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UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Request for Proposal (RFP) – Annex II – Terms of Reference (TOR)

Project Title: **Industrial Energy Efficiency Improvement in South Africa**

Project SAP ID: **103097**

Grant Number: **200000733 & 200000733**

LF/WBS Number: ***6.0***

TERMS OF REFERENCE

Subcontract title: **Impact Assessment and Final Evaluation of the Industrial Energy Efficiency Improvement in South Africa Project**

Duration: **19 Months**

Starting date: **01 June 2014**

CONTENTS LIST

LIST OF ABBREVIATIONS

ASGISA – Accelerated and Shared Growth Initiative for South Africa
BUSA – Business Unity South Africa
DFID – UK Department for International Development
DoE – Department of Energy of South Africa,
dti – Department of Trade and Industry of South Africa
EnMS – Energy Management Systems and Standards
ESO – Energy System Optimization
FPE – Final Project Evaluation
IEE – Industrial Energy Efficiency
M&E – Monitoring and Evaluation
NBi – National Business Initiative
NEES – South African National Energy Efficiency Strategy
NQF – National Qualification Framework
OECD-DAC – Organization of Economic Cooperation and Development - Development Assistance Committee
PIA – Preliminary Impact Assessment
PMC – Project Management Committee
PMU – Project Management Unit
PSC – Project Steering Committee
RFP – Request for Proposal
SA IEE Project – Industrial Energy Efficiency Improvement in South Africa Project
SAATCA – South African Auditor Training and Certification Authority
SABS – South African Bureau of Standards
SABS – South African Bureau of Standards
SaIMechE – South African Institution of Mechanical Engineering
SANAS – South African National Accreditation System
SA-NCPC – South African National Cleaner Production Centre
SANEDI – South African National Energy Development Institute
SANS/ISO50001 – South African National Standard/International Standards Organization Energy Management Systems
SECO – Swiss State Secretariat for Economic Affairs
TCPs – Training Centre Providers
ToC – Theory of Change
UNIDO – United Nations Industrial Development Organization

UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

Request for Proposal (RFP) – Annex II – Terms of Reference (TOR)

Project Title: **Industrial Energy Efficiency Improvement in South Africa**

Project SAP ID: **103097**

Grant Number: **200001190**

LF/WBS Number: ***6.0***

TERMS OF REFERENCE

Subcontract title: **Impact Assessment and Final Evaluation of the Industrial Energy Efficiency Improvement in South Africa Project**

Duration: **13 Months**

Starting date: **01 June 2014**

I. Project and Evaluation Background

Project Description

The *"Industrial Energy Efficiency Improvement in South Africa"* project (SA IEE Project) started its on-the-ground implementation in early 2010 in response to the growing need to improve the energy efficiency of the industrial and manufacturing sectors in South Africa. The project is a collaborative initiative between the Department of Trade and Industry (the **d**ti) of South Africa, the Department of Energy (DoE) of South Africa, UNIDO, the Swiss State Secretariat for Economic Affairs (SECO) and the UK Department for International Development (DFID). The project is envisaged to run until the end of 2014.

The SA IEE Project supports industries in using an Energy System Optimization (ESO) approach and Energy Management Systems and Standards (EnMS) as tools to achieve greater energy efficiency. It aims to consolidate the skills of project trainees by using their knowledge of ESO and EnMS in-plant as a support mechanism to industrial companies. The SA IEE Project is targeting the following the industrial and manufacturing sector and clusters; Agro-processing; Chemicals and liquid fuels; Metal processing and mechanical engineering; Automotive manufacturing; Mining and minerals, as well as other sectors with significant energy consumption. The project has now however broadened its reach to include a wide spread of industrial sub-sectors, and even commercial sub-sectors, with significant energy consumption. The ultimate beneficiaries of the SA IEE Project are industrial companies and their personnel. Project activities are therefore focused on providing support to and building capacity within South African industrial companies and the energy consultancy and training fraternity.

The overall objective of the project is to form an integral part of South African national efforts to successfully implement the National Energy Efficiency Strategy and the National Industrial Policy Framework. Therefore, the project is aiming to make key contributions to the achievement of the Government's broad approach to industrialization in the context of the Accelerated and Shared Growth Initiative for South Africa (ASGISA), and the Government's commitment to tackle climate change.

Under the SA IEE Project Strategy and corresponding revised Logical Framework and Theory of Change, the above Overall Objective / Development Goal (or impact) is:

'To increase industrial energy efficiency in South Africa in order to contribute to national efforts to improve energy security and electricity supply continuity while seeking that GDP growth is not constrained by energy shortages and rising prices'

The project strategy for achieving the above original Project Document 'Overall Objective' and the revised new 'Development Goal' was, and remains, the introduction and promotion of EnMS and ESO in conjunction with the introduction of Energy Management Standards, while fostering a suitable and supporting policy and institutional environment.

The project aims to achieve this by implementing four project components whose contained outputs are intended to lead to a set of outcomes, or changes in behaviour, which will accumulate to foster the achievement of the above revised Development Goal. These components as under the SA IEE Project's Logical Framework and Theory of Change terminology are:

1. ***Component 1.0: Industrial Energy Efficiency Policy and Regulatory Framework Development*** – which should foster an outcome where the capacity of the Government of South Africa is strengthened through the development of policy frameworks that facilitate the implementation of the South African Energy Act and foster improvements in industrial energy efficiency (in line with national climate change mitigation initiatives), through a broad National Energy Efficiency Strategy, the development of industrial energy management planning regulatory tools and technical support measures.

2. ***Component 2.0: Development, Introduction and Promotion of Energy Management Standards*** – which should foster an outcome where the relevant South African Standardization institutions/bodies are capacitated in regard to adopting, promoting and implementing the international Energy Management Standard ISO 50001 in the national context, while at the same time the national auditing sector is provided with the necessary skills in regard to the operationalization of the Energy Management Standard.

3. ***Component 3.0: Energy Management and Energy Systems Optimization Capacity Building and Expert Development*** – which should foster an outcome where a core group of South African energy engineers/practitioners (both enterprise and consultancy based) in the fields of EnMS and ESO methodologies is developed, within a framework of professionally recognized and Government accredited training course structures.

4. ***Component 4.0: EnMS and ESO Demonstration, Awareness Creation and Project Communication*** – The potential energy and financial savings that adopting EnMS and ESO can yield within the South African industrial context is fully demonstrated under targeted programmes of (i) SME energy auditing, (ii) large enterprise ESO assessments, and (iii) EnMS implementation support; while awareness on the two methodologies is broadly raised through project promotional events/initiatives and active participation in relevant industry and government events/initiatives.

Energy Management Systems

Three decades of national and international experiences with industrial energy efficiency programmes have shown that most energy efficiency in industry is achieved through changes in how energy is managed in an industrial facility, rather than through installation of new technologies.

The goal of sustainable energy efficiency in industry requires that energy efficiency is integrated into daily management practices and systems for continual improvement. In order to achieve that, a systematic approach is required and top management needs to be engaged in the management of energy on an ongoing basis.

