



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE

Independent terminal evaluation of

GEF UNIDO CleanTech Programme for Small and Medium Enterprises in India

UNIDO SAP ID: 120345

GEF Project ID: 4065

December 2017

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I. PROJECT BACKGROUND AND CONTEXT

1. Project factsheet¹

Project title	GEF UNIDO CleanTech Programme for Small and Medium Enterprises in India
SAP ID	120345
GEF Project ID	4065
Region	Asia and the Pacific
Country	India
Project donor(s)	GEF
Project implementation start date	3/5/2013
Expected duration	36 months
Expected implementation end date	31 December 2017
GEF Focal Areas and Operational Project	Climate Change
Other executing Partners	Ministry of Micro, Small and Medium Enterprises (MSME), India
Executing partners	UNIDO
UNIDO RBM code	GC31 (RECP & LowCarbonPrd)
Donor funding	910,000
Project GEF CEO endorsement / approval date	1/18/2013
UNIDO input (in kind, USD)	In kind 50,000; Cash 50,000
Co-financing at CEO Endorsement, as applicable	Ministry of Micro, Small and Medium Enterprises, 400,000 Grant Ministry of Micro, Small and Medium Enterprises and Indian Chambers of Commerce and Industry, 2,500,000 In-Kind
Total project cost (USD)	3,000,000
Mid-term review date	None
Planned terminal evaluation date	15 January – 30 March 2018

(Source: Project document)

2. Project context

The Indian economy has rebounded from the global financial crisis, and is growing steadily at a rate of around 7-8 %. The industrial sector has been a consistent driver of this growth. However, this rapid growth has led to a concomitant increase in energy demand and consumption as well. Commercial energy consumption in India rose from 217 million tonnes of oil equivalent (MTOE) in 2005/06 to 272 MTOE in 2008/09. In 2016, growth in energy consumption in India was 5.4%. The industrial sector consistently remained the largest contributor to this consumption accounting for about 56% of the total commercial energy consumption (as fuel and feedstock) during 2007/08 (153 MTOE). This has placed India as the fourth largest global industrial energy consumer behind China, the US and Russia.

Non-OECD Asia, including China and India, account for more than half of the world's total increase in energy consumption over the 2012 to 2040 projection period. The top three coal-consuming countries are China, the United States, and India, which together account for more than 70% of world coal use.

¹ Data to be validated by the Evaluator.

It is predicted that the Indian industrial energy consumption can increase from 3.5 to 4.2 times between years 2007 and 2050 to reach unsustainable levels threatening energy security in the long run. In 2012, the composition of industrial energy requirement in India led by coal (33%) followed by oil (23%), biomass and waste (19%), electricity (15%) and natural gas (10%) further contributes to the problem. The increasing industrial energy demand and increasing greenhouse gas emissions arising from fossil fuel and power consumption, concerns the Government of India about inefficiencies with the way industry currently uses fuel and power. At the same time there is increasing international pressure for the country to stem its growing carbon dioxide emissions. It is also being realized that energy savings contribute to the profitability of businesses and also enhance their competitiveness.

The MSME (micro, small and medium enterprises) sector plays a key role in the Indian economy. In 2012, it contributed around 45% of manufacturing output, 40% of exports, and employed more than 69 million people. Most of the small-scale units were concentrated in around 400 geographical clusters across the country. Out of these, there were a large number of energy-intensive MSME clusters in the manufacturing sector (around 178 cluster manufacturing about 15 product categories), which required urgent energy efficiency measures for economic and environmental sustainability. Realizing the importance of this segment of industry, the National Action Plan on Climate Change (NAPCC) and the recent five year plans of the Indian government marked energy efficiency improvement among MSMEs as a high priority agenda. The Indian Government, through Ministry of MSME, Bureau of Energy Efficiency (BEE) and Department of Industrial Policy & Promotion (DIPP) launched programmes/schemes to promote innovations in clean energy focusing on energy efficiency and enhanced use of renewables among MSMEs. Lately, energy efficiency improvement among MSMEs is also gaining attention of multilateral organizations. GEF funded a number of projects focusing on energy efficient technologies in the MSME sector through UNDP, UNIDO and the World Bank.

Given this scenario, investing in clean low carbon technologies was seen as a solution that could significantly reduce energy consumption and CO₂ emissions in India's industrial sector, while enabling the Indian economy to alleviate energy poverty and maintain steady growth. The project aimed to help promote SMEs that could innovate and develop commercially viable clean low carbon technologies to reduce GHG emissions.

The project was planned to build on lessons learnt from similar initiatives like: (i) Cleantech programme in USA and UNIDO's reliable partner after having executed a joint project in South Africa in 2011; (ii) Eco-Business Partnership Programme in Austria; (iii) and the Al Gore Sustainable Technology Venture Competition hosted by Cicero in collaboration with Confederation of Indian Industry, Indian Institute of Technology and Indian Institutes of Management in India.

3. Project objective

The project aimed at promoting clean energy technology innovations and entrepreneurship in selected SMEs in India through CleanTech innovation platform and entrepreneurship acceleration programme.

The Promotion of clean energy technology innovations and entrepreneurship in India through Clean Energy Innovation and Entrepreneurship Acceleration Programme was envisaged through the following four components and expected outcomes:

Component 1 – National Platform to promote clean technology innovations and competitiveness of SMEs and business models that can deliver global environmental benefits

This component is based on the experience gained under the successful cleantech business competition and accelerator pilot programme carried out in South Africa in 2011 as part of the Greening of COP17

project that was funded by the GEF. This programme was implemented by the Government of South Africa and UNIDO in conjunction with the National Cleaner Production Center (SA-NCPC), the Council for Scientific and Industrial Research (CSIR) and the Cleantech Open from USA.

