



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

**TERMS OF REFERENCE
FOR MID-TERM INDEPENDENT EVALUATION
OF THE UNIDO PROJECT:**

**NATIONAL RESOURCE EFFICIENT AND CLEANER PRODUCTION (RECP)
PROGRAMME INDONESIA
SAP ID 100224**

Time period: 2012-2016

August 2016

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BACKGROUND AND CONTEXT

BACKGROUND

Resource Efficient and Cleaner Production (RECP) concerns the application of preventive environmental management practices and total productivity techniques with the triple aims of improving the productive use of materials, water and energy (*'resource productivity'*), reducing the generation of waste, waste water and emissions (*'waste minimization'*) and reducing risks to humans (*'human well-being'*). RECP provides a cross sectoral approach for industries in all manufacturing and related sectors and of all sizes to reduce their environmental impact and improve productivity, ultimately contributing to enhanced competitiveness and conformance with market demands. The United Nations Industrial Development Organization (UNIDO) and United Nations Environment Programme (UNEP) have jointly promoted the application of RECP (and predecessor concepts) in developing and transition countries since 1995 in particular by supporting the establishment and operation of National Cleaner Production Centres (NCPCs) and related entities. Since 2009, this support is provided within the framework of the joint global UNIDO-UNEP RECP Programme, for which a mid-term evaluation was conducted in 2015. The 20 year results and experiences of the NCPCs have been documented in various publications.

RECP is strongly embedded in the international 2030 Agenda, in particular as contributor to the Sustainable Development Goals on sustainable consumption and production (SDG12), inclusive and sustainable industrialization (SDG9) and green economy and productive workforce (SDG8). At the regional level, RECP and related social and environmental responsible business conduct, have gained importance with the entering into force of the ASEAN Economic Community, as is also reflected in the ASEAN Socio Cultural Blueprint 2025, *"forging ahead together"*.

PROJECT CONTEXT

The Government of Indonesia launched its first Cleaner Production (CP) initiatives in the mid-1990s and has since then received international support (from GtZ/GiZ, JICA, AusAID, EC, USAID and others) for various CP and related projects, including the establishment of the Indonesia Cleaner Production Centre (ICPC). The development of CP in Indonesia though had until 2009 not connected to the global NCPC/RECP Programme of UNIDO and UNEP, a situation similar to other major ASEAN member states (Malaysia, Thailand and Philippines). At the request of the Government of Indonesia, through its then Ministry of Environment, in 2009, UNIDO assessed the status of CP development in Indonesia and on the basis thereof developed during 2009-2011 the present National RECP Programme (*'the Project'*). The Project was approved for implementation and funding by the Government of Switzerland, through its State Secretariat for Economic Affairs (SECO), and launched for implementation during project signing ceremony on 5th June 2012, World Environment Day, symbolically ahead of the 2012 World Summit on Sustainable Development, Rio+20.

Given that CP had already been piloted and demonstrated in Indonesia, the RECP project was designed to scale-up and mainstream RECP methods, techniques and policies in Indonesia, through a networked approach to reach different sectors and regions around the vast archipelago. The project is structured in five main outputs, in brief (with full details in annexed logical framework):

1. RECP Capacity and Network: building a cadre of RECP experts around the country and connecting these into a multi-stakeholder action network for RECP promotion and implementation;

2. RECP Implementation and Replication: undertaking RECP assessments in selected industrial sectors (food, textile, metal products, chemical products and tourism), industrial regions (Makassar, Batam and E Java) and micro-enterprises, and facilitating and achieving the replication of good practices and methods within respective sectors and regions;
3. RECP Policy and Strategy: fostering the uptake of RECP by industries through strengthening of the policy framework and its implementation, within each of the core partner ministries, respectively: Ministry of Environment and Forestry (MoEF); Ministry of Industry (MoI); Ministry of Tourism (MoT) and Ministry of Energy and Mineral Resources (MoEMR).
4. RECP Technology and Innovation: supporting adaptation and adoption of innovative RECP technologies, in particular through the application of industrial symbiosis, green chemistry and engineering and cradle-to-cradle approaches in the target sectors; and
5. RECP Financing and Investment: promoting RECP investments through liaison with financial sector, including, where appropriate, development of proposals for new financial instruments catered to RECP implementation.

