

The Role of UNDP
for
2000 ~ 2025

September 2000
Friends of UNDP in Japan

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FRIENDS OF UNDP
ON
UNDP MINISTERIAL MEETING

INTRODUCTION

A Group of Friends of UNDP in Japan was formed in July 2000 in order to enhance the understanding of policy makers, scholars, practitioners and the public in Japan on the activities of UNDP and to formulate and communicate their views and ideas to officials of UNDP and members of the Executive Board of UNDP in New York concerning the evolving policies and strategies of the UNDP. It was agreed that any interested person could join the group.

The gathering of the Friends of UNDP followed the call made by the Administrator during his first visit to Japan in August 1999 for Japan to enter into strategic partnership with UNDP to support the efforts made by developing countries for sustainable human development. In order to establish firmly such strategic partnership between UNDP and Japan, the Administrator decided to upgrade and empower its office in Tokyo to initiate specific measures aimed at generating stronger support and commitment of the Japanese government and civil society for UNDP. The Administrator also found it pertinent to pursue the idea of establishing a civil society group that will increase the understanding and support of Japanese people and that will contribute innovative ideas and recommendations to UNDP to improve its critical role as a development policy advisory and operational arm of the United Nations system.

At its first meeting of the Friends of UNDP held in July, the group decided to examine in depth the ideas and options set forth in five papers prepared for the participants of the Ministerial Meeting. The Friends appointed as its chairperson Professor Ryokichi Hirono, Seikei and Teikyo Universities, the former Assistant Administrator of UNDP in charge of Policy and Evaluation, and chairpersons entrusted with the task of coordinating the study of the five papers were as follows:

1. UNDP: The Operational Arm of the United Nations
Akiko Yuge, Professor, Ferris University
2. UNDP: Building on Results
Kazuo Takahashi, Director, International Development Research Institute
3. UNDP and Universality
Tatsuro Kunugi, Professor, International Christian University
4. UNDP: The Financial Situation
Hideo Sato, Professor, Fukuoka International University

5. UNDP: The Challenge Ahead

Ryokichi Hirono, Professor Emeritus, Seikei University and Professor, Teikyo University

The Friends of UNDP met as a group and individually during the months of July and August and studied the proposals contained in the papers for the Ministerial meeting. The Friends found that the initiative taken by the Administrator was most timely in bringing to the attention of policy makers of both donor and programme countries the new strategic approaches that the UNDP could pursue in providing advisory and operational assistance to developing countries. The Friends noted in particular the critically important support extended by UNDP in building and strengthening the institutional capacity and social capability of developing countries to meet newly emerging development challenges that arise in a rapidly changing global environment in such areas as governance, conflict prevention, post-conflict rehabilitation and information technology. The group also considered that UNDP should play a more active role in meeting the so-called "gap" and effectively managing the process of transition from crisis to recovery phases in some developing countries and areas. According to the group, UNDP should remain open minded concerning the type and nature of assistance that can be provided in response to specific needs felt by the people of developing countries. The group found the strength of UNDP to be in maintaining the universality of its presence and the ability to serve the changing needs and requirements of its member states as promptly and as effectively as possible and to enable its members to draw lessons from each other's development experiences. Their specific conclusions and recommendations are as follows.

SUMMARY OF RECOMMENDATIONS

Based on their assessment of the emerging roles that UNDP can play in capacity building, countries and areas in special development situations, and in application of newly available technology, the Friends recommended that UNDP:

The Operational Arm of the UN

- Focus on areas where it has a dynamic comparative advantage. These now include poverty reduction, conflict prevention, and post-conflict development where a gap exists between emergency assistance and longer-term development cooperation.
- Strengthen the UN Resident Coordinator system and use it to harmonize UN policies and procedures; specifically establishing a common UN services system, using IT for information sharing, and identifying synergies in Common Country Assessment (CCA) / UN Development Assistance

Framework (UNDAF) and Comprehensive Development Framework (CDF) / Poverty Reduction Strategy Papers (PRSP).

- Expand partnerships with other development agencies, civil society organizations, and the private sector to enhance developmental impact and foster a flexible and responsive UNDP delivering high quality development assistance.

Building on Results

- Create an enabling environment for the alliance of NGOs, UN agencies, the World Bank, regional development banks and developing the system of global governance that will tackle the problems aggravated by market-based globalisation such as poverty, environmental destruction, conflict, and the undermining of indigenous cultures.
- Provide intellectual leadership, assist in conflict prevention (especially prevention of resurgence of conflicts through capacity building for democratic governance), and establish a neutral mechanism to deal with debts.
- Involve civil society (particularly NGOs) in policy-making so their role is not limited to just capacity building or implementation.

Universality

- Confirm the three important dimensions of universality as it applies to UNDP:
(1) universal presence in programme countries that contributes to a coherent development effort and capacity-building; (2) universal partnership of all actors that enhances the support base and synergistic process of UNDP's work; and (3) universal values and UN perspectives that UNDP advocates for peace and sustainable development and promotes through best practices.
- Maintain its presence particularly in countries where bilateral ODA tends to diminish or cease because of the problems of governance and human rights situations and also in other countries when it promotes further contribution to technical cooperation among developing countries or plays the role of instilling global perspective in bilateral ODA and forging partnerships with UNDP.
- Maintain presence in emerging donor countries such as the Republic of Korea.
- Promote greater participation of local and international NGOs for the sake of cost-effectiveness and capacity building and work with the private sector if in the public interest to do so.
- Build strategic partnerships in development policy and operational activities

with civil society organizations and other UN operational agencies in order to cope with the challenges of globalisation.

Financial Situation

- Focus operational activities on areas where bilateral and other development agencies cannot operate such as governance, post-conflict development, and conflict prevention while strengthening overall aid coordination through the UN Resident Coordinator system.
- Consider termination of projects or merger of country offices subject to review of cost-efficiency and developmental impact.
- Encourage donors to follow the example of Japan and restore core resource funding to 1992-3 levels and mobilize complementary non-core resources by strengthening partnerships with donors.