A national platform involving Chambers of Industry at the national/state level in India was proposed to be set up to organize an annual competition to identify innovators within SME clusters, facilitate mentoring to link up with global value chain and set up a more complete accelerator, modeled on the national Cleantech Open in the United States and similar programmes in other parts of the world. The National Associations of SMEs, Cleantech Open, UNIDO and other key institutions were to partner to design this programme keeping in view local conditions and needs. To begin with, in 2013-14 the cleantech competition and accelerator were to focus on one region, expanding to two other states /regions at later stages.

Expected Outcomes:

- 1.1. A national level coordinating mechanism/platform established to promote clean technology innovations and entrepreneurship amongst SMEs; and
- 1.2. Clean energy technologies innovators identified, and supported, and cleantech entrepreneurs promoted.

Component 2 – Building national capacity for clean technologies and the development of a supportive local entrepreneurial ecosystem. Partners and stakeholders including staff of National Associations of SMEs were to be trained on best practices for management of the platform. Capacity building initiatives were to include inter alia training of trainers on entrepreneurship start-ups, knowledge management and exchange of information on best practices and coordination mechanisms including specific focus on successful women entrepreneurs and participants.

Expected Outcomes:

- 2.1. National Associations of SMEs (such as FICCI, CII etc.) involved in capacity building initiatives
- 2.2. Mentoring and training programme developed for high growth SMEs identified through competition and outreach activities
- 2.3. Cleantech Institution established for training of trainers and entrepreneurs and linking with universities and institutions.

Component 3 – Policy and institutional framework for scaling up cleantech competition, innovations and acceleration activities across India. The project aimed to assist in reviewing the policies and regulations relating to promotion of clean energy technologies, innovation and entrepreneurship to identify which ones need to be developed and/or improved.

Expected Outcomes:

- 3.1. Policies and institutional framework strengthened to promote cleantech innovations in SMEs in the country

Component 4 - Monitoring and Evaluation Management

Expected Outcomes:

4.1. Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation

The Project is further structured into a total of 11 outputs. The full logical framework is included as annex 1.

4. Project implementation arrangements

As the GEF Implementing Agency, UNIDO holds the ultimate responsibility for the timely implementation of the project, the delivery of the planned outputs and the achievement of the expected outcomes. The project is being directly implemented by UNIDO in collaboration with MSME and other national partners.

A **Project Steering Committee** was established under the Chairmanship of the Development Commissioner and Additional Secretary MSME. Its members were to be drawn from MSME, National Associations of Commerce and Industry, DIPP, MNRE, BEE and UNIDO. The **Project Management Unit (PMU)** acts as the Secretariat of the PSC. The PMU consists of the National Project Manager (NPM) and a Project Administrative Assistant (PAA). Operating as an entity, the PMU is responsible for the day-to-day management, monitoring and evaluation of project activities as in the agreed project work plan. The PMU coordinates all project activities being carried out by project national experts and partners. Advisory working groups are to be established when necessary. Organogram of the management of the project implementation is shown in Figure 1.

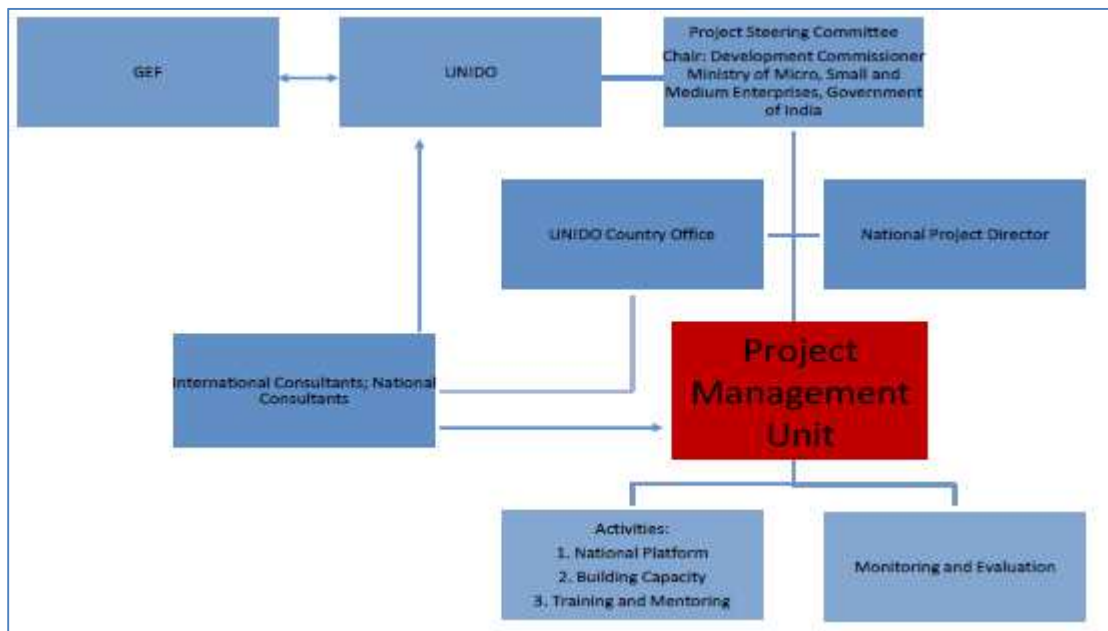


Figure 1. Project organization chart

5. Budget information

Table 1. Financing plan summary - Outcome breakdown²

Project outcomes	Donor (GEF/other) (\$)	Co-Financing (\$)	Total (\$)
1. A national level coordinating mechanism / platform established to promote clean technology innovations and entrepreneurship amongst SMEs & Clean energy technologies innovators identified and supported, and cleantech entrepreneurs promoted	280000	880000	1160000.00
2. National Associations of SMEs (such as FICCI, CII, etc.) involved in capacity building initiatives & Mentoring and training programme developed for high-growth SMEs identified through competition and outreach activities & Cleantech Institution established for training of trainers and entrepreneurs and linking with universities and institutions	460000	1300000	1760000.00
3. Policies and institutional framework strengthened to promote cleantech innovations in SMEs in the country	150000	500000	650000.00
Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation	20000	50000	70000.00
Total (\$)	910000	2730000	3640000