EnMS provides a structured and systematic approach on how to integrate energy efficiency in an enterprise management culture and daily practices. EnMS provides:

- A framework for understanding significant energy uses.
- Action plans to continually improve energy performance.
- Documentation to sustain and demonstrate energy performance improvements over time.

Based on the well-known "Plan-Do-Check-Act" Deming's cycle, EnMS establish closer linkages between energy management business practices and core industry values, such as cost reduction, increased productivity, environmental compliance and global competitiveness.

The evaluation of the impact of national industrial energy efficiency programs hinged on the adoption and implementation of energy management system standards in Sweden, Denmark, Ireland and the Netherlands, have shown that industrial enterprises that implemented energy management systems achieved greater energy intensity reduction than enterprises without an energy management system. The incremental gain ranged from 1% up to 5-6% in certain cases, with an average of 1.5-2.0% on annual basis. It is important to highlight that such incremental energy intensity reductions were achieved by large companies that already paid attention to energy consumption and had some energy efficiency programs in place. The experience of the USA confirms these results, showing also that in companies totally new to energy management average energy efficiency gains in the first one to two years range between 10 and 20%.

Industrial Energy Systems Optimization (ESO) centres on the premise that energy use in industry is much more related to operational practices than in the commercial and residential sectors. If energy efficient lighting or appliances are installed in a commercial or residential building, those devices supply the same level of service at a reduced energy use without any further intervention from the user. Benefits will accrue for the life of the appliances unless extraordinary measures are taken to negate them.

By way of contrast, the consumption patterns of an industrial facility may change significantly and many times during the useful life of the factory because of changes in production volumes or schedules and/or the type of product manufactured. The energy-using systems designed to support these production patterns may be relatively energy efficient under the initial production design conditions but become typically significantly less so as production patterns change.

The presence of energy-efficient components in industrial systems, while important, provides no assurance that energy savings will be attained if the system of which the components are part is not properly designed and operated. The system optimization approach requires one to pay attention to the system as a whole, not just the individual piece of equipment, and to analyze both the supply and demand sides of the system and how they interact. To illustrate this, consider Figure 1.0 below which provides a representation of a conventional pumping system. As can be seen, the individual components making up the pumping system are in themselves highly efficient, however as they are placed together to make up the system, the resulting systems final output efficient is quite low.

The evidence from implemented national and international programmes as well as studies shows that, while efficient components may bring about gains in the range of 2.0 to 5.0 per cent, systems optimization can attain average efficiency gains between 15 and 30 per cent, very often with payback periods of less than one or two years.

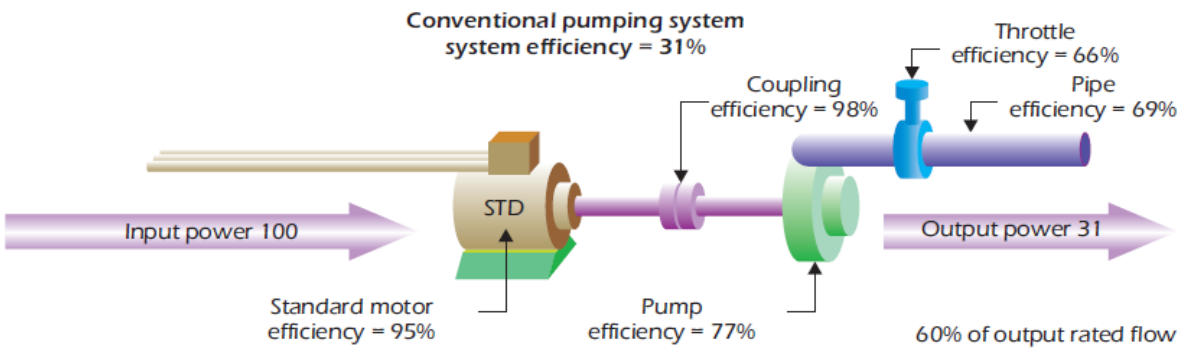

Figure 1.0: Conventional Pumping System Schematic (Almeida, et al., 2005.)

Project Partners, Management and Governance

The SA IEE Project partners are: (1) the Department of Trade and Industry (**d**ti); (2) the Department of Energy (DoE); (3) the South African Bureau of Standards (SABS); (4) Business Unity South Africa (BUSA); (5) the National Business Initiative (NBI); (6) the Signatories to the 'Energy Efficiency Accord' – which consists of companies who are proactively interested in committing themselves to increasing their energy efficiency; (7) DFID and SECO. Unlike in many other projects, the SA IEE Project donors have taken a more of a partnership and supportive role under this project.

UNIDO has been tasked by the South African Government, SECO and DFID to be the international implementing agency of the project, responsible for overall project management. The national implementing and hosting institution is the South African National Cleaner Production Centre (SA-NCPC) under the Council for Scientific and Industrial Research (CSIR). Overall guidance and oversight on the project implementation is provided by a Project Steering Committee (PSC), consisting of representatives from the following institutions: UNIDO, NCPC, Dti, DoE, BUSA, NBI, DFID and SECO.

Below the PSC there is also a Project Management Committee (PMC) consisting of the UNIDO South Africa project team, the SA-NCPC National Project Manager, DoE and **d**ti. The PMC deals with inter-ministerial coordination and planning issues as well as problem solving.

The day-to-day management of the project, and its overall implementation planning, is principally conducted jointly by the UNIDO Project Backstopping Officer located in Vienna, the UNIDO International Project Coordinator located at the UNIDO's Regional Office in Pretoria and the National Project Manager located within the SA-NCPC. These officers are joined on an ad-hoc basis by the Skills Development Expert based at the SA-NCPC, and make up the project's core four-person Project Management Unit (PMU).

In April 2013 the SA IEE Project entered its fourth year of implementation, which is expected to reach completion be the end of December 2014. However the current project activities and the efforts in promoting the industrial energy efficiency agenda in S. Africa will be potentially continued, under the framework of the Phase II of the SA IEE Project (which has recently been approved and will be funded by the Global Environmental Facility).

Project Evolution and Revision

The SA IEE Project has been working within a dynamic and changing policy and economic environment since its initial design in late 2008/early 2009 and implementation inception in early 2010. The project has naturally evolved in terms of its implementation through learning different lessons and taking on board changes into its planning and project day-to-day activities. Therefore, it was decided in late 2012 that in light of possible economic and social condition shifts that there was a need to reanalyse the project's present structure, priorities and realizable targets against the original Project Document (Annex VI). The resulting Strategic Analysis, completed in May 2013, re-defined the overarching strategic approach of the project, reviewed its priorities, redefined its objectives, revised project targets and the project component outputs given the timeframe and remaining uncommitted budgetary resources. The result of this initiative was:

i. A Project Strategy Review and Analysis Report - (Annex VII)
ii. A Theory of Change - (Annex VIII)
iii. A revised and very detailed Logical Framework - (Annex IX)
iv. A new Work Plan which has continued to evolve as per PSC direction.