The Project is implemented by UNIDO, in close cooperation with four national implementing partners, respectively: Indonesia Cleaner Production Centre (ICPC); Centre for Resource Efficient and Cleaner Production Indonesia (CRECPI), Centre for Assessment and Development of Green Industry and Environment (CADGIE) and Centre for Textiles in Bandung (CTB). The preliminary list of counterparts, beneficiaries and stakeholders are provided in Annex 6.

CURRENT STATUS OF IMPLEMENTATION

During 2013 it had become clear that within the existing log frame and intervention logic of the Project, it was necessary to modify project activities, enhance performance indicators, planning and in-country organization and coordination. This was necessary in light of (1) changes in government policy (on Green Industry (GI) and Sustainable Consumption and Production (SCP)) and associated institutional arrangements; and (2) complementary interests and requests from both donor and recipient governments (including on Cradle to Cradle (C2C) and RECP monitoring and assessment tools). UNIDO therefore developed an amendment to reflect changes and confirm revised schedule of activities, performance indicators, planning and role distribution. The amendment was finalized and approved (by the Project Management Committee) in May 2015, by which time a start had also been made with training of national experts and preparation for demonstration projects. Thereafter, UNIDO dispatched on 22nd June 2015 its Chief Technical Advisor for the programme.

The period until June 2015 therefore de facto served as an extended inception phase, whereafter it was foreseen that the project could move into an accelerated implementation mode for a 3 year period, with planned completion by 30 June 2018.

During the first year of accelerated implementation, emphasis has been placed on training of national experts, industry and government outreach and consultation (under output 1), in plant assessments in food, textile and tourism sectors and Makassar and Batam regions (under output 2) and providing policy support, in the main to MoI (in area of GI) and MoEF (in area of SCP). By the end of June 2016, amongst others following activities had been completed:

- 63 national experts completed theoretical part of the RECP assessors training and were working towards completion of the practical part;
- 8 industry awareness and 6 industry consultation workshops were organized;
- RECP assessments were started in 71 demonstration enterprises;
- Inputs were provided to the development and promotion of various Green Industry Policy initiatives, including the Green Industry Award, Green Industry Certification, Green Industry Auditor Training and Green Industry promotional campaigns and policy

training.

Moreover, joint RECP training was developed and delivered in cooperation with two related Swiss funded projects in Indonesia, respectively the SMART Fish programme (Sustainable Market Access and Responsible Trading), implemented by UNIDO, and SCORE Programme (Sustaining Competitive and Responsible Enterprises), implemented by the International Labour Organization (ILO).

WAY FORWARD

The Project is working towards the formalization and official launch of the Indonesian RECP network by the end of 2016, along with the development and publication of related management, technical and training materials and resources. In parallel the technical work with enterprises is to expand to remaining sectors (metal and chemical products and micro-industries) and regions (E Java) and transition from demonstration mode to replication mode in the sectors and regions that have started. The policy support is foreseen to be increasingly focused on positioning RECP as a practical means for achieving the aims and objectives of already initiated government policy, in particular in the environment, industry, tourism and energy and resources policy domains.

The relatively smaller outputs 4 (RECP Technology and Innovation) and 5 (RECP Financing and Investment) are still to gather momentum and further scope during the second half of 2016, including through technical training, sector-focused innovation workshops and financial sector roundtable.

BUDGET INFORMATION

| Grant No. | Total Allotment | Total Expenditure | % Implementation | Donor |
|------------------|------------------------------------|--------------------------|-------------------------|--------------|
| 200001268 | CHF 4,064,136 US\$ 3,401,135.64 | US\$ 1,153,297.45 | 33.9 | SECO |
| 200001121 | CHF 180,800 | 0 | 0 | SECO |

PURPOSE OF THE MID-TERM EVALUATION

The purpose of this independent mid-term evaluation is to assess the relevance, design, effectiveness, efficiency and likelihood of sustainability of the project and provide recommendations for the implementation of the remaining project activities, which are expected to be implemented until the 30 June 2018.