The Challenge Ahead

- Continue with its mandate to assist developing countries and in particular least developed countries in capacity building and development policy, programmes and projects in pursuit of sustainable human development in closer cooperation and partnership with all other relevant and competent actors in the development field.
- Enhance its policy and technical assistance to developing countries to turn digital divide into digital opportunities, in cooperation with other bilateral and multilateral development agencies, in the world of dramatic transformation of national and international economic management and governance precipitated by the on-going Information and Communications Revolution.
- Accelerate a shift to new patterns of world peace, development and justice so as to accommodate the aspirations of emerging countries and reduce confrontation and distrust between the rich and the poor, rural and urban communities and the traditional and emerging industrial countries in the 21st century.
- Warn the international community of the dangers of environmental destruction, change the global tendency for a wasteful lifestyle, and promote reuse, restraint and recycling of all resources including renewables.

1. UNDP: The Operational Arm of the United Nations

Chaired by

Akiko Yuge, Professor, Ferris University

The Group considers the points listed below as areas of key importance in strengthening UNDP as the operational arm of the UN. These should be discussed at the forthcoming Ministerial Meeting.

1. Determining programme focus

In planning and implementing development cooperation activities, UNDP should carefully consider different development paths and approaches that would best suit the particular developing country. UNDP should then focus its efforts in those areas where it possesses comparative advantages over other UN agencies and development cooperation organizations. In other words, it needs to define its niche based on such comparative advantages within the overall priority area of poverty reduction, which is an important element in conflict prevention.

Programme focus areas should include, among others, multi-sectoral technical cooperation, areas requiring collaborative efforts by various UN agencies, advocacy and policy advice on development issues discussed at various UN fora; and selected areas of governance. More specifically, these include support for capacity building in: aid management and coordination; analysis of development issues through preparation of national human development reports; formulation of multi-year development plans, long-term development visions/perspectives, and upstream development policies and strategies. They also include support for: public sector, administrative and other institutional reform and development; legal system reform; elimination of corruption; and follow-up to global conferences. UNDP support to these areas should be provided in appropriate balance with other technical cooperation activities within its overriding priority area of poverty eradication. Considering the scarcity of development cooperation at the regional level, UNDP should continue to support priority regional development needs.

2. Strengthening response capacity in conflict and post-conflict situations

With a large number of developing countries involved in armed conflicts, the UN system should strengthen its response capacity to deal more effectively and efficiently with the humanitarian and development dimensions of the conflict to post-conflict continuum. In recognition of its mandate and the comparative advantage that UNDP has, UNDP should take the following steps:

- (a) Coordination in the conflict to post-conflict continuum. As the

Chairperson of the UN Development Group (UNDG) and within the framework of the UN Resident Coordinator (UNRC) system, UNDP should lead the discussions to determine the appropriate role of various UN agencies and possibly other development partners in this continuum. The discussion should address the issue of bridging the gap between emergency assistance and longer-term post-conflict development cooperation.

(b) UNDP's role in post-conflict development cooperation. UNDP should recognize post-conflict development cooperation as a major part of its mission and mandate. It should therefore formulate an overall policy and strategy statement on its role in this area. This should include UNDP's role in:

- Enhancing its lead in programming post-conflict assistance in close cooperation with the other UN agencies. This should be based on a situational analysis and strategic framework formulation approach, bearing in mind that successful post-conflict development management is an important element in preventing the recurrence of conflicts.
- Formulating a resource mobilization strategy for post-conflict development cooperation. UNDP should also take the lead role in this area.
- From the range of post-conflict development cooperation activities, UNDP should pursue its focus based on its comparative advantages.

3. Strengthening the UNRC system

While various measures have been taken to strengthen the UNRC system, this area requires further effort. The areas requiring attention include:

- (a) Further consolidation of the CCA and UNDAF system, based on experience and lessons learned. Specific mechanisms for stronger collaboration and coordination between CCA/UNDAF and CDF/PRSP should be devised so that UNDP and the World Bank can realize genuine complementary effects of their coordination mechanisms.
- (b) Provision of adequate resources to support the UNRC system and its activities.
- (c) Improvement of the UNRC recruitment system. The present system of UNRC recruitment involves a lengthy period, resulting in a gap between the assignment of UNRCs. A more efficient system of appointing UNRCs should be in place while ensuring a careful selection process.

4. Harmonization of policies and procedures within the UN System

- (a) Administrative, personnel and financial services: For the UN system agencies to operate more efficiently, streamlining, simplification, and harmonization of policies and procedures in administrative, personnel, and financial services should be expedited. Furthermore, at the country level, the existing sections of the UN agencies that handle these functions should be merged at an early occasion to form a UN system common services section. This should result in reduced staff and higher cost-efficiency. Within the framework of the UNRC system, UNDP should take the lead in these areas.
- (b) Programme work: Similarly, streamlining, simplification, and harmonization of programme policies and procedures should also be expedited. An important area in this context is the development of a common system for monitoring and evaluation of development cooperation activities.
- (c) Information sharing of different aspects of development should be further promoted within the UN system. This should include, among others: establishing a UN common roster of experts so as to improve the selection process; and a system to share lessons and best practices in various development fields. Such systems should be on-line using state-of-the-art information and communication technology with maximum user friendliness. Within the framework of the UNRC system, UNDP should take the lead to coordinate this exercise.

5. Responding to technical cooperation needs speedily

UNDP must be able to respond to emerging technical cooperation needs in a speedy manner. For this, streamlining of procedures is necessary. This should include further delegation of authority to country offices, simplification of procedures, flexibility in the recruitment of experts as well as procurement of goods and services, to enable the provision of high quality support in a timely manner.

6. Strengthening development partnerships

UNDP should further explore and strengthen its development partnerships with traditional and newly emerging donor countries, UN agencies, development cooperation organizations, civil society organizations, the private sector, and other partners with a view to enhancing the impact of its programmes. Innovative arrangements should be explored while maximizing their respective comparative advantages. UNDP should be able to

efficiently serve as a facilitator of bilateral assistance. The private sector's financial and technological resources should also be tapped to strengthen UNDP's activities without compromising its neutrality.