Project Progress and Implemented Activities

To realize the SA IEE Project's intended objective and outcomes, a considerable number of activities have been implemented over of course of the project, with still more activities pending up to the end of 2014. These include the following:

Year One (April 2010 to March 2011) Activities

In the first twelve months of the SA IEE Projects implementation, the following activity milestones were achieved:

1. Appointment of a consultancy based on an advertised TOR, to review the South African National Energy Efficiency Strategy (NEES).
2. Confirmation of the target sectors as Agro-processing; Chemical and liquid fuels; Metals processing and mechanical engineering; Automotives and Mining, and established lines of communications through BUSA and NBI to garner industry support and participation.
3. Formulated the participation concepts and designed the *Letter of Intent* to be completed by participating companies.
4. Signed agreements with seven initial companies to implement Energy Management Systems (EnMS).
5. Initiated the roll-out of training courses in EnMS and Energy Systems Optimisation (ESO).

Year Two/Three (April 2011 to March 2013) Activities

Over the course of the project's second and third years of implementation, the following activity milestones were achieved:

1. Presentation of a draft of the revised NEES to the DoE for peer review and government editorial ready for adoption.
2. The main body of an ESO based Energy Auditing Programme within the industrial SME sector.
3. Continuation of the EnMS and ESO training programme rollout.
4. Continuation and the expansion of the implementation of EnMS in the selected pilot companies.
5. Wide-scale industry EnMS and ESO awareness and promotion events.
6. Developed SANS/ISO50001 Certification criteria.
7. Developed SANS/ISO50001 Training Provider Accreditation criteria.
8. First accredited training courses provided on SANS/ISO50001 Lead Auditing and Training Centre Providers (TCPs) with corresponding training and resource materials.
9. IT Library resource section on EnMS and SANS/ISO 50001 established and populated.

Year Four (April 2013 to March 2014) Activities

Over the course of the project's fourth year of implementation, the following activity milestones were achieved:

1. Second accredited training courses provided on SANS/ISO50001 Lead Auditing and TCPs with corresponding training and resource materials.
2. Programme of tailored Energy Management Systems and SANS/ISO50001 industry promotional and awareness events.
3. IT Library resource section on EnMS and SANS/ISO 50001 population continued.
4. Initiation activities for the development of EnMS and ESO based Qualifications developed for eventual registration on the S. African National Qualification Framework (NQF).
5. Continuation of the EnMS and ESO training programme rollout – increasingly under national trainers.

6. Expansion of the implementation of EnMS and ESO in selected pilot companies.
7. Participation in a number of EnMS and ESO segments in relevant industry and/or Gov. events seminars, conferences etc.
8. Production of a number of publications (case studies, dedicated project publications and inclusions into industry and engineering magazines, journals etc.).

Year Five (April 2014 to December 2014) Activities.

By the completion of the project the following activity milestones are expected to be completed/reached:

1. Third accredited training course provided on SANS/ISO50001 Lead Auditing and TCPs with corresponding training and resource materials.
2. Programme of tailored EnMS and SANS/ISO50001 industry promotional and awareness events.
3. IT Library resource section on EnMS and SANS/ISO 50001 population continued.
4. Completion of activities (or near completion) for the development of EnMS and ESO based Qualifications developed for eventual registration on the S. African NQF.
5. Continuation of the EnMS and ESO training programme rollout – increasingly under national trainers.
6. Continued expansion of the implementation of EnMS and ESO in selected pilot companies.
7. Further participation in a number of EnMS and ESO segments in relevant industry and/or Government events seminars, conferences etc.

II. Preliminary Impact Assessment and Final Project Evaluation

Background Information and Rationale

In 2012, two years after the SA IEE Project's inception, an annual review commissioned by DFID recommended that an interim impact assessment should be undertaken. To begin this process, UNIDO convened a workshop with the SA IEE Project staff, UNIDO's Evaluation Office and selected stakeholders, to develop a suitable approach for conducting such a Preliminary Impact Assessment (PIA) and more importantly a Final Project Evaluation (FPE). This workshop was held in July 2012 and produced a basic consensus among stakeholders about a suitable evaluation approach. This was laid out in an '*Evaluation and Impact Approach Paper'* which is attached to this RFP under Annex V.

The approach paper was endorsed by the SA IEE Project PSC Members with it defining: (i) the main goals of the PIA and FPE; (ii) the scope of the PIA and the FPE including the dimensions that it should investigate; and (iii) an outline of the suggested methodology for the PIA and FPE.

As mentioned earlier in this TOR, in March 2013 the PMU and the NCPC-SA, together with the key project partners and under the guidance of an M&E Specialist, conducted a *Mid-Term Strategic Review*, which lead to the sequential development of a: (i) Project Strategy Review and Analysis Report; (ii) Project Theory of Change, (iii) Harmonized Project Logical-Framework (including revised key indicators and means of verification); and (iv) Project Work Plan for Year Three and Four. These documents form the basis, together with other key background documents, for defining the Impact Review and Final Project Evaluation.

Scope of the SA IEE Project Preliminary Impact Assessment and Independent Final Evaluation

The overall evaluation process of the SA IEE Project will be a two-stage process:

1. ***Preliminary Project Impact Assessment (PIA) – Timeframe: June to August 2014***

   Objective: To assess the preliminary impact of the SA IEE Project's activities vis-a-vis the project partners, the beneficiaries and the South African industrial sector as a whole up to the present time. The relevance of conducting such an assessment prior to the completion of the extended project in December 2014 centers on the need to determine the present level of impact of the different sets of project activities and to assist in the design and development of a potential SA IEE Phase II project for a possible starting date of mid-2015.

   The *Preliminary Impact Assessment (PIA*) will assess the progress achieved in the promotion of industrial energy efficiency in South Africa compared to a pre-project baseline, considering challenges encountered during the project's implementation, with this informing the project partners and donor on the project's total level of 'Outcome Realization' performance. The FPE will also inform the relevant institutions in South African, and beyond, on what projects of this size and type can realistically achieve within industrial and energy environments similar to that of South Africa. The assessment should propose suggestions that will inform the implementation of the potential follow-up Phase II project.

2. ***Independent Final Project Evaluation (FPE) – Timeframe: September 2015***

   Objective: The FPE will build on the 2014 PIA and will provide an assessment on the overall performance of the SA IEE Project. The evaluation will be conducted in accordance with the UNIDO Evaluation Policy and the purpose of this evaluation is twofold:

   i. Assess the SA IEE Project in terms of relevance, effectiveness, efficiency, sustainability and impact
   ii. Develop lessons and recommendations for enhancing the design and implementation of similar future projects in other countries with similar energy, industrial and social conditions.

   This final evaluation will include aspects such as national institutional capacity strengthening, policy frameworks, technical national capacity establishment and the implementation of EnMS and ESO at enterprise level with recorded energy savings. The results of this evaluation should inform policy-makers in the country, UNIDO, and Donors within the field of green industry and industrial energy efficiency to better design and develop similar programmes in South Africa, while at the same time assisting international development institutions with similar projects in other countries.

Both the PIA and the FPE will among other things fulfil the accountability requirements toward the project counterparts which have provided the financial resources for its implementation – namely the project donors, i.e. the Government of South Africa through the **d**ti, SECO and DfID.

Past Evaluation Activities Regarding the SA IEE Project

In addition to the internally initiated evaluation and impact assessment activities, three other external evaluation activities were carried out that either solely or partly focused on the SA IEE Project, these were:

1. October 2011 – 'UNIDO South Africa Country Evaluation', under which UNIDO's entire past and present portfolio of technical cooperation project was evaluated under an independent evaluation team.