The evaluation will also consider, to the extent meaningful, other standing evaluation criteria singled out in UNIDO's evaluation policy, such as impact, as well as management, gender mainstreaming, environmental sustainability, alignment with the UNIDO's Inclusive and Sustainable Industrial Development (ISID) agenda, and potential to promote ISID.

The evaluation will be thus a forward-looking exercise and seek to identify the best practices and areas for improvement in order to draw lessons that can be used in the implementation of the second half of this project and for similar projects to be implemented by UNIDO in other countries and the region.

Short-term and mid-term interest is that the current mid-term evaluation will inform the implementation of the outstanding project activities and substantial recommendations and lessons learned that will enable sustainable and effective accommodation of increased demand for Resource Efficient and Cleaner Production services in Indonesia. Therefore, the recommendations of this mid-term evaluation should be available in time to be taken into account for the implementation of the second half of this project and to adjust the project design if deemed necessary in order to ensure that after the end of the project implementation period advisory services for RECP can be provided by the RECP network in a sustainable way.

The mid-term evaluation aims to produce:

- Short-term recommendations for the implementation during the second half of this project ;
- Strategic recommendations whether and how project design can be strengthened in order to ensure that after the end of the project implementation period advisory services for RECP can be provided by the RECP network in a sustainable way;
- Unforeseen substantive gaps arisen during implementation that would need to be addressed, and how, if any;
- Lessons learnt so far.

The mid-term evaluation will assess the achievement of results and the suitability of the project design, as stated in the project document and the contributors to success or lack thereof. Moreover, the evaluation will assess the interventions design, level of national ownership, relevance to various stakeholders and the exploration of synergies with other UNIDO projects and with initiatives of the Government. It will follow a consultative process and seek inputs from a broad range of stakeholders, including policy makers and enterprises using the system.

The mid-term Evaluation will be undertaken as per UNIDO Evaluation Policy, the Guidelines for Technical Cooperation Programmes and Projects and the project document. The Project Manager, in collaboration with the UNIDO Independent Evaluation Division (IEV) will commission the independent evaluation.

SCOPE OF THE EVALUATION

The mid-term project evaluation will cover the project implementation period from 2012 till the mid of 2016 covering all the activities that are part of the project, with particular focus on the leading indicators signalling:

- uptake of RECP practices and techniques by target enterprises;
- acceptance and recognition of the relevance and benefits of RECP by government and business organizations;
- commitment and ability of RECP stakeholders to work together on RECP promotion and implementation; and
- institutionalization of RECP service provision within the key national implementation partners.

In identifying early indications of project impact, the mid-term evaluation is expected to:

- Consider all the activities that are part of the project;
- Cover the entire results chain from inputs and activities to impact and sustainability and review processes as well as results;
- Produce recommendations for the implementation of activities foreseen for the second half of the project implementation period and for eventually required adjustments in the project implementation design in order to achieve the mid-term goal of having a

sustainable RECP network in place in Indonesia (e.g. what has worked and what has not and what are the lessons from implementation to date, which issues needs to be addressed in the next phase and what conditions should be in place);

- Have a national coverage, but with field visits to up to specific locations, to be identified by the evaluation team in consultation with the project team.

EVALUATION ISSUES AND KEY EVALUATION QUESTIONS

Timing issue: There is a time lag between awareness creation, industry consultation, diagnosis of current practice, capacity building and uptake of RECP practices and technologies, upgrading and modernization by beneficiary enterprises. Therefore, it is important to take the time lapse since the actual launch of project implementation into due consideration in order to have a correct estimation of the effectiveness of the technical assistance provided.