Source: Project document / progress report

Table 2. Co-Financing source breakdown

Name of Co-financier (source)	Classification	Type	Total Amount (\$)
UNIDO	Implementing Agency	In kind	50000
		Cash	50000
Ministry of Micro, Small and Medium Enterprises	Counterpart	Cash	400000

² Source: Project document.

Name of Co-financier (source)	Classification	Type	Total Amount (\$)
Ministry of Micro, Small and Medium Enterprises and Indian Chambers of Commerce and Industry	Counterpart	In kind	2500000
Total Co-financing (\$)			3000000.00

Source : Project document / progress report

Table 1. UNIDO budget execution (under Grant 2000001433)

Item	2013	2014	2015	2016	2017	Total Expenditure (\$)
Contractual Services	1.586	76.578	80.086	6.826	140.000	385.075
Equipment			21.040	5.590	4.221	30.851
International Meetings		3.360	5.373	23.909		32.642
Local travel	22.702	21.593	14.653	14.838	12.356	86.141
Nat.Consult./Staff	42.807	33.515	98.747	29.650	13.573	218.292
Other Direct Costs	974	5.344	9.150	5.380	441	21.289
Premises		46	25.070	464		24.652
Staff & Intern Consultants	8.414		2.577	8.367	653	20.010
Staff Travel	221		221			
Train/Fellowship/Study		15.627	498			16.125
Grand Total	76.703	156.062	256.973	174.096	171.243	835.077

Source: SAP database

II. Scope and purpose of the evaluation

The purpose of the evaluation is to independently assess the project to help UNIDO improve performance and results of future programmes and projects. The terminal evaluation (TE) will cover the whole duration of the project from its starting date in 3/5/2013 to the estimated completion date in 6/30/2018. **Error! Reference source not found..**

The evaluation has three specific objectives:

- (i) Assess the project performance in terms of relevance, effectiveness, efficiency, sustainability and progress to impact;
- (ii) Develop a series of findings, lessons and recommendations for enhancing the design of new and implementation of ongoing projects by UNIDO.

III. Evaluation approach and methodology

The terminal evaluation (TE) will be conducted in accordance with the UNIDO Evaluation Policy³ and the UNIDO Guidelines for the Technical Cooperation Project and Project Cycle⁴. In addition, the GEF Guidelines for GEF Agencies in Conducting Terminal Evaluations, the GEF Monitoring and Evaluation Policy and the GEF Minimum Fiduciary Standards for GEF Implementing and Executing Agencies will be applied.

The evaluation will be carried out as an independent in-depth evaluation using a participatory approach whereby all key parties associated with the project will be informed and consulted throughout the evaluation. The evaluation team leader will liaise with the UNIDO Independent Evaluation Division (ODG/EVQ/IEV) on the conduct of the evaluation and methodological issues.

The evaluation will use a theory of change approach and mixed methods to collect data and information from a range of sources and informants. It will pay attention to triangulating the data and information collected before forming its assessment. This is essential to ensure an evidence-based and credible evaluation, with robust analytical underpinning.

The theory of change will identify causal and transformational pathways from the project outputs to outcomes and longer-term impacts, and drivers as well as barriers to achieve them. The learning from this analysis will be useful to feed into the design of the future projects so that the management team can effectively manage them based on results.

1. Data collection methods

Following are the main instruments for data collection:

- (a) **Desk and literature review** of documents related to the project, including but not limited to:
 - The original project document, monitoring reports (such as progress and financial reports, mid-term review report, output reports, back-to-office mission report(s), end-of-contract report(s) and relevant correspondence.
 - Notes from the meetings of committees involved in the project.
- (b) **Stakeholder consultations** will be conducted through structured and semi-structured interviews and focus group discussion. Key stakeholders to be interviewed include:

³ UNIDO. (2015). Director General's Bulletin: Evaluation Policy (UNIDO/DGB/(M).98/Rev.1)

⁴ UNIDO. (2006). Director-General's Administrative Instruction No. 17/Rev.1: Guidelines for the Technical Cooperation Programme and Project Cycle (DGAI.17/Rev.1, 24 August 2006)

- UNIDO Management and staff involved in the project; and
 - Representatives of donors and counterparts.
- (c) **Field visit** to project sites in India.

2. Evaluation key questions and criteria

The key evaluation questions are the following:

- (a) What are the key drivers and barriers to achieve the long term objectives? To what extent has the project helped put in place the conditions likely to address the drivers, overcome barriers and contribute to the long term objectives?
- (b) How well has the project performed? Has the project done the right things? Has the project done things right, with good value for money?
- (c) What have been the project's key results (outputs, outcome and impact)? To what extent have the expected results been achieved or are likely to be achieved? To what extent the achieved results will sustain after the completion of the project?
- (d) What lessons can be drawn from the successful and unsuccessful practices in designing, implementing and managing the project?