2. UNDP: Building on Results

Chaired by

Kazuo Takahashi, Director, International Development Research Institute

1. Globalization and UNDP

The most powerful forces at work now and in the foreseeable future in the international community originate in market based globalization. It is essential for UNDP to position itself clearly in relation to these forces. Whether it enhances this process, or it attempts to deal mainly with the problems that are brought about or aggravated by these forces. UNDP, being the primary organ that promotes the objectives of the agreements reached at the UN conferences of the 1990s, should make its position clear. It is to deal mainly with the problems that are aggravated by the market-based globalization, and to, therefore, address itself to such issues as poverty, environmental deterioration, internal or external conflicts and the weakening of indigenous cultures. The major role of UNDP should be to help formulate new socio-economic approaches to deal effectively with these problems, and to establish an alliance of stakeholders to pursue these objectives. This process could be called political-economy globalization. UNDP should position itself at the center of the alliance of political-economy globalization that is promoted by NGOs, bilateral donors, the World Bank, the regional development banks and other UN agencies as well as a large number of governments of developing countries. It is of vital importance to recognize that these actors constitute a grand alliance, and to gradually formulate a clear division of labor among them.

Globalization forces based on new technologies including information technology and bio-genetics straddle both processes of globalization. It is important for UNDP to make it clear that its function is to make these technologies development friendly and sustainable through capacity building and governance facilitation.

2. Need for Critical Analysis and Vision

Given the fundamentally different world community from the cold war period, it is now essential for UNDP to evaluate its own performance in as critical a manner as possible, a stance which is totally lacking in the paper. Based on the thorough review of its policies and operations, an exercise that should be made public world wide, it is of vital importance to provide the world community with a vision of the emerging world where UNDP is to play a useful role, a vision that is also lacking in the paper.

While the realities of the developing world are rapidly changing, with deepening miseries and new hopes, with steady progress and constantly disappointing performance, the paper does not express the real feelings of the

people as well as the needs and potentials of them. It is afraid that the lack of realism of development in this paper might be taken as reflecting the distance of UNDP's operations from the realities of the rapidly evolving developing world.

3. Selective Recommendations

In view of these observations, a number of recommendations can be made:

(a) Intellectual leadership

UNDP has strengthened its own intellectual capacity in recent years through such publications as the Human Development Reports, and the Global Public Goods, as well as through various networks. It is desirable for UNDP to strengthen these knowledge capitals further and attempt to lead the international development community through intellectual influences as Chair organization of the Development Group. This should be applied to UNDP's coordinating roles in the UN system at the headquarters level. It may be useful to begin to apply it at the field (country) level in a few countries. The lessons learned by the international development community in the past half century have been studied by various research institutions and universities around the world. Based on its existing intellectual credibility, UNDP might utilize relevant information more systematically from these institutions for up-stream policy dialogue.

(b) Armed conflict

UNDP should have unique roles in relation to conflicts internally and regionally.

- Internal conflicts

The important roles of UNDP in conflict prevention, conflict resolution and post-conflict peace building should be acknowledged. Analytical functions of the field offices for conflict prevention purposes should be enhanced and the ways to link early warning to early actions should be studied including the specific roles to be played by relevant agencies. It is also important to strengthen the Emergency Response Division at the headquarters, in particular as related to conflicts.

- Regional conflicts

Regional projects should be more clearly targeted at conflict prevention. A neutral function of UNDP may have considerable potential in this area and could help facilitate resolution of conflicts on a sustainable basis in cooperation with regional organizations, e.g. the Organization for African Unity (OAU). The coordinating role of UNDP in the UN system should be useful at the field level. Capacity

building of neighboring countries for mutual understanding, and strengthening of regional governance structure are useful objectives of UNDP.

(c) Debt management

Management of debts in HIPCs requires a rather fundamental change. The current system is managed by the creditors. It should be useful to consider a possibility to attempt a more neutral approach. One possibility might be to establish a list of credible experts on debt from which the debtor country may select one who organizes a team to analyze the situation and provide some alternatives for the debtor and creditors to negotiate on, in such a forum as the Paris Club. UNDP might play a central role in managing it, including the financing of these arrangements, a cost that should be very small, but contributes significantly to the solutions of the difficult problems of debts.

(d) Civil Society

UNDP's future should rest on close collaboration with civil society not only in implementing projects but also in policy making globally and nationally. While a small step has been taken recently, it is of vital importance to elaborate cooperative arrangements based on the experiences of other UN agencies, the World Bank and bilateral aid agencies. The first step might be to establish an advisory group where CSOs, in particular, NGO representatives are included, and consult it for clearer conceptualization of these relations. In the mean time, it might be useful to test a similar approach in a few countries at the field level.

(e) Governance

While governance in general is clearly an important area where UNDP should play a critical role, there are emerging issues in which governance structure is becoming an important issue in an increasing number of developing countries. They include information technologies and bio-genetics. In the light of this development, the roles to be played by NGOs such as consumer associations should be added to the classic agenda of governance.

3. UNDP and Universality

Chaired by

Tatsuro Kunugi, Professor, International Christian University

UNDP has long been recognized as the central agency for international development within the UN system. UNDP over the years has indeed achieved a great deal as the major provider of technical assistance, as the facilitator of partnerships in development across developed, developing and transition countries, and most importantly, as the overall coordinator of multi-faceted operational activities by UN specialized agencies and other programmes that have a bearing on the goals of human development and human security.

Building on these achievements UNDP is expected to play a crucial role in global planning and resource management for international development. In a rapidly globalizing world, however, UNDP is at the crossroads to rethink and determine the direction in which its efforts should move by way of adaptation to changing times and in response to expectations of the international community at the cusp of a new century. The concept of universality is particularly relevant to such determination as it concerns three dimensions of the key aspects of UNDP's work, namely:

- (a) Universal presence in programme countries that contributes to a coherent development effort and capacity-building;
- (b) Universal partnership of all actors that enhances the support base and dynamic process of UNDP's work;
- (c) Universal values that UNDP advocates for peace and sustainable development and promotes through practice.

The relevance of these three dimensions deserves special attention in policy making, as well as in administrative resource allocation, for the sake of maximizing the efficiency and effectiveness of UNDP's work.