2. April 2012 – 'DFID-Carbon Trust Evaluation of the SA IEE Project', under which DFID retained the services of the Carbon Trust to undertake dedicated mid-term evaluation of the SA IEE Project (before the extension of the project to Dec 2014) performance.

3. July 2013 – '*Impact Assessment of the NCPC',* where the **d**ti conducted an overall evaluation of the impact of the SA-NCPC and its activities, of which the SA IEE Project takes up a large share. The SA-NCPC impact assessment was completed in September 2013.

The reports of these three different evaluation initiatives/processes will be made available to the contracted Evaluation Team.

Key Preliminary Impact Assessments and Evaluation Questions

The PIA and FPE should address the assessment on the basis of the indicators and means of verifications identified and detailed within the revised Project Logical Framework in terms of both qualitative and quantitative indicators. The main *Evaluation Questions* were identified during consultations, under the development of the Theory of Change. The Evaluation Questions are classified according to the internationally recognized OECD-DAC[1] evaluation criteria of relevance, effectiveness, efficiency, impact and sustainability, as well as cross-cutting issues such as environment and gender); and subsequently grouped by project component for ease of reference. It is expected that the Evaluation Team will identify additional Evaluation Questions to be added to the current pool, during the evaluation inception phase.

Evaluation Criteria and Questions

The evaluation will examine the following aspects of the SA IEE Project's performance:

Project Design

Under this aspect of the assessment and process evaluation, the SA IEE Project's design will examined in regard to whether or not:

- A participatory project identification process was instrumental in selecting problem areas and national counterparts.
- The project has a clear thematically focused development objective, the attainment of which can be determined by a set of verifiable indicators.
- The project was formulated based on the logical framework approach.
- The project was formulated with the participation of national counterpart and/or target beneficiaries.
- Relevant country representatives (from government, industries and civil society) have been appropriately involved and were participating in the identification of critical problem areas and the development of technical cooperation strategies.

Project Relevance

Under this aspect of the assessment and process evaluation, the SA IEE Project's relevance will examined in regard to:

- National development, priorities and strategies of the Government and population of South Africa.
- UNIDO's thematic priorities.
- Determination if the SA IEE Project's design is adequate to address the problem(s) at hand?
- Did the SA IEE Project remain relevant taking into account the changing environment?

[1] Organisation for Economic Co-operation and Development – Development Assistance Committee: http://www.oecd.org/dac/evaluation/daccriteriaforevaluatingdevelopmentassistance.htm

- Was there a need to reformulate the project design and the log frame given changes in the country and operational context and how well was this achieved?

Project Effectiveness and Impact

Under this aspect of the assessment and process evaluation, the SA IEE Project's effectiveness and impact will examined in regard to:

- What extent have the expected outputs, outcomes and long-term objectives been achieved or are likely to be achieved? Are the actual project outcomes commensurate with the original or modified project objectives? If the original or modified expected results are merely outputs/inputs, the evaluators should assess if there were any real outcomes of the project and, if there were, determine whether these are commensurate with realistic expectations from the project. How do the stakeholders perceive the quality of the project outputs and outcomes? Were the targeted beneficiary groups actually reached?
- What outputs and outcomes has the SA IEE Project achieved so far (both qualitative and quantitative results)? Has the project generated any results that could lead to changes of the assisted institutions? What impact has developed policy and regulations had on EnMS and ESO uptake? Have there been any unplanned effects?
- Identifying the potential longer-term impacts or at least indicate the steps taken to assess these (see also below "monitoring of long-term changes"). Wherever possible, evaluators should indicate how findings on impacts should be reported in future.
- What impact has the SA IEE Project had in a global sense, e.g. has the EnMS and/or ESO methodologies been promote through enterprise global networks and/or supply chains?
- How does the SA IEE Project comp are with similar projects in other countries/regions.

Project Efficiency

Under this aspect of the assessment and process evaluation, the SA IEE Project's efficiency will examined in regard to the extent with which:

- UNIDO and Government/counterpart inputs have been provided as planned and were adequate to meet requirements.
- The quality of UNIDO inputs and services was as planned and timely.
- Were the interventions were cost-effective. Was the project the least cost option?
- There was coordination with other UNIDO and other donors' projects and possible synergy effects.
- Has the project produced results (outputs and outcomes) within the expected time frame? Are the project's activities in line with the schedule of activities as defined by the project team and annual work plans?
- Are the disbursements and project expenditures in line with budgets?
- Was the financial flow model of project effective and was the financial reporting of a high standard.

Project Sustainability

Sustainability is understood as the likelihood of continued benefits after the project ends. Given the uncertainties involved, it may be difficult to have a realistic *a priori* assessment of sustainability of the SA IEE Project's outcomes. Therefore, assessment of sustainability of outcomes will give special attention to analysis of the risks that are likely to affect the persistence of project outcomes. This assessment should explain how the risks to project outcomes will affect continuation of benefits after the project ends. It will include both exogenous and endogenous risks. The following four dimensions or aspects of risks to sustainability should be examined:

- *Financial risks.* Are there any financial risks that may jeopardize sustainability of project outcomes? To what extent are the outcomes of the project dependent on continued financial support? What is the likelihood of financial resources not being available to sustain the project outcomes/benefits once the assistance ends (resources can be from multiple sources, such as the public and private sectors, income generating activities, and market trends that support the project's objectives)? Was the SA IEE Project successful in identifying and leveraging co-financing?
- *Socio-political risks:* Are there any social or political risks that may jeopardize sustainability of project outcomes? What is the likelihood that the level of stakeholder ownership will be sufficient to sustain the project outcomes/ benefits? Do the various key stakeholders see their interest in the continued flow of the SA IEE Project benefits? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?
- *Institutional framework and governance risks.* Do the legal frameworks, policies, and governance structures and processes within which the SA IEE Project operates pose risks that may jeopardize sustainability of project benefits? Are the required systems for accountability and transparency, and the required technical know-how in place?
- *Environmental risks.* Are there any environmental risks that may jeopardize sustainability of project outcomes? The evaluation should assess whether certain activities will pose a threat to the sustainability of the SA IEE Project outcomes.

Project Coordination and Management

Under this aspect of the assessment and process evaluation, the SA IEE Project's coordination and management will examined in regard to the extent with which:

- 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 fulfill 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 and Field Office based management, coordination, monitoring, quality control and technical inputs have been efficient, timely and effective (problems identified timely and accurately; quality support provided timely and effectively; right staffing levels, continuity, skill mix and frequency of field visits…).
- Assessment of implementation approach: Is the SA IEE Project's implementation approach different from the usual modality of UNIDO and other agencies? What are the advantages and disadvantages of the project approach? How can it promote local ownership and capacity building? Any innovative approaches or best practices that can be identified? What are the potential risks?
- Monitoring and evaluation (M&E) assessment: Monitoring and self-evaluation were carried out effectively, based on indicators for outputs, outcomes and impacts. Is there any annual work plans? Was any steering or advisory mechanism put in place? Did reporting and performance review take place regularly?

