.
- (v) Prepare a desk study and selected case studies on methyl-bromide projects, in order to prepare an evaluation of this increasingly large and complex sector by late 2004/early 2005. A sufficiently large number of projects, in particular non-investment and demonstration projects, have now been completed to make this evaluation meaningful and possible (see Annex II for a statistical overview).

- (vi) A desk study on the evaluation of national phase-out plans is proposed to be prepared in late 2004 to be presented to the 45th meeting of the Executive Committee in spring 2005. It will review the documentation available, identify evaluation issues and propose an approach for case studies to be conducted in 2005.

7. An overview of the evaluation studies and time schedule proposed is presented in Table I below:

Table 1
2004/05 Schedule for Submission of Documents on Monitoring and Evaluation to the Executive Committee

1 st Meeting 2004(42 th)	2 nd Meeting 2004(43 th)	3 rd Meeting 2004 (44 st)	1 st Meeting 2005 (45 nd)
<ul style="list-style-type: none"> • Report on the intermediate evaluation of CFC production sector phase-out agreements • Report on the intermediate evaluation of the solvent sector phase-out plan in China 	<ul style="list-style-type: none"> • Report on the intermediate evaluation of halon banking projects for countries with medium and low installed halon capacities • Desk study and selected case studies on methylbromide projects 	<ul style="list-style-type: none"> • Report on the intermediate evaluation of RMPs and phase-out plans for the refrigeration servicing sector in non-LVC countries • Consolidated project completion report 2004 • Draft Work Programme 2005 	<ul style="list-style-type: none"> • Report on the evaluation of methylbromide projects • Desk study on the evaluation of national phase-out plans

(c) Implementation modalities and methodological approach to evaluation studies

8. The practice of preparing desk studies and consulting with the implementing agencies before presenting terms of reference for consideration to the Executive Committee has proven to be useful to determine carefully the evaluation issues before embarking on fields visits. This will be continued wherever quantity and quality of available documentation allow for the preparation of a substantial study. For on-going projects or programmes, like RMPs and methylbromide projects, for which sufficient reports on their implementation are not available, a few case studies based on information collected during field visits will enrich the desk study to enable correct identification of the main evaluation issues and the preparation of adequate terms of reference for further field visits.

9. The final evaluation 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.

10. While specific evaluation methodologies are to be worked out in each 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 to projects are then synthesized and the final recommendations presented to the Executive Committee after consultation with the National Ozone Units and Implementing Agencies involved.

(d) Budget

11. The main budget items for conducting the evaluations proposed consist of fees and travel costs for consultants. The use of individual consultants gave generally good results due to their technical competence in specialized fields and is significantly less costly than hiring consultants at corporate rates. Therefore, it is planned to hire individual consultants, as much as possible, from both non-Article 5 countries and Article 5 countries, and from both sexes for the evaluations planned. Some funds for the evaluations of CFC production sector phase-out agreements (US \$40,000), and case studies on methylbromide projects (US \$40,000.00), had been approved already for the 2003 Work Programme. The additional funds are required to allow for visiting a larger number of countries and to employ more consultants than originally foreseen. The budget proposed for the 2004 work programme is US \$256,000, compared to US \$198,000 for last year (plus US \$100,000 of unspent balances from 2002) and about US \$300,000 for each of the preceding three years.

Table 2: Proposed Budget for the 2004 Monitoring and Evaluation Work Programme

Intermediate evaluation of CFC production sector plans:	US \$20,000
Case studies on methylbromide projects:	US \$40,000
Case studies on RMPs in non-LVC countries and final report:	US \$ 80,000
Case studies on halon banking and recovery/recycling projects in LVC countries and final report:	US \$50,000
Desk study on national phase-out plans:	US \$10,000
Staff Travel:	US \$50,000
Equipment (computer, etc.):	US \$4,000
Communication (phone, mail courriers, etc.):	US \$2,000
Total:	US \$256,000.00