1. Universal presence in all developing and transition countries is highly desirable but UNDP presence needs to be slightly more selective, and the following considerations are specially relevant:
 - (a) UNDP presence is essential in all low-income countries in the regions, such as Sub-Sahara, where bilateral ODA has a recent tendency to diminish and in countries where special difficulties such as post-conflict situations and complex emergencies exist.
 - (b) In countries where bilateral donors have a tendency not to maintain aid offices because of the prevailing problems of governance and human rights situations, the process of dialogue with and access to UN provided

by UNDP presence are widely appreciated by the international community, as well as by the countries concerned.

(c) UNDP presence in middle-income countries is cost effective if these countries actively contribute to technical cooperation among developing countries.

(d) To some of the mini-States where a full-scale country programme does not exist it may be appropriate to extend cooperation from a UNDP office in a neighboring country. The presence of UNDP experts may also be an alternative.

(e) UNDP presence in donor countries should also be reviewed in terms of the positive role it can play in instilling global perspective in bilateral development cooperation and forging partnerships with the donors, as is the case in Japan.

2. Universal partnership is a positive factor that enhances the political support base of UNDP and strengthens the effectiveness of UNDP's work both at headquarters and in the field. The multiple effects of synergy can derive from good partnerships with all actors, including national governments, local governments and communities, international organizations, civil society organizations and business organizations. It may appropriately be noted that wide interest, support and human involvement of people are perhaps much more important in the long run than political support pronounced at a ministerial meeting on UNDP.

In the field, experience shows that greater participation of local NGOs as well as international NGOs contributes a great deal to the capacity building and cost-effectiveness of operations. UNDP's work can likewise benefit from cooperation of business organizations, provided the principle is accepted by partners that partnership in development, unlike business partnership, is not really meant for mutual profits and benefit of the actors themselves, but primarily for the well-being of humanity, service in the public interest and global public good.

3. Universal values of human development, democratic governance, and human rights (including gender equality, the rights of the child and the national minorities) need to be consistently advocated by UNDP. Such advocacy of UN perspectives would greatly enhance the legitimacy of UNDP as the central agency for international development within the entire UN system. Furthermore, valuable knowledge and experience gained over the years needs to be fully utilized through advocacy. A reservoir of such knowledge and experience may further strengthen the think tank function of UNDP headquarters serving not only UNDP presence in the field but also other operational agencies, international and regional financial institutions

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and bilateral donors.

A set of principles and policy formulation for partnership in development might usefully be prepared by UNDP taking into account the diversity of development issues, including post-conflict situations, and new challenges of globalization. Practical guidelines and standards may also be prepared for training a group of specialized experts who may be dispatched as the occasion requires.

4. In conclusion the benefits of universal presence need to be weighed and balanced together with those of universal partnership and universal values as discussed above. UNDP and other operational agencies in the UN system have already gained useful experience in building and managing partnerships in operations with civil society organizations. On the other hand, partnership among those operational agencies themselves has not made much progress, even though synergy from such partnership has been envisaged in various declarations and programmes of action adopted by major UN conferences in the 1990s.

In order to effectively deal with global issues that are interlinked, it is necessary for all operational agencies of the UN system and other actors to build strategic partnership in policy in addition to partnership in operations. Furthermore, for the purpose of global planning and resource management for international development, the leadership role of UNDP in pursuit of strategic partnership in policy is becoming increasingly more important to cope with the challenges of globalization.

4. UNDP: The Financial Situation

Chaired by

Hideo Sato, Professor, Fukuoka International University

1. Introduction

As many of the world's disadvantaged are being marginalized by the increasing pace of globalization and the IT revolution, the need for development assistance increases. For a UNDP promoting pro-poor policies, the new challenge is how to meet this emerging development requirement with a limited resource base.

The core resources, which are the bedrock for UNDP activities, have fallen from a peak of \$1.2 billion in 1992 to only \$680 million in 1999. Conversely, non-core resources have seen a rise in recent years.

The Group examined the situation and wish to bring forward its findings and make specific recommendations.

2. Causes for Fall in Core Contributions

The paper does not comment on the reason for the dramatic fall in core resources, but an analysis of the reason for the fall is necessary to achieve the targets set in the MYFF. The Group compared the recent trend of core resources with the one of overall ODA budgets of the DAC countries that provide most of the support for UNDP core resources. There is a clear trend in the overall amount of ODA for the period from 1992 to 1998 and the percentage of ODA that has gone to UN organizations. While ODA has been in a gradual downward trend, the percentage of overall ODA that has gone to UN organizations has remained a steady 8%. Meanwhile, UNDP's share of all the contributions to the UN has dropped from 22% in the early 90's to 19.8% in 1997 and then to 17.8% in 1998. This shows that the problem faced by UNDP is not one commonly faced by the UN system as a whole. There is certainly a need to investigate other UN agencies but judging from the views voiced by donor countries at the Executive Board over the last few years, it would appear that the following problems may be the main reasons for the cuts in their funding to UNDP core resources.

- Firstly, the main emphasis placed on the role of advocacy and less importance attached by UNDP management to operational activities during the last several years have resulted in a decrease in pressure for more resources
- The second reason for the decline in core-resources contribution is the increasing desire of the main contributors to direct financial resources to specific activities through the cost-sharing and trust

fund mechanisms

- Thirdly, the UNDP theme of "Sustainable Development" covers such a broad area that the main focus is not clearly identified and results of UNDP activities are not tangible partly because much attention has not been paid to public information activities, which leads to a drop in donor confidence and criticism that funds are not being used effectively and efficiently. In Japan, administrative reform has led to requests for more tangible results (visibility of Japan) and efficiency in execution of projects funded by ODA. The Group noted that UNDP has rightly addressed this concern through publication of the Results-Oriented Annual Report.

3. Recommendations

(a) Focus Areas

The core resources, which should form the base of UNDP activities, must be rebuilt by narrowing the focus of UNDP activities and clearly identifying what services are being provided.

Firstly, UNDP should demonstrate its comparative advantages by making good use of its UN nature of neutrality and universality in areas where bilateral and other development agencies cannot operate. In particular, policy dialogue to help good governance.

Secondly, UNDP should put higher priority on post-conflict development as the operational arm of the UN. Ideally, not only post-conflict development requiring a large amount of funds but also more effort in the area of conflict prevention.