The evaluation consultant(s) will be expected to take this time lapse into due consideration when assessing impact in terms of RECP technologies and practices adopted by beneficiary companies and will have to focus his/her attention on the assessment of whether the project implementation design will achieve a significant uptake of RECP technologies and practices by beneficiary companies and whether the project implementation design will achieve in establishing a sustainable RECP network of Indonesian institutions, which will be able to provide advisory and advocacy services to industries beyond the project implementation period. The evaluation team is expected to consider the views and involvement of all relevant RECP counterparts, beneficiaries and stakeholders. (A preliminary list is provided in Annex 6, which is expected to be completed, confirmed by the Independent Mid-term Evaluation Inception Report).

Given the distinct scale and ambition of the Project, the Mid Term Evaluation is specifically tasked to validate the programme strategy and its early achievements, in particular with regard to:

1. Scale: does the project succeed in supporting larger groups of enterprises with the implementation of RECP practices and techniques?
2. Mainstreaming: is the project on track to contribute to the inclusion of RECP in the operationalization and implementation of relevant government policies and strategies, and thereby incentivize enterprises more effectively towards RECP uptake; and are the RECP implementation partners progressing to strategically embed and institutionalize their function as a RECP services provider?;
3. Customization: does the project succeed to develop and promote RECP methods, tools and practices in manners that are customized to the different target enterprise segments of the programme;
4. Innovation: is there evidence for early success in the development and implementation of innovative RECP technologies, methods and policies through the project?; and
5. Networking: are synergies starting to emerge between the activities of different RECP stakeholders, within the context of the project's specific activities as well as possibly elsewhere?

The following issues and questions are expected to be included in the assessment:

Ownership and relevance

The extent to which:

- The project objectives, outcomes and outputs are relevant to the different target groups of the intervention;
- The counterpart(s) has (have) been appropriately involved and consulted and were participating in the identification of their critical problem areas and in the development of technical cooperation strategies and are actively supporting the implementation of the project approach;
- The outputs as formulated in the project document are relevant and sufficient to achieve the expected outcomes and objectives;
- To what extent have the different network institutions taken ownership of the project;
- The project is relevant to the UNDAP objectives and ISID agenda.

Efficiency of implementation

The extent to which:

- The project has the necessary, efficient and adequate resources in place for an efficient implementation of the activities in the different sectors;
- UNIDO and counterpart inputs are being provided as planned and have been adequate to meet requirements.
- The quality of UNIDO inputs and services (expertise, training, methodologies, etc.) are provided as planned and has led to the production of outputs, and are cost-efficient
- UNIDO procurement services are provided as planned and have been adequate in terms of timing, value, process issues, responsibilities, etc.
- The projects collaborate with other relevant donors' activities and whether such collaborations are used for greatest synergies.

Project coordination and management

The extent to which:

- The national management and overall field coordination mechanisms of the project have been efficient and effective;
- The UNIDO management, coordination, quality control and technical inputs have been efficient and effective;
- The management, monitoring (logframe) and steering mechanisms are effectively used for the efficient implementation of activities in the different sectors;
- Monitoring is being carried out, based on indicators for outputs, outcomes and objectives and using that information for project steering and adaptive management;
- Changes in planning documents during implementation have been approved and documented;
- Synergy benefits can be found in relation to other UNIDO activities in the country or elsewhere.

Effectiveness

The extent to which:

- Activities (e.g. training, expertise, demo enterprise, etc.) are effective in addressing the needs of the beneficiaries in the different sectors;
- Main achievement(s) can be attributed to the project;
- Any stakeholder critical to be involved, but missing from the project;
- Outputs have been produced and how the target beneficiaries use the outputs;
- Outcomes have been or are likely to be achieved through utilization of outputs;
- Programme objective can be achieved;

- The project/programme contributes to inclusive and sustainable industrial development.