Further in regard to the M&E functions of the SA IEE Project, the following aspects should be examined:

i. *M&E design*. Does the project have a sound M&E plan to monitor and track progress towards achieving project results?

ii. *M&E implementation*. The evaluation should verify that an M&E system was in place and facilitated timely tracking of progress toward project objectives by collecting information on chosen indicators continually throughout the SA IEE Project implementation period; annual project reports were complete and accurate, with well-justified ratings; the information provided by the M&E system was used during the project to improve performance and to

adapt to changing needs; and projects had an M&E system in place with proper training for parties responsible for M&E activities to ensure that data will continue to be collected and used after project closure.

iii. *Budgeting and funding for M&E activities*. In addition to incorporating information on funding for M&E while assessing M&E design, the evaluators will determine whether M&E was sufficiently budgeted for at the project planning stage and whether M&E was funded adequately and in a timely manner during implementation.

iv. *Monitoring of Long-Term Changes.* The monitoring and evaluation of long-term changes was incorporated into the SA IEE Projects as a separate component and may include determination of environmental baselines; specification of indicators; and provisioning of equipment and capacity building for data gathering, analysis and use.

Other interesting Evaluation Questions in regard to EnMS and ESO may, for example, regard determining the impact of:

- The impact at enterprise-level in regard to the introduction of energy saving measures within these enterprises, including EnMS and ESO initiatives across industrial sub-sectors which did not result as a direct expert placement under EnMS and ESO piloting activities or the Expert-Level EnMS and ESO training programmes.
- The difference in impact realized in terms of wide-scale energy savings being generated across sectors as a result of project trained EnMS and ESO consultants as opposed to enterprise based engineers.
- The impact achieved through the introduction of low or no-cost measures verse those inventions that require investment (also considering the fund mobilization process that a firm has to undertake in order to justify and sustain the investment).
- The effectiveness of demonstration/pilot projects in leading to implementation of similar EnMS and ESO measures in other plants within the same group, the same sector, and in other enterprises along a given value chain.
- The results achieved by the national industrial enterprises with respect to the introduction of EnMS and ESO based energy efficiency best practices within their facilities.
- The impact of the content and structure of the EnMS and ESO training courses provided in order to create a pool of national energy experts and facilitators.
- The impact on the uptake of the Energy Management Standard ISO/SANS50001 and the creation of a suitably qualified ISO/SANS50001 auditor community and strengthened institutional capacity.
- The impact on the creation and strengthening of institutional capacity with regard to energy efficiency within the relevant South African Government bodies.
- What are the existing gaps (if any) in project's implementation and content? What are sustainable/reasonable forward looking recommendations can be made on how to fill those gaps in a potential follow up Phase II Project.

By answering these (and possible additional) questions the PIA and FPE will identify the areas of the SA IEE Project that have performed well, and the areas that have underperformed and why. Lessons to be learned will be identified with the FPE examining these same issues in greater detail post project completion. It is expected that the PIA and FPE will also identify and analyze any main spin-off effects generated throughout the implementation of the SA IEE Project as well as critical persisting challenges and opportunities that should further addressed within the framework of follow-up projects in South Africa and elsewhere.

Factors such as energy prices and availability of subsidies (tax rebates, etc.) are external influences to be considered in regard to the impact and reach of the project activities. The assessment and evaluation processes will also have to take into account the time periods needed for project activities to lead to high degrees of impact.

Impact Definitions

For the purpose of the PIA and FPE the underlying definition of "impact" includes the following dimensions:

i. *Impact at the Firm Level*: Increased enterprise competitiveness through reduced cost, increased productivity and other possible effects;
ii. *Impact at the Aggregate (Macro) Level*: Reduced pressure on the energy supply system (particularly the electricity system) in South Africa e.g. as measured by the Eskom reserve margin; reduced sub-sector GHG emissions; economic effects such as job creation or retention; sustainable institutional and technical national capacity, etc.
iii. *Possible Unintended Impacts (Positive and Negative):* Possible rebound effects; cascading effects on the supply chains of larger firms, increased demand and replication of similar initiatives in the country, etc.
iv. *Impacts at Micro Level:* Impacts related to aggregate level impacts through assumed replication processes. The assessment will aim at understanding and assessing these links in order to arrive at rough estimates of the SA IEE Project's contribution to aggregate impacts.

The Impact Assessment and the Final Project Evaluation reports will be made publically available, as per UNIDO Evaluation policy, with the main lessons learned and recommendations presented in both the PIA and FPE.

Approach and Methodology of the PIA and FPE

The PIA as well as the FPE should use a mixed-method approach, including collection and analysis of quantitative data in combination with a qualitative analysis based on the Project's *"Theory of Change (ToC)"*, the project original and revised Logical Frameworks and the background information on the project's indicators and means of verification as prepared by the PMU.

As control groups were not established at the outset or during the SA IEE Project's implementation, combined with the fact that the participation of companies in the programme was on a voluntary basis (not randomized), a strictly experimental method is therefore not possible. In some cases it may be possible, however, to use matching techniques to establish comparison groups.

Based on the original Project Document and Strategy Review Document, as well as other available documentation (see RFP Annexes), the core project strategies that the project is employing to achieve impact have been mapped out – with necessary strategy evolution and changes being assessed and built into the project's implementation planning. Therefore, the central element and starting point of the PIA and FPE will be the analysis of the project's ToC.

As mentioned in the introduction, the four areas that the project focuses on are as follows:

Component 1.0: Industrial Energy Efficiency Policy and Regulatory Framework Development

Component 2.0: Development, Introduction and Promotion of Energy Management Standards

Component 3.0: Energy Management and Energy Systems Optimization Capacity Building and Expert Development

Component 4.0: EnMS and ESO Demonstration, Awareness Creation and Project Communication

The detailed evaluation methodology that is intended to be used for the PIA as well as for the FPE should be developed by the Evaluation Team and presented as part of technical tender proposal submission to this TOR/RFP.

Given the complexity of the project and the diverse set of counterparts and beneficiaries that the project operates with, the PIA and FPE will have to be conducted in a participatory manner, through the gathering of inputs from a selection of individuals, experts, beneficiaries and organizations with whom the SA IEE Project has worked over the past years. Therefore, the contracted evaluation team members will need to conduct telephonic, electronic as well as physical face-to-face interviews and surveys to ensure a balanced and accurate assessment of the SA IEE Project and the impact of its different components.

The Evaluation Team's role will include liaising with all national institutional counterparts as well as industry representatives and consultancies to follow up on activities and initiatives. Furthermore, the Evaluation Team will develop a plan to undertake the necessary actions in order to achieve the expected milestones within reason and the time allocated for this task (the PIA to be completed by the end of August 2014 and the FPE to be completed by end of December 2015). This will require close interaction with local project managers, project coordinators, communication officers and other key project and industry members.

The interviews will have to be scheduled and managed by the Evaluation Team with one of the team members making sure that interviews times and requests are forwarded to the respective stakeholders within a reasonable time. The Project Management Unit and wider team will facilitate contact sharing and making first introductions but the survey and interviews schedules will have to be managed and maintained by the contracted Evaluation Team. It is important that a strategy is developed for the selection of partners and beneficiaries to be interview, the level of detail and type of questions to be asked, for both, the PIA and the FPE should not be burden for the different stakeholders to answer. The Contract should also present a broad methodology on how they will objectively analyze the feedback in order to develop a balanced impression of a wide-range opinions and divergent views.