The evaluation will assess the likelihood of sustainability of the project results after the project completion. The assessment will identify key risks (e.g. in terms of financial, socio-political, institutional and environmental risks) and explain how these risks may affect the continuation of results after the project ends. Table 2 below provides the key evaluation criteria to be assessed by the evaluation. The details questions to assess each evaluation criterion are in annex 2.

Table 2. Project evaluation criteria

#	Evaluation criteria	Mandatory rating
A	Impact	Yes
B	Project design	Yes
1	• Overall design	Yes
2	• Logframe	Yes
C	Project performance	Yes
1	• Relevance	Yes
2	• Effectiveness	Yes
3	• Efficiency	Yes
4	• Sustainability of benefits	Yes
D	Cross-cutting performance criteria	
1	• Gender mainstreaming	Yes
2	• M&E: ✓ M&E design ✓ M&E implementation	Yes
3	• Results-based Management (RBM)	Yes
E	Performance of partners	
1	• UNIDO	Yes

#	Evaluation criteria	Mandatory rating
2	<ul style="list-style-type: none"> National counterparts 	Yes
3	<ul style="list-style-type: none"> Donor 	Yes
F	Overall assessment	Yes

Performance of partners

The assessment of performance of partners will *include* the quality of implementation and execution of the GEF Agencies and project executing entities (EAs) in discharging their expected roles and responsibilities. The assessment will take into account the following:

- Quality of Implementation, e.g. the extent to which the agency delivered effectively, with focus on elements that were controllable from the given GEF Agency's perspective and how well risks were identified and managed.
- Quality of Execution, e.g. the appropriate use of funds, procurement and contracting of goods and services.

Other Assessments required by the GEF for GEF-funded projects:

The terminal evaluation will assess the following topics, for which *ratings are not required*:

- Need for follow-up:** e.g. in instances financial mismanagement, unintended negative impacts or risks.
- Materialization of co-financing:** e.g. the extent to which the expected co-financing materialized, whether co-financing was administered by the project management or by some other organization; whether and how shortfall or excess in co-financing affected project results.
- Environmental and Social Safeguards⁵:** appropriate environmental and social safeguards were addressed in the project's design and implementation, e.g. preventive or mitigation measures for any foreseeable adverse effects and/or harm to environment or to any stakeholder.

Questions from the GEF Independent Evaluation Office (IEO)

As the GEF IEO will soon conducting a study on GEF's impact on SMEs, the evaluation team is required to provide answers to the following questions raised by the GEF IEO:

A. PROCESS

- How many cycles of competition were organized?
- How many entrants were there in each cycle?
- How many were women entrepreneurs?
- What was the breakdown by sector?
- How many entrepreneurs were finally selected? Breakdown by gender

B. SERVICES

⁵ Refer to GEF/C.41/10/Rev.1 available at: http://www.thegef.org/sites/default/files/council-meetingdocuments/C.41.10.Rev_1.Policy_on_Environmental_and_Social_Safeguards.Final%20of%20Nov%2018.pdf

- How did the selected entrepreneurs rate the quality of services provided by the program?
- How many and which SMEs were able to receive an investor match? At what funding level?

C. SUPPORT

- What support did the host institution, TUBITAK, receive to strengthen its institutional capacity to implement?
- Which Ministries played an active role in the project?
- Were there any challenges in implementation?
- What other private sector partners were involved? (e.g. sponsors, mentors, funding, partnership, organizing competitions, etc.)

D. OUTCOMES

- Did any of the entrepreneurs change their company practices as a result of the assistance received? In what areas?
- What Did any of the entrepreneurs receive financing after going through the program? From Financial institutions? Venture Capital? Government?
- What are the most important benefits of the GCIP to the enterprises?
- Were entrepreneurs able to expand their ventures -sales? employment?
- Which policies or regulations were established or supported to create an enabling environment for the scale-up of project initiatives?
- What is the likely scale up of this program in Turkey? Is it likely to be expanded?
- What are the factors that will influence scale up and replication?
- How would you assess the performance of the program?
- What were the most important factors influencing program outcomes?

E. SUSTAINABILITY

- Are there any plans to financially sustain the initiative either through other donors or the Turkish government or private sponsors?
- Is there institutional support being provided to strengthen capacity for sustainability?

3. Rating system

In line with the practice adopted by many development agencies, the UNIDO ODG/EVQ/IEV uses a six-point rating system, where 6 is the highest score (highly satisfactory) and 1 is the lowest (highly unsatisfactory) as per Table 3.

Table 3. Project rating criteria

Score		Definition	Category
6	Highly satisfactory	Level of achievement clearly exceeds expectations and there is no shortcoming.	SATISFACTORY
5	Satisfactory	Level of achievement meets expectations (indicatively, over 80-95 per	

Score		Definition	Category
		cent) and there is no or minor shortcoming.	
4	Moderately satisfactory	Level of achievement more or less meets expectations (indicatively, 60 to 80 per cent) and there are some shortcomings.	
3	Moderately unsatisfactory	Level of achievement is somewhat lower than expected (indicatively, less than 60 per cent) and there are significant shortcomings.	UNSATISFACTORY
2	Unsatisfactory	Level of achievement is substantially lower than expected and there are major shortcomings.	
1	Highly unsatisfactory	Level of achievement is negligible and there are severe shortcomings.	

IV. Evaluation process

The evaluation will be conducted from October to December 2017. The evaluation will be implemented in five phases which are not strictly sequential, but in many cases iterative, conducted in parallel and partly overlapping:

- i. Inception phase: The evaluation team will prepare the inception report providing details on the methodology for the evaluation and include an evaluation matrix with specific issues for the evaluation; the specific site visits will be determined during the inception phase.
- ii. Desk review and data analysis;
- iii. Interviews, survey and literature review;
- iv. Country visits;
- v. Data analysis and report writing.