Impact and sustainability

- To what extent have the different network institutions' capacities strengthened so that sustained results can be expected;
- To what extent have the different network institutions started to develop a 'coordination mechanism' which can once substitute the functions currently executed by the Chief Technical Advisor (CTA).
- To what extent developmental changes (economic, environmental, social, inclusiveness) have occurred or are likely to occur as a result of the intervention and are these sustainable;
- Does the project have a multiplying effect;
- Has sustainability been correctly factored in the project strategy (risks analyzed and assumptions identified at design stage and appropriately monitored during implementation);
- What is the prospect for technical, organizational and financial sustainability of an Indonesian RECP network.

The following gender mainstreaming and environment related questions shall be also covered by the evaluation.

Gender and youth

- To what extent have women and youth benefit from the project/can be expected to benefit?
- Has gender been mainstreamed in the implementation of the project?
- Have gender analyses been included in baseline studies, monitoring and reporting?
- Has there been gender balance in the contracting of experts and consultants?

Environment

- Has the project promoted environmental sustainability?
- Are any positive environmental benefits likely, even if they may be indirect?

EVALUATION TEAM COMPOSITION

The evaluation will be conducted by one international lead evaluation consultant and one national consultant or junior international consultant who will be working under the guidance of the UNIDO Evaluation Manager in IEV in coordination with the Project Manager and with the project team in Indonesia and in Vienna.

EVALUATION APPROACH AND METHODOLOGY

This mid-term evaluation will be carried out in accordance with UNIDO Evaluation Policy and the Guidelines for the Technical Cooperation Programme and Project Cycle. While maintaining independence, the mid-term evaluation will adopt a participatory approach and will seek the views and feedback of all parties. The lead evaluation consultant will liaise with the Project Manager on the conduct of the mid-term evaluation and methodological issues.

The lead evaluation consultant will be required to use different methods to ensure that data gathering and analysis deliver evidence-based qualitative and quantitative information, based on diverse sources (including literature reviews, field visits, surveys and interviews with counterparts, beneficiaries, donor representatives and program managers). The lead evaluation consultant will develop interview guidelines.

The mid-term evaluation will apply the standard for assessing the relevance of criteria of effectiveness, efficiency, impact and sustainability of programs to assess achievements against objectives and indicators outlined in the Logical Framework.

The methodology will be based on the following:

- Desk review of project document including, but not limited to:
 - (a) project / programme policy documents;
 - (b) The original project document, monitoring reports (such as progress and financial reports, output reports (case studies, action plans, sub-regional strategies, etc.) and relevant correspondence;
 - (c) Notes from the meetings of committees involved in the project (e.g. approval and steering committees);
 - (d) Other project-related material produced by the project.
 - Interviews with project management and technical support including staff and management at UNIDO HQ and in the field and – if necessary - staff associated with the project’s financial administration and procurement.
 - Interviews with project partners including Government counterparts, companies, and partners that have been selected for co-financing as shown in the corresponding sections of the project documents.
 - Interviews and direct observations with intended users and beneficiaries for the project outputs and other stakeholders involved with this project. The evaluator shall determine whether to seek additional information and opinions from representatives of any donor agencies or other organizations.
 - Interviews with the UNIDO’s project management and Project Steering Committee (PSC) members and the various national and sub-regional authorities dealing with project activities as necessary.
 - Other interviews, surveys or document reviews as deemed necessary by the lead evaluator and/or UNIDO EVA.

TIME SCHEDULE AND DELIVERABLES

The Mid-Term Independent Evaluation is scheduled to take place in third quarter of 2016.

This section contains a timetable for the evaluation process with tentative deadlines for key events, tasks, deliverables and milestones. The schedule is based on foreseen project timeline and will be adjusted according to encountered delays.