III. Tasks to be implemented under TOR

III.i. Subcontract Task One: SA IEE Project Preliminary Impact Assessment – June 2014

The tasks to be implemented by the Evaluation Team under this part of the sub-contract are:

Task One - Part One: ***Project Analysis, Familiarization and Evaluation Planning***		
The first task of the Evaluation Team will be to gain a full understanding of the content and nature of the SA IEE Project, its objectives and IEE methodologies. The structure and reach of the existing M&E System needs to examined with an initial strategy being developed to evaluate the target data collection methods and their analysis. This will be realized through meetings/interviews with the different project staff responsible for the individual project activities (i.e. policy development, energy auditing, EnMS and ESO piloting, Training Centre management and EnMS and ESO course provision, website maintenance, Communication activities, etc.). After the overall understanding has been obtained from the project's team perspective a detailed assessment plan should be finalized.		
Actions to be undertaken	**Deliverables**	**Location**
Identify the elements of the SA IEE Project that should be evaluated, according to previous M&E experience of development projects and the existing project ToC and revised Logical Framework documents, thereby facilitating the following items: i. Gain an understanding of the content of the project and the structure of the project's existing data gathering and M&E System. ii. Analyse the project's strategic documents and finalize the Evaluation Questions that need to be investigated. iii. Undertake a mission (the Lead Expert) to UNIDO HQ Evaluation, Vienna Austria to be briefed on UNIDO Evaluation guidelines and present initial PIA evaluation planning. This will be followed by a presentation the SA IEE Project PSC in South Africa. iv. Develop finalized and PIA evaluation plan, in terms of activities and time allocation to be presented to, discussed with and approved by the PMU.	i. Working document detailing the PIA plan including the activities to be undertaken and the time allocation. ii. A document containing the finalized set of Evaluation Questions to be assessed and the activities that needs to be undertaken for each question to be addressed. *Note: These documents will guide the drafting of the Impact Assessment*	South Africa and UNIDO HQ Vienna, Austria

Task One - Part Two: ***Project Database Analysis***		
After gaining a sound knowledge of the SA IEE Project's structure and the nature of its outputs being generated, and the outcomes being fostered, the main objective of this part of the contract will commence where the Evaluation Team will start assessing the impact of the SA IEE Project through the analysis of the M&E database and documents respectively collected and elaborated during the project's life span up to the date of PIA commencement.		
Actions to be undertaken	**Deliverables**	**Location**
Review and analyse the existing SA IEE Project M&E databases and record keeping system in place in order to obtain a clear and detailed understanding of the many project activities performed, the progress made and the impact achieved for each of the project components and within the different target groups. Database and record keeping functions to be analysed will include the following: • Policies and regulations adopted w.r.t. implementation of Energy Act; • Database of companies applying for and obtaining SANS/ISO50001 certification; • Database of certified lead auditors and accredited auditor training providers; • Database of training organized by the project, facilitated by national and/or international consultant as well as of the people trained at the different levels and disciplines; • Database of qualified EnMS and ESO Experts, their companies and follow up results; • Record of the process for the training material development; • Record of process followed for obtainment of courses accreditation by SaIMechE; • Log-book for the activities facilitated at the Training and Resource Centre; • Database of EnMS Host, Candidate and Demo Plants and their status in EnMS implementation;[2] • Database of ESO Host, Candidate and Demo Plants and their status in EnMS implementation;[2] • Database of ESO implementation; • Record of the process for the engagement with Host, Candidate and Demo Plants; • Database of energy audits conducted, industrial sector, measures implemented, savings achieved, etc. • EnMS and ESO assessments database (including the length of the support, the expert sent to help, potential and realized savings, etc.); • Database of all publications (media and electronics) developed during the project life, with links to the actual content developed; • Database indicating all events, conference and seminars participated in and organized. • On-line monitoring options (i.e. after-service surveys to be posted on the project website) as well as the data gathered through appropriately designed on-line pop-up surveys.	i. Analysis report of the M&E System and the data contained in it. ii. Recommendations and guidance to improve the monitoring structure used by the SA IEE Project.	South Africa

[2] Host Plants are enterprises that host group EnMS and ESO training within their plants as part of the subject Expert-Level courses. Candidate plants are enterprises that host two-person Expert-Level EnMS and ESO candidates after the course group training to conduct EnMS work and ESO assessments as part of the examination process.

Task One - Part Three: ***Stakeholder Interviews and Surveying***		
The SA IEE Project has worked with a large and diverse set of stakeholders under its different components and output clusters. To better understand the degree of impact that the project's capacity building, technical assistance or awareness raising has had with these different stakeholder groups, a sample of interviews will be need to be conducted across a cross-section of stakeholders.		
Actions to be undertaken	**Deliverables**	**Location**
Interview industrial enterprises representatives, project team members and other varied project stakeholders to gather impact data on the initiatives performed throughout project's implementation. The target stakeholders categories for surveying and interviewing under each of the project components will include: *Component One: Industrial Energy Efficiency Policy and Regulatory Framework Development* – Department of Energy, SANEDI, and Industry Associations. *Component 2.0: Development, Introduction and Promotion of Energy Management Standards* – SANAS, SABS, SAATCA, SANS/ISO50001 trained Lead Auditor institutions and their client companies. *Component 3.0: Energy Management and Energy Systems Optimization Capacity Building and Expert Development* – EnMS and ESO training providers (incl. the SA-NCPC, selected international expert trainers (through remote surveying/questionnaires), the project national capacitated EnMS and ESO trainers, course candidates (both at the Advanced and Expert Level), SAIMechE, recipient companies, and the EnMS and ESO Expert-Level training course Host and Candidates enterprises. *Component 4.0: EnMS and ESO Demonstration, Awareness Creation and Project Communication* – Under the Auditing, EnMS implementation and ESO Assessment, and Case Studying part/programme of Component 4.0, interviewing and surveying should focus on; (i) recipient Energy Audit enterprises; (ii) the project's trained Energy Auditors; (iii) recipient enterprises under the EnMS implementation programme; and the recipient enterprises under the ESO Assessment support programme. Under the project's Communications Programme of Component 4.0, the Evaluation Team should firstly develop a plan/method/set of indicators for assessing the impact of the project Communications Programme. Secondly, interviewing and surveying should at the least include industry associations and industry seminar bodies that the project has worked with.	An Impact Assessment input and progress report produced for each project component and for the project as a whole - including feedback from each stakeholder interviewed.	South Africa