Thirdly, UNDP should strengthen the role of its intellectual leadership, reinforced by publication of the Human Development Report, which enables UNDP to gain credibility and support for the first two suggestions.

(b) Effective Execution

Cost-efficient value-added projects and programmes should be promoted and those that are not cost-efficient must be terminated. The possibility of merging country offices also should be investigated.

In order to effectively use limited ODA, UNDP should further enhance aid coordination, including the promotion of multi-bi cooperation.

As part of this, UNDP must strengthen its leadership as the manager

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and funder of the UN Resident Coordinator system to promote overall coordination among UN agencies in the field for the implementation of UNDAF and CCA. UNDP is also expected to eliminate overlap and work closely with the Bretton Woods Institutions.

(c) Non Core Resources

Core resources should be restored to the level of 1992-1993 through renewed commitment of major donor countries to UNDP following the example of Japan

Non-core resources complement core resources to meet development needs in a more strategic manner for both donors and recipients. UNDP must be active to mobilize non-core resources through further strengthening its partnership with interested donors in the areas and countries concerned.

UNDP must strengthen its constituencies and seek ways to mobilize funds from non-government sources, for example, the private sector. Collecting individual donations on the Internet may be an option (projects with specific aims would be most effective.)

Using the vitality of NGOs, donor governments should be persuaded to establish a funding mechanism to enable rapid development assistance.

5. UNDP: The Challenge Ahead

Chaired by

Ryokichi Hirono, Professor Emeritus, Seikei University
and Professor, Teikyo University

1. Role of UNDP in the United Nations System

The United Nations is the inter-governmental organization with universal membership whose objective is to promote world peace, development and justice by setting the global agreements, rules, protocols, guidelines and resolutions which member nations are required to follow. UNDP is part of the UN system, charged with the responsibility and function of achieving the objective of bringing about world development consistent with world peace and justice. UNDP is thus the operational arm of the UN in the broad field of development, calling for all its member states to follow the global agreements, rules, protocols, guidelines and resolutions set by the United Nations General Assembly, ECOSOC and other bodies superior to UNDP and act according to its own subset of rules with the objective of translating broad development agenda thus agreed upon into concrete, effective and immediate actions tailored to the needs and requirements of each and every member state consistent with world peace and justice.

Given the fact that the UN system is composed of United Nations Funds and Programmes along with Specialized Agencies, UNDP has the responsibility and function of coordinating all the development actions and services rendered by all UN organizations and agencies with the primary objective of bringing the greatest possible development impact in each and every member state through coordinated and, if possible, integrated actions. This, however, requires that UNDP has the legal, administrative and financial authority to exercise such broad mandate, empowered by the General Assembly in general and by ECOSOC in particular so that all the UN organizations and agencies are ready to cooperate with UNDP in development policy, programme and project coordination and integration at the global, regional and national level. This will be the most difficult part for the UNDP and, for that matter, the UN system to realize, given the current situation that each of the UN organizations and agencies is governed by its respective Governing Council composed of the representatives of its member states and is not ready yet to delegate its authority to UNDP for coordination and integration of its development actions under the UNDP umbrella. Fundamental reforms of the UN system are thus called for, if UNDP is supposed to fulfill the responsibility and function of bringing the greatest possible development impact in each and every member state through its coordinated and integrated actions.

2. Immediate Objectives and Tasks of UNDP

The Copenhagen Social Summit set the global target of halving poverty by the year 2015. Given the fact that absolute poverty has increased over the last decade in sub-Saharan Africa and other developing countries severely affected by armed internal conflicts and the Asian financial crisis beginning in 1997 and given a prediction that it will be quite difficult, though not impossible, for these countries to raise during the coming fifteen years their annual average economic growth rates from 3 to 7 percent, the minimum required for halving poverty by the target year, it is absolutely a must that UNDP should attempt to identify new approaches to development which will enable its member states concerned to achieve the anti-poverty target. Such new approach to development will necessarily have to be oriented toward sustainable human development which will lead to lessen human poverty as well as income poverty even under conditions of less than 7 percent annual economic growth. In spite of a perceived difficulty of achieving the target by 2015, UNDP should not move away from the anti-poverty target which has widely been accepted by the rest of the United Nations and the Bretton Woods Institutions.

Confronted by a rapid pace of globalisation and newly empowered civil society organisations (CSOs) in nearly all its member countries, UNDP will be called for to assist developing countries to "own" their national development policies and programmes and integrate themselves into the world economy as efficiently as possible through expanded trade, foreign investment and aid. UNDP will also be increasingly requested to assist developing countries to minimize as effectively as possible the risks and social cost resulting from such globalisation by adopting equitable public policies and effective, accountable and decentralised institutions and also by working together with community-based organizations and CSOs. UNDP, coordinating with the rest of UN organizations, the World Bank and regional development banks, must take a leadership at the global, national and local level in mobilizing the support of people in nations, regions and communities to these shared goals and providing technical cooperation that is impartial, professional and tailored to country-specific contexts.

3. Changing Global Environments and the Long-term Tasks of UNDP

The world will be confronted with three major issues during the coming 25 years, increasingly so as we approach the end of the first quarter of the 21st century. It will be vital for UNDP to take into account these grave political, economic and social issues in mapping out its long-term strategy of development cooperation as a forward-looking international development agency constantly seeking realistic alternative development policies and as part of the effective operational arm of the United Nations.

The international community will be confronted by a new issue of

establishing a workable system of global governance during the coming 25 years. In 25 years there will be several large and populous developing countries such as Seven Bears (China, India and Indonesia in Asia and Argentina, Brazil and Mexico in Latin America and South Africa in Africa) that will have gained enormous economic and financial strength, technological capability and political stature in the world that has up to now been dominated by developed countries of Western Europe, North America and Japan. The Seven Bears as emerging industrial countries, possibly by then with new "permanent" seats in the reformed Security Council together with Japan and Germany, will begin increasingly to challenge the traditional developed countries in establishing a new world order, whether for peace, development or justice. There will be times of economic, political and social confrontation and those of cooperation between the traditional and the emerging regimes. Many of the emerging nations are already expressing displeasure against on-going waves of political, social and cultural globalisation emanating from economic globalisation hitherto promoted by IMF/World Bank, and are seriously searching new patterns and systems of global development, trade, investment and finance. UNDP will have to engage itself during the coming 25 years or so in a steadfast effort to minimize such confrontation and enhance cooperation between the two regimes, while simultaneously assisting both the emerging and other developing countries to accelerate their economic and social development. This will require UNDP on the one hand to accelerate its own search for new approaches to development that will meet the aspirations of both emerging and other developing countries for sustainable growth and human development and on the other to accelerate a shift to new patterns of world peace, development and justice so as to accommodate the aspirations of both the traditional and emerging countries in the 21st century.