| Task | Description/ Deliverables | Timeframe |
|---|--|------------------------------|
| Contract signed with evaluators | | <u>September 2016</u> |
| Desk review and development of interview guidelines | Background materials provided by Project Manager and CTA | <u>September 2016</u> |
| Delivery of draft inception report. The report to contain | Inception report | <u>September 2016</u> |

| | | |
|--|---|------------------------------|
| work plan, key findings of desk review, methodology, sampling technique, and evaluation tools such as questionnaires and interview guidelines. | | |
| Briefing of evaluators at HQ and deskwork and interviews at HQ | | <u>September 2016</u> |
| Mid-term evaluation mission (briefing of evaluators in the field, possible testing of evaluation tools, field visits, field research, interviews, observation, questionnaires, etc.) | Mission report and information collected | <u>October 2016</u> |
| Presentation of preliminary findings | Presentation in English to Project Manager and project team | <u>October 2016</u> |
| Additional data collection and analyses of information collected, preparation of the draft evaluation report and circulation, within UNIDO for comments | Draft report | <u>October 2016</u> |
| Incorporation of comments and preparation of final draft report | Final draft report | <u>October 2016</u> |
| Sharing of draft report with main stakeholders. Collection of comments and finalization of report | Final report | <u>November 2016</u> |
| Presentation and submission to UNIDO, Government of Indonesia and donor | Final Report and Management Response Sheet | <u>November 2016</u> |

QUALITY ASSURANCE

The Project Manager (PM) will be responsible for managing the mid-term evaluation, preparing the terms of reference (TOR) and the job description (JD) of the evaluation consultant(s) on the basis of guidance of UNIDO's Independent Evaluation Division (IEV). The PM will forward drafts and final reports to IEV for review, distribute drafts and final reports to stakeholders (upon review by IEV), and organize presentations of preliminary evaluation findings which serve to generate feedback on and discussion of evaluation findings and recommendations at UNIDO HQ.

ANNEXES

- Job Description for team member(s)
- TOC for the Evaluation Report
- Checklist on evaluation report quality
- Theme-specific evaluation questions
- Project log-frame
- Preliminary list of Counterparts, Beneficiaries and Stakeholders

Annex 1. Job Description for team member(s)



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

| | |
|---------------------------------|--------------------------|
| Title: | Lead evaluator |
| Main Duty Station and Location: | Home based |
| Mission/s to: | Jakarta, Bandung, Vienna |
| Start of Contract (EOD): | September 2016 |
| End of Contract (COB): | November 2016 |
| Number of Working Days: | 23/25 days |

ORGANIZATIONAL CONTEXT

The consultant will evaluate the projects according to the Terms of Reference. S/he will act as leader of the evaluation team and will be responsible for preparing the draft and final evaluation report, according to the standards of the UNIDO Office for Independent Evaluation.

PROJECT CONTEXT

As described in the MTE ToR.

MAIN DUTIES

The Lead Evaluator is expected to conduct the following duties:

| Main Duties | Concrete/ measurable Outputs to be achieved | Expected duration (days) | Location |
|---|---|--------------------------------|------------------------------|
| Conduct desk study of project document and relevant reports | Interview and mission plan completed and validated by UNIDO | 4 | Home based |
| Prepare an interview and mission plan | | | |
| Delivery of draft inception report. The report to contain work plan, key findings of desk review, methodology, sampling technique, and evaluation tools such as questionnaires and interview guidelines. | Inception report | | |
| Visit UNIDO HQ for preparatory meetings (briefing); discuss inception report and finalize mission plan and appointments and ensure logistical support in place | | 2 | Vienna, Austria |
| Undertake field mission to Indonesia to interview the main stakeholders, including beneficiaries and train the national consultant on interview techniques (briefing of evaluators in the field, possible testing of evaluation tools, field visits, field research, interviews, observation, questionnaires, etc.) presentation of preliminary findings to field stakeholders | Mission report and information collected | 7 | Jakarta, Bandung (Indonesia) |
| Detailed analysis of field results | Preliminary | 2 | Home |

| Main Duties | Concrete/ measurable Outputs to be achieved | Expected duration (days) | Location |
|---|---|--------------------------------|-----------------|
| | findings | | based |
| Conduct additional phone interviews/stakeholders | Notes on interviews | | |
| Debriefing of the evaluation (Presentation of preliminary findings) | Presentation in English to Project Manager and project team | 2 | Vienna, Austria |
| Preparation of first draft evaluation report and submission for UNIDO feedback | Draft report | 3 | Home based |
| Additional data collection and analyses of information collected, preparation of the draft evaluation report and circulation, within UNIDO for comments | | | |
| Finalization of report upon receipt of stakeholders' feedback | Final report | 3 | |