Task One - Part Four: ***Data and Survey Analysis, Report Drafting, Presentation and Finalization***		
After categorizing and analyzing all relevant and suitable information sources and indicator information, the Evaluation Team should perform an in-depth analysis in order to determine the different layers and areas of impact of the SA IEE Project up to the time of the Impact Assessment's completion. The SA IEE Project from its outset has tried to be very participatory in terms of its PSC Members, giving them a very high degree of oversight and input into the project's processes and direction. This level of participation extends to finalization of project documentation. Therefore, Evaluation Team will present the draft report the PMU for review and comment, before presenting directly to the SA IEE Project PSC for their input, consideration and final endorsement.		
Actions to be undertaken	**Deliverables**	**Location**
i. Analysis of all gathered data sources and indicator data and determination of impact levels of the project within its objective areas as determined under the ToC (and beyond if discovered). ii. Draft Impact Assessment Report – to be submitted to the PMU for their review and inputs. iii. Undertake a debriefing Mission to UNIDO HQ Evaluation, Vienna Austria to present the draft PIA report and receive input and comment. iv. Final Impact Assessment Report – to be presented to the PSC Members for their consideration, input and final approval.	Draft SA IEE Project Impact Assessment Report including main findings and recommendations. Final Impact Assessment Report, including main findings and recommendations. Workshop(s) on further	South Africa and UNIDO HQ, Vienna, Austria

v. Three months after the finalization of the Impact Assessment, conduct a workshop with the SA-NCPC and PMU to impart additional M&E capacity under an institution-wide workshop(s) and under individual sessions with selected staff.	M&E capacity building and existing system (and data) review.	

Task One – Part Five: ***PIA Follow-up and M&E System Strengthening***		
Three months after the finalization of the Impact Assessment, and submission of a *Management Response* from the SA IEE Project PMU, the Evaluation Team should prepare a mission to conduct a workshop training/consultation session(s) to: firstly, impart additional M&E capacity under an institution-wide workshop(s) and under individual sessions with selected staff; and secondly, to give direction to the filling of any data gaps ready for the final project evaluation.		
Actions to be undertaken	**Deliverables**	**Location**
i. Work with the SA-NCPC and PMU to impart additional M&E capacity under an institution-wide workshop(s) and under individual sessions with selected staff.	Workshop(s) on further M&E capacity building and existing system (and data) review.	South Africa

III.ii. Subcontract Task Two: Independent Final Project Evaluation

By the strong capacity building nature of the SA IEE Project and the environment within the industrial sector that persisted at the time of the project's outset, namely one of inertia, a limited interest in energy efficiency and a history of cheap energy costs, a situation occurred where the enterprise-level implementation of the EnMS and ESO methodologies moved to the later stages of the project. From Mid-2013 to the end of 2014 a large amount of EnMS and ESO piloting will occur as interest and commitment from industry is now much higher, this being partly due to vastly increased energy prices and partly due to the awareness and training programmes of the SA IEE Project and other energy efficiency initiatives.

Also in 2014, the SA IEE Project training programmes will continue to increasingly be run by the project trained national EnMs and ESO trainers. Therefore, in many ways 2014 will be one of the most interesting years of the project's implementation and as such the different outputs that will be produced need to analysed in terms of their impact and the fostering of the project's desired final objectives outcomes.

As result of this situation and the need to evaluate the SA IEE Project as a whole, a Final Project/Impact Evaluation is to be undertaken to provide an overview of the overall project impact from inception to Dec 2014 – and beyond in terms of how the concepts stand within the industrial sector post-project completion.

The tasks to be implemented by the Evaluation Team under this part of the sub-contract are:

Task Three – Part One: *Final Evaluation Planning*		
As with the PIA process, the Evaluation Team should begin the FPE by developing a details evaluation plan. This should build on and expand the processes and findings of the previous PIA.		
Actions to be undertaken	**Deliverables**	**Location**
Develop full SA IEE Project Evaluation Plan and present UNIDO Evaluation and the SA IEE Project PSC.	Project evaluation plan	UNIDO HQ, Vienna, Austria and South Africa
Task Three – Part Two: *Full Project Database Analysis*		
Under this part of the FPE process, the Evaluation Team will effectively rerun and expand the database analysis exercise that will have been performed earlier in 2014 under the PIA process. The EPF process will consider however the all data sources/entries up to the point of completion of project activity implementation.		
Actions to be undertaken	**Deliverables**	**Location**
Review and analyse the completed SA IEE Project M&E databases and record keeping system. The review should encompass all of the many project activities performed, the final output and impact achieved for each of the project components and within the different target groups. Database and record keeping functions to be analysed are to be repeated from Task One Part Two.	Database analysis input to the Final Project Evaluation report.	South Africa
Task Three - Part Three: *Stakeholder Interviews and Surveying*		
Under this part of the FPE process, the Evaluation Team will effectively expand, and possibly diversify, the stakeholders, interviews conducted across a cross-section of different project stakeholders to fully understand the degree of impact that the project's total programme of capacity building, technical assistance or awareness raising has had with these different stakeholders over the project as whole.		
Actions to be undertaken	**Deliverables**	**Location**
Interview additional industrial enterprises representatives, project team members and other varied project stakeholders to gather impact data on the initiatives performed throughout project's entire implementation. The target stakeholders groups for surveying and interviewing under each of the project components will include the same groupings as were included under Task One Part Three. However, repeated interviewing should be schedule if additional work has been conducted the PIA surveying/interviewing.	Stakeholder survey and interview analysis input to the Final Project Evaluation report - including sample feedback from each stakeholder interviewed.	South Africa
Task Three - Part Four: *Data and Survey Analysis, Report Drafting, Presentation and Finalization*		
After categorizing and analyzing all relevant and suitable information sources and indicator information, the Evaluation Team should perform an in-depth analysis in order to determine the different layers and areas of impact of the SA IEE Project up to the time of its full completion. The Evaluation Team will present the draft report the PMU for review and comment, before presenting directly to the SA IEE Project PSC for their input, consideration and final endorsement.		
Actions to be undertaken	**Deliverables**	**Location**
i. Analysis of all gathered data sources and indicator data and determination of impact levels of the project within its objective areas as determined under the ToC (and beyond if discovered). ii. Draft Final Project Evaluation Report – to be submitted to the PMU for their review and inputs. iii. Undertake a debriefing Mission to UNIDO HQ Evaluation, Vienna Austria to present the draft FPE report and receive input and comment. iv. Finalized Final Project Evaluation Report – to be presented to the PSC Members for their consideration, input and final approval.	Draft SA IEE Project Final Project Evaluation Report including main findings and recommendations for future projects of this type. Finalized Final Project Evaluation Report, including main findings and recommendations for future projects of this type.	South Africa and UNIDO HQ, Vienna, Austria

IV. Sub-Contract Task Implementation Timeline

Table One: Sub-Contract Implementation Timeframe

Sub-Contract Task	Month from Sub-Contract Inception																					
	2014										2015											
	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec	Jan	Feb	Mar	Apr	May	Jun	Jul	Aug	Sep	Oct	Nov	Dec
Subcontract Task One: SA IEE Preliminary Impact Assessment – April 2014																						
Task One - Part One: ***Project Analysis, Familiarization and Assessment Planning***																						
Task One - Part Two: ***Project Database Analysis***																						
Task One - Part Three: ***Stakeholder Interviews and Surveying***																						
Task One - Part Four: ***Data and Survey Analysis, Report Drafting, Presentation and Finalization***																						
Task One – Part Five: ***M&E System Data Updating and M&E Workshop***																						
Subcontract Task Two: Final Project Evaluation																						
Task Two– Part One: ***Project Evaluation Planning***																						
Task Two – Part Tw o: ***Full Project Database Analysis***																						
Task Two - Part Three: ***Stakeholder Interviews and Surveying***																						
Task Two - Part Four: ***Data and Survey Analysis, Report Drafting, Presentation and Finalization***																						

The total working time expected from the contractor's released expert team for the entirety (i.e. the two full task lists) of the subcontract is to ***total 80 working days over 13.0 months***

V. Working Arrangements

The contractor will work under the guidance of UNIDO's Office of Evaluation. Support and guidance will also be provided by the SA IEE Project's National Counterpart, i.e. the 'South African National Cleaner Production Centre', the UNIDO Project Manager and the wider SA IEE Project PMU. PSC Member consultations will also be provided for to ensure that their requirements are included in the PIA and FPE structures.