V. Time schedule and deliverables

The evaluation is scheduled to take place from January to March 2017. The evaluation field mission is tentatively planned for 18-23 February 2018. At the end of the field mission, the evaluation team will make a presentation of the preliminary findings for all stakeholders involved in this project.

After the evaluation field mission, the evaluation team leader will visit UNIDO HQ for debriefing and presentation of the preliminary findings of the terminal evaluation. The draft TE report will be submitted 4 weeks after the end of the mission. The draft TE report is to be shared with the UNIDO ODG/EVQ/IEV, UNIDO PM, the UNIDO GEF Coordinator and GEF OFP and other stakeholders for receipt of comments. The evaluation team leader is expected to revise the draft TE report based on the comments received, edit the language and form and submit the final version of the TE report in accordance with UNIDO ODG/EVQ/IEV standards.

Table 4. Tentative schedule

Timelines	Tasks
15 January -15 Feb 2018	Desk review
Before end of January 2018	Interview project managers and relevant stakeholders through Skype.

Timelines	Tasks
18-23 February 2018	Field visit in India
6-7 March 2018	Debriefing in Vienna
End of March 2018	Preparation of first draft evaluation report Internal peer review of the report by the UNIDO ODG/EVQ/IEV and other stakeholder comments to draft evaluation report
15 April 2018	Final evaluation report

VI. Evaluation team composition

The evaluation team will be composed of one international evaluation consultant acting as the team leader and one national evaluation consultant. The evaluation team members will possess relevant strong experience and skills on evaluation management and conduct together with expertise and experience in innovative clean energy technologies. Both consultants will be contracted by UNIDO.

The tasks of each team member are specified in the job descriptions annexed to these terms of reference. The ET is required to provide information relevant for follow-up studies, including terminal evaluation verification on request to the GEF partnership up to three years after completion of the terminal evaluation.

According to UNIDO Evaluation Policy, members of the evaluation team must not have been directly involved in the design and/or implementation of the project under evaluation.

The UNIDO Project Manager and the project team in India will support the evaluation team. The UNIDO GEF Coordinator and GEF OFP(s) will be briefed on the evaluation and provide support to its conduct. GEF OFP(s) will, where applicable and feasible, also be briefed and debriefed at the start and end of the evaluation mission.

An evaluation manager from UNIDO ODG/EVQ/IEV will provide technical backstopping to the evaluation team and ensure the quality of the evaluation. The UNIDO Project Manager and national project teams will act as resourced persons and provide support to the evaluation team and the evaluation manager.

VII. Reporting

Inception report

This Terms of Reference (ToR) provides some information on the evaluation methodology, but this should not be regarded as exhaustive. After reviewing the project documentation and initial interviews with the project manager, the International Evaluation Consultant will prepare, in collaboration with the national consultant, a short inception report that will operationalize the ToR relating to the evaluation questions and provide information on what type of and how the evidence will be collected (methodology). It will be discussed with and approved by the responsible UNIDO Evaluation Manager.

The Inception Report will focus on the following elements: preliminary project theory model(s); elaboration of evaluation methodology including quantitative and qualitative approaches through an evaluation framework (“evaluation matrix”); division of work between the International Evaluation

Consultant and national consultant; mission plan, including places to be visited, people to be interviewed and possible surveys to be conducted and a debriefing and reporting timetable⁶.

Evaluation report format and review procedures

The draft report will be delivered to ODG/EVQ/IEV (the suggested report outline is in Annex 4) and circulated to UNIDO staff and national stakeholders associated with the project for factual validation and comments. Any comments or responses, or feedback on any errors of fact to the draft report provided by the stakeholders will be sent to UNIDO ODG/EVA for collation and onward transmission to the project evaluation team who will be advised of any necessary revisions. On the basis of this feedback, and taking into consideration the comments received, the evaluation team will prepare the final version of the terminal evaluation report.

The ET will present its preliminary findings to the local stakeholders at the end of the field visit and take into account their feed-back in preparing the evaluation report. A presentation of preliminary findings will take place at UNIDO HQ after the field mission.

The TE report should be brief, to the point and easy to understand. It must explain the purpose of the evaluation, exactly what was evaluated, and the methods used. The report must highlight any methodological limitations, identify key concerns and present evidence-based findings, consequent conclusions, recommendations and lessons. The report should provide information on when the evaluation took place, the places visited, who was involved and be presented in a way that makes the information accessible and comprehensible. The report should include an executive summary that encapsulates the essence of the information contained in the report to facilitate dissemination and distillation of lessons.

Findings, conclusions and recommendations should be presented in a complete, logical and balanced manner. The evaluation report shall be written in English and follow the outline given in annex 1.

VIII. Quality assurance

All UNIDO evaluations are subject to quality assessments by UNIDO ODG/EVQ/IEV. Quality assurance and control is exercised in different ways throughout the evaluation process (briefing of consultants on methodology and process of UNIDO ODG/EVQ/IEV, providing inputs regarding findings, lessons learned and recommendations from other UNIDO evaluations, review of inception report and evaluation report by UNIDO ODG/EVQ/IEV).