**ANNEX I (A): OVERVIEW OF EVALUATIONS COMPLETED, UNDERWAY AND PLANNED
INVESTMENTS PROJECTS**

Sector	No. of Approved Projects	No. of Completed Projects	ODP Consumption Approved As Per Inventory	ODP Production Approved As Per Inventory	ODP Consumption Phased Out As Per 2002 Progress Report	ODP Production Phased Out As Per 2002 Progress Report	Total Funds Approved	Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Aerosol	110	85	25,141	0	23,471	0	27,771,471	24,612,854	X		
Foam	980	741	57,946	0	40,883	0	318,416,566	235,911,671	X		
Fumigant	38	4	2,813	0	519	0	38,947,852	11,643,960			X
Halon	35	30	34,504	31,188	31,417	28,875	56,621,465	42,471,557	X		X**
Process Agent	15	4	1,214	2,638	552	0	27,193,378	2,627,086			
National Phase-out Plans	19	3	2,357	0	97	0	42,100,273	894,263			X
Production CFC	13	9	0	28,158	0	23,381	125,144,350	92,670,748		X	
Refrigeration	571	389	35,657	0	24,906	0	409,311,563	336,484,128	X		
Compressor	45	32	4,583	0	2,533	0	67,016,957	62,684,237	X		
MAC	21	19	64	0	64	0	36,486,170	32,747,888	X		
MAC Compressor	3	3	1	0	1	0	4,624,714	4,624,714	X		
RMP	3	0	12	0	0	0	341,397	970	X		X***
Solvent	109	85	5,035	0	2,420	0	62,589,002	32,962,612	X		
Other*	12	7	1,285	0	715	0	15,975,411	11,239,244			
Total	1,902	1,357	165,952	61,984	124,979	52,256	1,124,071,331	791,518,124			

* Other include Multiple Sector (4 projects), Tobacco Fluffing (5 projects) and Sterilant (3 projects).

** Evaluation planned for countries not covered by the evaluation report submitted to the 40th Meeting of the ExCom.

*** Evaluation planned for Non-LVC Countries.

**ANNEX I (B): 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 2002 Progress Report	Total Funds Approved	Funds Disbursed	Evaluation Completed	Evaluation Underway	Evaluation Planned
Country Programme	159	144	0	0	7,626,916	6,289,277			
Demonstration	73	60	473	219	18,311,197	15,695,143			
<i>Methyl Bromide</i>	41	28	23	22	12,849,133	10,328,357			X
<i>Recovery/Recycling and MAC Recovery/Recycling</i>	25	25	226	123	4,284,463	4,194,636	X*		
Institutional Strengthening	309	147	378	0	36,589,704	23,883,686	X		
Preparation	975	810	0	0	45,645,699	39,352,931			
Technical Assistance	634	381	7,632	2,314	97,908,169	62,275,433			
<i>Clearing House</i>	20	20	0	0	4,078,450	4,046,534	X		
<i>Regional Networks</i>	35	31	0	0	7,515,249	7,176,057	X		
<i>Recovery/Recycling and MAC Recovery/Recycling</i>	57	49	2,099	1,569	14,200,615	12,774,997	X*		X
<i>RMP</i>	162	32	1,402	271	19,042,675	8,414,024		X	
<i>Methyl Bromide</i>	39	26	26	0	3,135,254	1,597,248			X
<i>National Phase-out Plans</i>	7	0	81	0	714,468	25,000			X
Training	270	169	219	217	23,866,632	15,603,264	X*		X
<i>RMP</i>	114	34	0	0	7,179,724	3,184,248	X*		X
<i>Methyl Bromide</i>	20	16	6	0	1,655,333	1,181,994			X
<i>National Phase-out Plans</i>	4	0	0	0	1,758,125	170,820			X
Total	2,420	1,711	8,703	2,750	229,948,317	163,099,734			

*Limited sample evaluated so far, will be taken up again in the context of the intermediate evaluation of selected RMPs in non-LVC countries.