The second most important issue facing the world community under the on-going pressures of globalisation and information technology will be increasing income, capacity and opportunity gaps between the rich and the poor in all countries, which will no longer be tolerated as in the past under the growing pressures of national and international CSOs invariably active both in developed and developing countries. Confronted by such difficult economic, political and social issue, UNDP will be called for to provide developing countries with both policy and technical assistance to mitigate the adverse impact of the increasing income, capacity and opportunity gaps on the ordinary people and the poor, lest that it should lead to rising social and political instability and lesser governability in these countries. In so doing UNDP will now have to begin not only to sharpen its technical and professional capacity and mechanisms to deal with these globally critical longer-term issues, but also to intensify its partnership with local, national and international CSOs, private sector, local governments and other stakeholders without whose cooperation the narrowing of these economic, political and social gaps among people will be next to impossible.

The third issue facing the world will be further deterioration in global environment, as industrialization continues to spread to some of the most populous countries such as China and India and to other emerging nations. More often than not, these developing countries will unfortunately continue to use environmentally unsustainable technologies and methods of production because of their lack of access to such technologies due to financial and technical difficulties. Also, urbanization in these developing countries will continue to spread at the rate faster than in developed countries, seriously deteriorating biologically and physically sustainable environments. It is already feared that the global environment in 25 years or so will be so damaged under the continuing priority placed on high rates of economic growth and modernization that shifts to environmentally sustainable lifestyle will become no longer a matter of national choice but one of necessity for global survival. UNDP must continue to warn the international community including developed countries against further environmental deterioration at home and abroad and do everything it can command to resist the global tendency for greater economic comfort and wasteful lifestyle now conspicuously prevailing in developed and many emerging countries and promote reuse, restraint and recycling of both natural and man-made resources.

4. The Role of UNDP for 2025

The main functions of UNDP in the 21st century will be to assist both central and local governments of developing countries to improve their capacity both in terms of human resources, regulatory and legal framework and institutions to formulate, implement, monitor and evaluate their development policies, programmes and projects aimed at reduction of confrontation between rich and poor countries, elimination of poverty and inequality, strengthening of capacity for sustainable governance, and environmental protection.

UNDP should play a more active role in preventive development and post-conflict development and not only to bridge the gap between emergency assistance and longer-term post-conflict development cooperation but also to undertake "preventive development" which requires laying the foundation for sustainable governance and human development.

UNDP will have to continue to provide an intellectual forum at the global, regional and national levels to stimulate alternative thinking on development paradigms, approaches, strategies and policies, as done by global and national Human Development Reports and by a series of excellent publications of the Office of Development Studies at UNDP.

UNDP should assist developing countries to turn digital divide into digital

opportunities, in cooperation with other bilateral and multilateral development cooperation agencies. Similarly, UNDP should continue to assist developing countries through application of other new technologies.

As the operational arm of the United Nations, UNDP will be increasingly required to work effectively with other partners of development cooperation, both bilateral and multilateral at the global, regional and national levels, and strengthen its role as funder and manager of the UNRC System in the field of development, including the provision of financial, personnel and administrative services at the country level.

5. UNDP Management Reforms

Fully support all the reforms now going on and expected to be installed soon. Additional reform measures will have to be introduced with the changing responsibility and function of UNDP in the years to come so that UNDP can carry out the above-mentioned role effectively.

Friends of UNDP

Members

Mr. Kazuo AICHI	Former Director-General, Environment Agency
Prof. Hiroko AKIZUKI	Associate Professor, Asia University
Mr. Yoshitaro FUWA	Senior Deputy Director, International Development Research Institute
Prof. Moritaka HAYASHI	Professor, Waseda University
Prof. Ryokichi HIRONO	Professor Emeritus, Seikei University and Professor, Teikyo University
Ms. Mika IWASAKI	External Affairs Officer, World Bank Tokyo Office
Ms. Kazuko KANO	Senior Technical Advisor, Project Development Department, Japan Bank for International Cooperation
Dr. Etsuko KITA	Senior Advisor Bureau International Cooperation, International Medical Center of Japan
Mr. Naoyuki KOBAYASHI	Deputy Director, First Medical Cooperation Division, Medical Cooperation Department, Japan International Cooperation Agency
Mr. Yoshihiko KONO	Executive Director, Japan Bank for International Cooperation
Mr. Michiya KUMAOKA	President, Japan International Volunteer Center
Prof. Tatsuro KUNUGI	Professor, International Christian University
Mr. Satoru KUROSAWA	Director of Global Issues Division, Planning and Evaluation Department, Japan International Cooperation Agency
Mr. Hiroshi MATSUMOTO	Senior Executive Director, The International House of Japan, Inc.
Mr. Kazumoto MOMOSE	Asahi Shimbun
Mr. Yuji MORI	Regional Focal Point, North Asia & the Pacific, PARinAC
Mr. Masahiro OMURA	Director of Research Coordination Senior Research Fellow, The Japan Institute of International Affairs
Prof. Hideo SATO	Professor, Fukuoka International University
Prof. Tsuneo SUGISHITA	Professor, Ibaraki University
Ms. Noriko SUZUKI	Director, Africa Division Regional Department 4, Japan International Cooperation Agency
Dr. Kazuo TAKAHASHI	Director, International Development Research Institute
Ms. Mihoko TAMAMURA	Liaison Officer, UNOPS Tokyo Office
Ms. Yumiko TANAKA	Managing Director, Social Development Cooperation Department, Japan International Cooperation Agency
Prof. Makoto TANIGUCHI	Professor, International Christian University
Dr. Mitsuhiro TANIMURA	Researcher, International Development Research Institute
Mr. Toshiya TSUKAMOTO	Executive Director, Adventist Development and Relief Agency Japan
Prof. Takeo UCHIDA	Professor, Chuo University
Mr. Noriyuki WAKISAKA	Editorial Writer, Asahi Shimbun
Ms. Eimi WATANABE	Assistant Administrator and Director, UNDP
Prof. Kano YAMAMOTO	Chair, Division of International Studies, International Christian University
Prof. Yoza YOKOTA	Professor, Tokyo University
Prof. Akiko YUGE	Professor, Ferris University