The quality of the evaluation report will be assessed and rated against the criteria set forth in the Checklist on evaluation report quality, attached as Annex 4. The applied evaluation quality assessment criteria are used as a tool to provide structured feedback. UNIDO ODG/EVQ/IEV should ensure that the evaluation report is useful for UNIDO in terms of organizational learning (recommendations and lessons learned) and is compliant with UNIDO's evaluation policy and these terms of reference. The draft and final evaluation report are reviewed by UNIDO ODG/EVQ/IEV, which will submit the final report to the GEF Evaluation Office and circulate it within UNIDO together with a management response sheet

⁶ The evaluator will be provided with a Guide on how to prepare an evaluation inception report prepared by the UNIDO ODG/EVQ/IEV.

Annex 1: Project Results Framework

Results	Indicators	Means of Verification	Assumptions and Risks
Objective			
Promotion of clean technology innovations and entrepreneurship in selected SME clusters in India	Tons of GHG emissions avoided; Number of participant SMEs taking part in the cleantech programme;	Project progress reports; mid-term and final project evaluation reports	Continuous government support and commitment; Lack of commitment from entrepreneurs in the SME sector to participate in the competition
Outcomes			
1. National Platform (a coordination mechanism) established to promote clean technology innovations and business models for SMEs	Number of SMEs as members of the national platform Number of innovative businesses created Tons of GHG emissions avoided	Project progress reports; mid-term and final project evaluation reports	Continuous government support and participation
2. National capacity built to promote a national entrepreneurial innovations ecosystem including a convening platform	National Cleantech Programme hosted by national associations / chambers of commerce and industry Behavioral changes of SME entrepreneurs towards innovations Support institutions involvement in the cleantech programme	Project progress reports; mid-term and final project evaluation reports Financial institution's reports on scale of investments in innovator SMEs	Sufficient commitment and participation by the SMEs and industry associations

Results	Indicators	Means of Verification	Assumptions and Risks
3. Policy and institutional framework strengthened for scaling up cleantech innovations in selected SME sectors	<p>Number of new policies and guidelines prepared to incentivize innovations in SMEs</p> <p>Strengthening of existing policies enabling SMEs increased access to financing and technologies</p>	Project progress reports; mid-term and final project evaluation reports	Continuous support and participation by MSME and Chambers of Commerce and Industry
Outputs			
1.1 SMEs associations and national agencies involved in promoting clean technology innovations mobilized and a coordinating platform at the national level established	<p>Number of SMEs associations and national agencies involved</p> <p>Number of entries, number of semi-finalists and finalists, etc</p>	Monitoring and Project progress reports; mid-term and final project evaluation reports	Continuous support from government and national agencies
1.2 Annual cleantech business competition and accelerator established across selected SME clusters covering four cleantech sectors (launch Q3 2013)	<p>Number of successful women entrepreneurs engaged and trained</p>	Monitoring and Project progress reports; mid-term and final project evaluation reports	Continuous government support and committed participation of entrepreneurs
1.3 Extensive advocacy and outreach activities organized at the national level, and willing states and SME clusters identified for participation in the cleantech platform (Q2 2013)	<p>Number of activities identified in the pilot phase</p> <p>Tons of GHG emissions avoided</p>	Monitoring and Project progress reports; mid-term and final project evaluation reports	Continuous support and participation by government and entrepreneurs
2.1. Capacity building of national industrial association to host the cleantech programme	Number of MSME staff trained to be able to organize the competition and the acceleration programme	Monitoring and Project progress reports; mid-term and final project evaluation reports	Continuous support from the government and participation of the local partners
2.2. Mentor Program - Up to 200 mentors identified and trained	Number of mentors trained	Monitoring and Project progress reports; mid-term	Continued support from the trained mentors to participate

Results	Indicators	Means of Verification	Assumptions and Risks
<p>2.3. Training Program - Intensive Training Seminar held over 3 days to support the 30 semifinalist companies. Additional training events held regionally and online</p> <p>2.4. Corporate and PPP Forums held regionally</p>	<p>Number of semi-finalist companies supported by Cleantech Open Academy</p> <p>Number of shortlisted SMEs connected with funding and partnership opportunities</p> <p>Number of SME entrepreneurs invests in innovations</p> <p>Number of support institutions involved in the cleantech programme</p>	<p>and final project evaluation reports</p> <p>Project progress reports; mid-term and final project evaluation reports</p> <p>Monitoring and Project progress reports; mid-term and final project evaluation reports</p>	<p>in the program</p> <p>Committed participation of entrepreneurs</p> <p>Continuous support from SMEs, Government , National institutions and other national agencies</p>
<p>3.1. Enabling policy and regulatory environment created</p> <p>3.2. Regional stakeholder meetings held and partnerships developed with leading institutions, agencies and universities across the country</p>	<p>Number of new effective policies in place for promoting cleantech innovations</p> <p>Number of existing policies strengthened for increased access of SMEs to financing and technologies</p> <p>Number of regional stakeholder meetings held and partnerships developed</p>	<p>Project progress reports; mid-term and final project evaluation reports</p> <p>Project progress reports; mid-term and final project evaluation reports</p>	<p>Continuous support from government</p> <p>Continuous support and participation by relevant stakeholders</p>

Annex 2: Detailed questions to assess evaluation criteria

The evaluation team will assess the project performance guided by the questions below.