ANNEX II: OVERVIEW OF PROJECTS/SECTORS PROPOSED FOR DESK STUDIES AND FIELD EVALUATIONS IN THE 2004 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 Production Approved (tons)	ODP Consumption Phased Out (tons)	ODP Production Phased Out (tons)	PCRs Received	
Halon Banking and Recovery/ Recycling*	Total	26	5	6,224,327	1,126,136	3,342	0	0	0	1	
	IBRD	5		1,819,070	88,065	1,290	0	0	0	0	
	UNDP	5	1	1,495,000	316,401	1,050	0	0	0	1	
	UNEP	1		50,000	43,595	0	0	0	0	0	
	UNIDO	1		249,700	8,017	370	0	0	0	0	
	Bilateral	14	4	2,610,557	670,058	632	0	0	0	0	
RMPs in Non-LVC Countries	Total	60	14	9,027,072	4,235,257	587	0	101	0	11	
	UNDP	9	1	1,349,161	657,067	78	0	37	0	0	
	UNEP	20	2	1,715,620	383,319	0	0	0	0	2	
	UNIDO	16	10	3,024,625	1,441,316	242	0	64	0	9	
	Bilateral	15	1	2,937,666	1,753,555	268	0	0	0	0	
Methyl bromide	Investment Projects										
	Total	38	4	38,947,852	11,643,960	2,813	0	519	0	2	
	IBRD	3	0	1,443,425	362,195	117	0	0	0	0	
	UNDP	11	0	8,294,783	1,429,992	346	0	92	0	0	
	UNIDO	20	4	24,222,228	7,624,596	2,011	0	391	0	2	
	Bilateral	4	0	4,987,416	2,227,177	340	0	36	0	0	
	Non-Investment Projects (Demonstration, Technical Assistance and Training)										
	Total	100	70	17,639,720	13,107,599	55	0	22	0	63	
	IBRD	4	0	1,047,374	298,231	15	0	0	0	0	
	UNDP	17	10	3,999,260	2,101,876	34	0	22	0	10	
	UNEP	38	31	2,617,500	2,132,779	0	0	0	0	31	
	UNIDO	29	20	8,056,078	6,940,809	6	0	0	0	16	
	Bilateral	12	9	1,919,508	1,633,904	0	0	0	0	6	
	CFC Production Sector	Total	13	9	125,144,350	92,670,748	0	28,158	0	23,381	0
		IBRD	11	8	118,500,000	91,326,398	0	27,658	0	22,881	0
UNIDO		2	1	6,644,350	1,344,350	0	500	0	500	0	
Solvent Phase-out Plan in China	Total	4	0	25,790,000	4,863,974	2,077	0	357	0	0	
	UNDP	4	0	25,790,000	4,863,974	2,077	0	357	0	0	
Phase-out Plans	Investment Projects										
	Total	19	3	42,100,273	894,263	2,357	0	97	0	0	
	IBRD	11	3	27,204,958	844,031	939	0	97	0	0	
	UNDP	3	0	13,093,929	50,232	1,294	0	0	0	0	
	UNIDO	4	0	1,321,386	0	93	0	0	0	0	
	Bilateral	1	0	480,000	0	31	0	0	0	0	
	Non-Investment Projects (Technical Assistance and Training)										
	Total	11	0	2,472,593	195,820	81	0	0	0	0	
	UNDP	1	0	140,000	0	2	0	0	0	0	
	UNEP	2	0	118,125	0	0	0	0	0	0	
UNIDO	3	0	136,068	0	21	0	0	0	0		
Bilateral	5	0	2,078,400	195,820	58	0	0	0	0		

* Excluding 5 countries (Brazil, China, India, Malaysia and Venezuela) covered by the evaluation report submitted to the 40th Meeting of the ExCom.