(in alphabetical order)

Observers

Ministry of Foreign Affairs, Japan

Mr. Hirohisa SOMA	Deputy Director, Multilateral Cooperation Division, Economic Cooperation Bureau
Ms. Yoshiko INAGA	Assistant Director, Multilateral Cooperation, Division, Economic Cooperation Bureau

UNDP

Mr. Sukehiro HASEGAWA	Director, UNDP Tokyo Office
Mr. Hisatsugu SHIMIZU	Deputy Director, UNDP Tokyo Office
Ms. Aileen KERMAN	Public Affairs Officer, UNDP Tokyo Office
Ms. Makiko SUGAYA	UNDP Tokyo Office
Ms. Minori TERADA	UNDP Tokyo Office
Mr. Matthew THORNINGTON	UNDP Tokyo Office
Ms. Kazumi SHIMAOKA	UNDP Tokyo Office
Mr. Takamitsu NAGAI	UNDP Tokyo Office



DAC Tokyo workshop on Evaluation Feedback for Effective Learning and Accountability

DAC WORKING PARTY ON AID EVALUATION

**Current Developments
in Evaluation Feedback Procedures
in the European Commission: a summary**

Submitted by

'European Commission'

**Hosted by the Government of Japan
26-28 September 2000**



COMMISSION OF THE EUROPEAN COMMUNITIES
SCR - Common Service for External Relations

Resources, relations with the other institutions, evaluation, and information
Evaluation

Brussels, September 2000

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Rue de la Loi 200, B-1049 Bruxelles/Wetstraat 200, B-1049 Brussel - Belgium - Office: B-28, 5/152.
Telephone: direct line (+32-2)29(2) 296 6111, switchboard 299.11.11. Fax: 29(2) 299 2912.
Telex: COMEU B 21877. Telegraphic address: COMEUR Brussels.

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A Summary of Current Developments in Evaluation Feedback Procedures in the European Commission

1. A major recent policy document, dated 16 May 2000 and entitled "Communication to the Commission on the Reform of the Management of External Assistance", contained the following paragraph:

Evaluation will be given a higher profile

Evaluation of individual projects is a function integral to the project cycle and as such is a core task of the new implementing body (*i.e. the planned successor to the present SCR*). However evaluation of the results of regional and sectoral policies, programmes and programming performance is crucial to the success of external assistance policies as a whole, and needs to feed back into the programming cycle. To ensure objectivity, this level of evaluation should be carried out independently and serve as a feedback to the services responsible for policy, programming and implementation. The evaluation service would be accountable to the Group of RELEX Commissioners. The Group will decide on the work programme of the evaluation service and act on its report and recommendations.

2. This seminal statement goes a long way to help determine the shape and function of the Commission's evaluation service and programme structure for the foreseeable future. It comes a few months after completion of the internally-commissioned "meta-evaluation" of the process of evaluation of the Commission's external aid programmes. The main findings of that study concerned *inter alia* how evaluations are used. It was noted that while more and more evaluations were being requested by the Services, often to comply with commitments in numerous recent Regulations, their use (feedback or follow-up) varied widely and sometimes appeared to be absent.

3. The study recommended the adoption of three formal mechanisms:

- obligatory debate by senior management of the key findings of all major evaluation reports;
- publication on the Internet, alongside each major evaluation report, of the responses and decisions of Management;
- a "Quality-Support-Group"-type peer-review system to check that relevant evaluation findings (with other policy orientations and quality standards) are respected in new finding proposals.

4. Implementation of the first and third of these recommendations falls outside the responsibilities of the Evaluation Unit. The first has already been agreed and is being applied to the ACP programmes, and its proposed application to the ALA, MED, Phare and Tacis programmes is increasingly likely to be consistently realised, in the light of the Communication to the Commission.

5. As to the third recommendation, the existing Quality Support Group (QSG) is widely recognised as working well and representing a principle worthy of more general application (*i.e.* to the ALA, MED, Phare and Tacis programmes), although details of precisely how the principle will be implemented are still awaited. In any event, the Evaluation Unit

expects to be a permanent member of the new, additional higher-policy-level QSG already decided upon in May.

6. The second recommendation falls directly to the Evaluation Unit and is already being implemented. For some time now all reports commissioned by the Evaluation Unit have been published on the Internet, the number accessible there currently totalling 141.

7. At the end of 1999 the Unit agreed with DG Development the principle of the "fiche contradictoire" as a convenient way of making generally known the responses of the Commission Services to the findings of an evaluation. An example of such a fiche is appended. The principle is at present only applied to evaluations of ACP programmes, but progress is already evident in its application to other programmes, and the impact of the reform of the management of external assistance in this regard should certainly be positive.

8. Other steps currently in hand include:

- regular maintenance of **evaluation databases**, both of the Unit's own on the SCR Internet site, with special focus on the continuing production of high-quality, concentrated evaluation summaries in the "EvInfo" series; but also, on an internal system currently containing 576 titles, of the growing number of project-level evaluations undertaken by the operational Services (the latter will increase in importance as the work of the Evaluation Unit moves increasingly towards "policy-mix" types of evaluation with a stronger focus on coherence between development co-operation policies and other policies, for example those on trade, leaving both project-level and programme-level evaluations to the Services);
- simplification and **standardisation** of both evaluation Terms of Reference and the definitions of key evaluative concepts and criteria;
- increasing the time spent on **communicating evaluation findings**, subject to human resource constraints (part of this 'selling' work - workshops, discussion meetings and so on - can be done through the consultants/contractors and, furthermore, it can start before the final report is completed, by involving key stakeholders and decision-makers in the entire process through the use of steering groups etc);
- active support for the design and adoption (although not subsequent management) of **monitoring systems** that will yield timely, cumulative and as far as possible standardised data on resources used, their relation to outputs and results as well as inputs and activities, so as to improve regular feedback within project management (such systems have for some time existed for Phare and Tacis and are now progressively being set up for the other instruments - e.g. ACP, MED, ALA - under the guidance of the Evaluation Unit).