#	Evaluation criteria
A	<p>Progress to impact</p> <ul style="list-style-type: none"> ✓ <u>Mainstreaming</u>: To what extent information, lessons or specific results of the project are incorporated into broader stakeholder mandates and initiatives such as laws, policies, regulations and project? ✓ <u>Replication</u>: To what extent the project's specific results (e.g. methodology, technology, lessons, etc.) are reproduced or adopted ✓ <u>Scaling-up</u>: To what extent the project's initiatives and results are implemented at larger geographical scale? ✓ What difference has the project made to the beneficiaries? ✓ What is the change attributable to the project? To what extent? ✓ What are the social, economic, environmental and other effects, either short-, medium- or long-term, on a micro- or macro-level? ✓ What effects are intended or unintended, positive or negative? <p>The three UNIDO impact dimensions are:</p> <ul style="list-style-type: none"> ✓ <u>Safeguarding environment</u>: To what extent the project contributes to changes in the status of environment. ✓ <u>Economic performance</u>: To what extent the project contributes to changes in the economic performance (e.g. finances, income, costs saving, expenditure) of individuals, groups and entities? ✓ <u>Social inclusiveness</u>: To what extent the project contributes to changes in capacity and capability of individuals, groups and entities in society, such as employment, education, and training?
B	<p>Project design</p>
1	<ul style="list-style-type: none"> • <u>Overall design</u> ✓ The project design was adequate to address the problems at hand? ✓ Is the project consistent with the Country's priorities, in the work plan of the lead national counterpart? Does it meet the needs of the target group? Is it consistent with UNIDO's Inclusive and Sustainable Industrial Development? Does it adequately reflect lessons learnt from past projects? Is it in line with the donor's priorities and policies? ✓ Is the applied project approach sound and appropriate? Is the design technically feasible and based on best practices? Does UNIDO have in-house technical expertise and experience for this type of intervention? ✓ To what extent the project design (in terms of funding, institutional arrangement, implementation arrangements...) as foreseen in the project document still valid and relevant? ✓ Does the project document include a M&E plan? Does the M&E plan specify what, who and how frequent monitoring, review, evaluations and data collection will take place? Does it allocate budget for each exercise? Is the M&E budget adequately allocated and consistent with the logframe (especially indicators and sources of verification)? ✓ Risk management: Are critical risks related to financial, social-political, institutional, environmental and implementation aspects identified with

#	<u>Evaluation criteria</u>
	specific risk ratings? Are their mitigation measures identified? Where possible, are the mitigation measures included in project activities/outputs and monitored under the M&E plan?
2	<ul style="list-style-type: none"> • <u>Logframe</u> ✓ Expected results: Is the expected result-chain (impact, outcomes and outputs) clear and logical? Does impact describe a desired long-term benefit to a society or community (not as a mean or process), do outcomes describe change in target group's behaviour/performance or system/institutional performance, do outputs describe deliverables that project will produce to achieve outcomes? Are the expected results realistic, measurable and not a reformulation or summary of lower level results? Do outputs plus assumptions lead to outcomes, do outcomes plus assumptions lead to impact? Can all outputs be delivered by the project, are outcomes outside UNIDO's control but within its influence? ✓ Indicators: Do indicators describe and specify expected results (impact, outcomes and outputs) in terms of quantity, quality and time? Do indicators change at each level of results and independent from indicators at higher and lower levels? Do indicators not restate expected results and not cause them? Are indicators necessary and sufficient and do they provide enough triangulation (cross-checking)? Are they indicators sex-disaggregated, if applicable? ✓ Sources of verification: Are the sources of verification/data able to verify status of indicators, are they cost-effective and reliable? Are the sources of verification/data able to verify status of output and outcome indicators before project completion?
C	Project performance
1	<ul style="list-style-type: none"> • <u>Relevance</u> ✓ How does the project fulfil the urgent target group needs? ✓ To what extent is the project aligned with the development priorities of the country (national poverty reduction strategy, sector development strategy)? ✓ How does project reflect donor policies and priorities? ✓ Is the project a technically adequate solution to the development problem? Does it eliminate the cause of the problem? ✓ To what extent does the project correspond to UNIDO's comparative advantages? ✓ Are the original project objectives (expected results) still valid and pertinent to the target groups? If not, have they been revised? Are the revised objectives still valid in today's context?
2	<ul style="list-style-type: none"> • <u>Effectiveness</u> ✓ What are the main results (mainly outputs and outcomes) of the project? What have been the quantifiable results of the project? ✓ To what extent did the project achieve their objectives (outputs and outcomes), against the original/revised target(s)? ✓ What are the reasons for the achievement/non-achievement of the project objectives? ✓ What is the quality of the results? How do the stakeholders perceive them? What is the feedback of the beneficiaries and the stakeholders on the project effectiveness? ✓ To what extent is the identified progress result of the project rather than external factors? ✓ What can be done to make the project more effective? ✓ Were the right target groups reached?

#	<u>Evaluation criteria</u>
3	<ul style="list-style-type: none"> • <u>Efficiency</u> ✓ How economically are the project resources/inputs (concerning funding, expertise, time...) being used to produce results? ✓ To what extent were expected results achieved within the original budget? If no, please explain why. ✓ Are the results being achieved at an acceptable cost? Would alternative approaches accomplish the same results at less cost? ✓ What measures have been taken during planning and implementation to ensure that resources are efficiently used? Were the project expenditures in line with budgets? ✓ Could more have been achieved with the same input? ✓ Could the same have been achieved with less input? ✓ How timely was the project in producing outputs and outcomes? Comment on the delay or acceleration of the project's implementation period. ✓ To what extent were the project's activities in line with the schedule of activities as defined by the Project Team and annual Work Plans? ✓ Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet the requirements?
4	<ul style="list-style-type: none"> • <u>Sustainability of benefits</u> ✓ Will the project results and benefits be sustained after the end of donor funding? ✓ Does the project have an exit strategy? <p><i>Financial risks:</i></p> <ul style="list-style-type: none"> ✓ What is the likelihood of financial and economic resources not being available once the project ends? <p><i>Socio-political risks:</i></p> <ul style="list-style-type: none"> ✓ Are there any social or political risks that may jeopardize the sustainability of project outcomes? ✓ What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? ✓ Do the various key stakeholders see that it is in their interest that project benefits continue to flow? ✓ Is there sufficient public/stakeholder awareness in support of the project's long-term objectives? <p><i>Institutional framework and governance risks:</i></p> <ul style="list-style-type: none"> ✓ Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize the sustainability of project benefits? ✓ Are requisite systems for accountability and transparency and required technical know-how in place? <p><i>Environmental risks:</i></p> <ul style="list-style-type: none"> ✓ Are there any environmental risks that may jeopardize the sustainability of project outcomes? ✓ Are there any project outputs or higher level results that are likely to have adverse environmental impacts, which, in turn, might affect the sustainability of project benefits?
D	Cross-cutting performance criteria