VI. Reporting and Submission Requirements

Reporting and submission requirements are listed in the table below.

Table Two: Sub-Contract Deliverables and Reporting Requirements

Sub-Contract Task Deliverable	Expected Completion Date	Submission to
Subcontract Task One: Preliminary Impact Assessment – June 2014		
Task One - Part One: ***Project Analysis, Familiarization and Evaluation Planning***		UNIDO Office of Evaluation and SA IEE Project PSC
PIA Plan Working Document complete with finalized Evaluation Questions.	30 June 2014	
Task One - Part Two: ***Project Database Analysis***		
Analysis Report of the project M&E System with recommendations and guidance for improvement.	30 July 2014	
Task One - Part Three: ***Stakeholder Interviews and Surveying***		
Analysis Report of Stakeholder Interview and Survey programme.	15 August 2014	
Task One - Part Four: ***Data and Survey Analysis, Report Drafting, Presentation and Finalization***		
Draft Impact Assessment Report	20 August 2014	
Final Impact Assessment Report	30 August 2014	
Task One Part Five – Part Five: ***M&E System Data Updating and M&E Workshop***		PMU/SA-NCPC
M&E Capacity Building Workshop(s)	February 2015	
Subcontract Task Two: Final Project Evaluation - 2015		
Task Two – Part One: ***Final Project Evaluation Planning***		UNIDO Office of Evaluation and SA IEE Project PSC
Final Project Evaluation Plan	30 September 2015	
Task Two - Part Two: ***Full Project Database Analysis***		
Database analysis input to the Final Project Evaluation report.	31 October 2015	
Task Two - Part Three: ***Stakeholder Interviews and Surveying***		
Stakeholder survey and interview analysis input to the Final Project Evaluation Report.	30 November 2015	
Task Two - Part Four: ***Data and Survey Analysis, Report Drafting, Presentation and Finalization***		
Draft Final Project Evaluation Report	15 December 2015	
Finalized Final Project Evaluation Report	31 December 2015	

The sub-contract reports containing accounts of the separate deliverable outputs should be submitted in electronic form to the UNIDO Office of Evaluation and the SA IEE Project PSC in English. Should any delay occur or expected circumstance arises, the contractor should notify UNIDO and the NCPC-SA in writing in a timely manner. The evaluation of each of the Task deliverables will be conducted by the UNIDO Office of Evaluation and the SA IEE Project PSC. UNIDO and SA IEE Project PSC clearance is required on the task deliverables and subsequent contract/deliverable reporting.

VII. Governance and Accountability

The ownership of the overall evaluation (both the PIA and the FPE) is ultimately by the SA Project PSC members, consisting of the: Government of South Africa, represented by the **d**ti and the DoE; The project donors, i.e. DfID, SECO and the **d**ti, as well as BUSA, NBi, SA-NCPC and UNIDO. Ultimately, PSC endorsement and approval must be secured for the final drafts of both the PIA and FPE.

The Evaluation Team will report directly to UNIDO Evaluation Office based in Vienna and the Team will closely liaise with the Project Management Unit (PMU) formed by the UNIDO project Manager, the National Project Manager, the International Project Coordinator and the Skills Development Expert. The PIA and FPE will be carried out by the Evaluation Team through the involvement of the wider SA IEE Project Team and its stakeholders.

The Evaluation Team will ensure that (i) the PIA and (ii) the FPE is initiated and completed within the time period given in Table One. Once complete, the Evaluation Team will submit and present the main findings and recommendations to the PMU for discussion and their consideration and feedback. Once UNIDO and the Evaluation Team have agreed on the final content, the Evaluation Team will present the PIA and FPE reports to the Project Steering Committee which will validate the PIA and FPE reports prior to public dissemination. Oversight and quality control will be provided by the UNIDO's Evaluation Office.

VIII. Qualifications

Qualifications of the Evaluation Team:

Given the nature of the programme and the type of evaluation questions that have been identified, the expectation is to recruit an evaluation team of three members which, as a team, must demonstrate all the necessary technical and evaluation qualifications, listed below, in the application.

Evaluation Team Members Profile:

The team leader must demonstrate a minimum of ten years' experience in the Evaluation of multilateral technical assistance programmes. Previous experience of the evaluation of energy projects is an asset. The team leader will be supported by one member with strong policy background (to focus on the analysis and investigation of macroeconomic issues) and a member with more technical experience in the energy sector (to focus on the analysis and investigation of microeconomic impacts).

The team should have:

- In-depth understanding of the requirements for the evaluation of large-scale technical cooperation projects, the South African Government's environmental policy and regulatory position.

- In-depth understanding of UN/UNIDO policies, development strategies related to environmental protection, energy efficiency, industry and GHG emissions reduction.

- Excellent skills in consulting, communicating and coordinating, as well as excellent oral and written English proficiency.

- Experiences in conducting industrial studies/investigation with a focus on energy efficiency inititatives. Management experience in the evaluation of similar international projects.

- Professional expertise and background covering the requirements of tasks defined in the contract. Members of the team should include experts in the fields of energy efficiency policy, industrial energy efficiency implementation, environmental protection and reporting.

IX. Qualifications of the Contractor's Firm

- The **contractor's** firm should be a qualified legal entity or a consortium.
- The **contractor's** firm should have completed similar initiatives in the last five years. Accounts of such related initiatives should be listed in the quotation.
- **Absence of Conflict of Interest:** According to UNIDO rules, the contractor and the evaluation team must not have been involved in the design and/or implementation, supervision and coordination of and/or have benefited from the programme/project (or theme) under evaluation. The contractor will be requested to sign a declaration that none of the above situations exists and that the contractor will not seek assignments with the manager/s in charge of the project before the completion of this contract.

The detailed evaluation methodology that is intended to be used for the Impact Assessment as well as for the Final Project Evaluation should be developed by the Evaluation Team and outlined as part of technical tender proposal submission to this TOR.

The bidders Proposal should follow the Qualification Requirements and Evaluation Criteria (Annex III of the RFP).

X. Contract and Task Contacts:

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XI. References Documents Available for this ToR

Annex V: Evaluation Approach Paper
Annex VI: Original Project Document
Annex VII: Project Strategy Review and Analysis Report
Annex VIII: A Theory of Change
Annex IX: Logical Framework