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"FICHE CONTRADICTOIRE"

Evaluation of the Environmental Performance of EC Programmes in Developing Countries 1990-95

Recommendations:Responses of DG VIII services:

1) Adopt clear, ordered set of environment policy objectives	Make a proposal for DGVIII in view of a Commission-wide (IA, IB, VIII) concept (A/1)
2) Allocate sufficient manpower to the design of complex environment projects, e.g. by - extra staff or END's - closer linkages with DG XI - more consultants	Better use of present staff, and more consultants, is enough (E) Release manpower by implementing budget line via other sectors (E) Do not use ENDS - too limited experience (E) Contract special environmental consultants to assist design of all EDF projects with environmental impacts. (A/1)
3) Increase Commission's capacity by - training within Commission; - develop institutional memory ('best practices'). - provide further guidance on project design & on potential environmental impacts of activities	Convince task managers of importance of environment (B/2) Training welcome (B/2) - and strengthen NGO's capacities also (B/2) Design 2-3 training programmes on environment in HQ and ACP's and integrate relevant modules into existing training courses on PCM & on Fin and Econ Analysis, during '98 (A/1). Training = top priority (E) Establish 'best practices' reference manual (A/1). Interpret environmental issues "into" various sector policies (E) Update Environment Manual and design simple tools: eg sectoral ToR's, checklists, Environment addendum to Financial + Economic analysis Manual, examples of 'best practices' (A/1) Provide for Env. Impact assessments in NGO cofinancing rules (B/2) Manual useless without monitoring and reporting (E)
4) Establish a simple and effective monitoring system (in particular re. conditionalities, indicators and baseline data)	Follow-up Project Monitoring and Indicators report (Sept 96) (awaits Mgmt decision) No - "will complicate our activities" (E) Introduce a chapter on environment into Annual Reports on National Indicative Programmes by '98 (Mgmt on proposal of A/1). Only if environment important in NIP's (F)
5) Produce an annual Environment Report; and better disseminate results/lessons (incorporating necessary funds in project budgets)	No - cover in annual country report of Del. (E)

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<p>6) Clarify responsibilities for -</p> <ul style="list-style-type: none"> - monitoring the level of integration of environment into country programmes (possibly including the use of clearly-stated funding targets) - project/ programme monitoring and reporting - implementing ELA procedures 	<p>Implement environment at (other) sector level -- i.e. within other sectors (E)</p> <p>Review visa circuit, with specific provision for A/1 to approve relevant PIS and Fin. Proposals (A/1)</p> <p>Envt. "helpdesk" is necessary, but no visa for A/1 (deresponsibilises others, delays ...) (E)</p> <p>See 4 above</p> <p>Ensure policies are translated into action (E)</p> <p>A/1 is ready to make a specific proposal (A/1)</p>
<p>7) Build partnership & policy framework by -</p> <ul style="list-style-type: none"> - agreeing joint country or regional environmental strategies using participatory methods. - constant policy dialogue - actions on legislative and policy framework 	<p>Only possible where Evt. is spelled out in NIP (A/1)</p> <p>Start pilot activities to formulate National Sustainable Development Strategies (A/1)</p> <p>Introduce chapter in political report of Delegations (A/1's proposal). No - not in political report (E) (F)</p> <p>Start a pilot programme(s) (A/1) (E)</p> <p>Provide institutional support to Gvts (E)</p>
<p>8) Establish specific spending targets by region</p> <ul style="list-style-type: none"> -Africa: increase to approx 10 % average from current 2.1 % of funding, through greater integration of environment into rural development projects and better identification of more specific (primary) environment projects -Pacific: maintain current level (0.7 %) in absence of supportive environmental framework -Caribbean: maintain current level of 9.7 %. 	<p>No - ACP States determine the priorities (E)</p> <p>Draft policy guidelines after concertation with ACP's (A/1)</p> <p>Specific targets for for each instrument and budgetline may not be feasible (A/1)</p> <p>Not realistic to set a target figure, as ACPs' preoccupations are different (E)</p>
<p>9) Enhance effectiveness, impact and sustainability, of EDF and B7-6200 projects through:</p> <ul style="list-style-type: none"> - long-term commitment (5 to 10 years), - multidisciplinary and integrated approach - strengthening national institutional capabilities - participatory approach - consult/implicate more the Delegations and national institutions in B7-6200 project preparation 	<p>Develop principles and guidelines, integrated in revised Environment Manual & Manuals of Procedures, (A/1). Integrate into post-Lomé negotiations (A/1) - only in general terms (F)</p> <p>Info to Delegations is presently inadequate (E)</p> <p>Make compulsory in new Financing Guide in 1998 (A1)</p> <p>Coordinate better with DG XI (E) (B/2)</p>
<p>10) ensure complementarity and relevance of B7-6200 projects - e.g. through govt. Letter confirming interest</p>	<p>(See 9). Such letter would lead to unnecessary delay (A/1)</p>
<p>11) Enhance efficiency of B7-6200 projects by (eg):</p> <ul style="list-style-type: none"> - shorter payment delays - simplified fin. & admin. Procedures, especially for pilot projects by NGOs 	<p>Establish monitoring system for payments and analyse in more detail causes of late payments (A/1)</p> <p>Harmonise budgetline tendering procedures (A/1)</p>

The evaluation process :

Cost : original contract (incl. Inventory) 403.756 ecus with ERM (UK) after tender, plus 2 riders for 24.680 ecus and 90.649 ecus - Total : 519.085 ecus.

Duration : tender launched Sep 1995; contract 22 Dec 1995; final report December 1997.

Manpower : +/- 20 % of 1 'A' and 2% of 1 'C' official over 2 years, incl. cooperation of DG IB's Eval. Unit; plus extensive cooperation of VIII/A/1 & IB/D/4, and geographical services & several Delegations of IB & VIII.