#	<u>Evaluation criteria</u>
1	<ul style="list-style-type: none"> • <u>Gender mainstreaming</u> ✓ Did the project design adequately consider the gender dimensions in its interventions? Was the gender marker assigned correctly at entry? ✓ Was a gender analysis included in a baseline study or needs assessment (if any)? Were there gender-related project indicators? ✓ Are women/gender-focused groups, associations or gender units in partner organizations consulted/ included in the project? ✓ How gender-balanced was the composition of the project management team, the Steering Committee, experts and consultants and the beneficiaries? ✓ Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision-making authority)? ✓ To what extent were socioeconomic benefits delivered by the project at the national and local levels, including consideration of gender dimensions?
2	<ul style="list-style-type: none"> • <u>M&E:</u> ✓ M&E design <ul style="list-style-type: none"> ○ Was the M&E plan at the point of project approval practical and sufficient? ○ Did it include baseline data and specify clear targets and appropriate indicators to track environmental, gender, and socio economic results? ○ Did it include a proper M&E methodological approach; specify practical organization and logistics of the M&E activities including schedule and responsibilities for data collection; ○ Did it include budget adequate funds for M&E activities? ✓ M&E implementation <ul style="list-style-type: none"> ○ How was the information from M&E system used during the project implementation? Was an M&E system in place and did it facilitate timely tracking of progress toward project results by collecting information on selected indicators continually throughout the project implementation period? Did project team and manager make decisions and corrective actions based on analysis from M&E system and based on results achieved? ○ Are annual/progress project reports complete and accurate? ○ Was the information provided by the M&E system used to improve performance and adapt to changing needs? Was information on project performance and results achievement being presented to the Project Steering Committee to make decisions and corrective actions? Do the Project team and managers and PSC regularly ask for performance and results information? ○ Are monitoring and self-evaluation carried out effectively, based on indicators for outputs, outcomes and impact in the logframe? Do performance monitoring and reviews take place regularly? ○ Were resources for M&E sufficient? ○ How has the logframe been used for Monitoring and Evaluation purposes (developing M&E plan, setting M&E system, determining baseline and targets, annual implementation review by the Project Steering Committee...) to monitor progress towards expected outputs and outcomes? ○ How well have risks outlined the project document and in the logframe been monitored and managed? How often have risks been reviewed and updated? Has a risk management mechanism been put in place?
3	<ul style="list-style-type: none"> • <u>Project management</u> ✓ Review overall effectiveness of project management as outlined in the Project Document. Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner? Recommend areas for improvement.

#	<u>Evaluation criteria</u>
	<ul style="list-style-type: none"> ✓ Review whether the national management and overall coordination mechanisms have been efficient and effective? Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil its role and responsibilities (e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions)? ✓ The UNIDO HQ-based management, coordination, monitoring, quality control and technical inputs have been efficient, timely and effective (e.g. problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits)?
E	Performance of partners
1	<ul style="list-style-type: none"> • <u>UNIDO</u> ✓ Design <ul style="list-style-type: none"> ○ Mobilization of adequate technical expertise for project design ○ Inclusiveness of project design (with national counterparts) ○ Previous evaluative evidence shaping project design ○ Planning for M&E and ensuring sufficient M&E budget ✓ Implementation <ul style="list-style-type: none"> ○ Timely recruitment of project staff ○ Project modifications following changes in context or after the Mid-Term Review ○ Follow-up to address implementation bottlenecks ○ Role of UNIDO country presence (if applicable) supporting the project ○ Engagement in policy dialogue to ensure up-scaling of innovations ○ Coordination function ○ Exit strategy, planned together with the government
2	<ul style="list-style-type: none"> • <u>National counterparts</u> ✓ Design <ul style="list-style-type: none"> ○ Responsiveness to UNIDO's invitation for engagement in designing the project ✓ Implementation <ul style="list-style-type: none"> ○ Ownership of the project ○ Support to the project, based on actions and policies ○ Counterpart funding ○ Internal government coordination ○ Exit strategy, planned together with UNIDO, or arrangements for continued funding of certain activities ○ Facilitation of the participation of Non-Governmental Organizations(NGOs), civil society and the private sector where appropriate ○ Suitable procurement procedures for timely project implementation ○ Engagement with UNIDO in policy dialogue to promote the up-scaling or replication of innovations
3	<ul style="list-style-type: none"> • <u>Donor</u>

#	<u>Evaluation criteria</u>
	<ul style="list-style-type: none"> ✓ Timely disbursement of project funds ✓ Feedback to progress reports, including Mid-Term Evaluation ✓ Support by the donor's country presence (if applicable) supporting the project for example through engagement in policy dialogue

F Overall project achievement

- ✓ Overarching assessment of the project, drawing upon the analysis made under Project performance and Progress to Impact criteria above but not