REQUIRED COMPETENCIES

- Long-term experience in project evaluation
- Experience from working with RECP training from an industry perspective
- Experience from working with organizational development, capacity and institutional building
- Knowledge of international institutions/organizations working on RECP
- Work experience in Indonesia or the South East Asian Region

MINIMUM ORGANIZATIONAL REQUIREMENTS

- Advanced university degree in social science related disciplines including development studies, development economics, political science, international relations, and peace studies, with training in social research methodologies;
- Minimum 10 years of professional experience in project evaluation;
- Proven track record in evaluation of UN projects.

Languages: Fluency in written and spoken English is required. Working knowledge of Bahasa Indonesia is an advantage.

Absence of Conflict of Interest:

According to UNIDO rules, the consultant 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 consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract for this evaluation.



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

TERMS OF REFERENCE FOR PERSONNEL UNDER INDIVIDUAL SERVICE AGREEMENT (ISA)

| | |
|---------------------------------|--|
| Title: | National Evaluation Consultant |
| Main Duty Station and Location: | Home-based |
| Mission/s to: | Jakarta, Bandung and travel to potential sites |
| Start of Contract (EOD): | September 2016 |
| End of Contract (COB): | November 2016 |
| Number of Working Days: | 20/22 |

ORGANIZATIONAL CONTEXT

The consultant will be part of the evaluation team, led by the International Evaluation consultant, to evaluate the project according to the Terms of Reference. S/he will work in close cooperation with the Lead Evaluator and will be responsible for preparing the draft and final evaluation report, according to the standards of the UNIDO Office for Independent Evaluation.

PROJECT CONTEXT

As described in the MTE ToR.

Under the leadership of the Team Leader (International Evaluation Consultant).. S/he will perform the following tasks:

| MAIN DUTIES | Concrete/ measurable Outputs to be achieved | Expected duration | Location |
|---|--|------------------------------|-----------------------------------|
| Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data...); in cooperation with Team Leader: determine key data to collect in the field and prepare key instruments (questionnaires, logic models...) to collect these data through interviews and/or surveys during and prior to the field missions Assess the adequacy of legislative and regulatory framework in Indonesia | List of detailed evaluation questions to be clarified; questionnaires/ interview guide; logic models; list of key data to collect, draft list of stakeholders to interview during the field missions Brief assessment of the adequacy of the country's legislative and regulatory framework | 3 days | Home-based |
| Briefing with the evaluation team leader, UNIDO project managers and other key stakeholders Assist in setting up the evaluation mission agenda, coordinating meetings | Interview notes, detailed evaluation schedule and list of stakeholders to interview during the | 3 days | Home-based (telephone interviews) |

| | | | |
|--|--|---------|------------|
| and site visits Assist the Team Leader in the Preparation of the Inception Report | field missions Inception Report | | |
| Conduct field mission | Presentations of the evaluation's initial findings, draft conclusions and recommendations to stakeholders in the country at the end of the mission. Agreement with the International Consultant and Team Leader on the structure and content of the evaluation report and the distribution of writing tasks | 6 days | Indonesia |
| Prepare inputs to the evaluation report according to TOR and as agreed with Team Leader | Draft evaluation report | 6 days | Home-based |
| Revise the draft project evaluation reports based on comments from UNIDO Office for Independent Evaluation and stakeholders and edit the language and form of the final version according to UNIDO standards | Final evaluation report | 2 days | Home-based |
| Total | | 20 days | |

REQUIRED COMPETENCIES

Core values:

1. Integrity
2. Professionalism
3. Respect for diversity

Core competencies:

1. Results orientation and accountability
2. Planning and organizing
3. Communication and trust
4. Team orientation
5. Client orientation
6. Organizational development and innovation

Managerial competencies (as applicable):

1. Strategy and direction
2. Managing people and performance
3. Judgement and decision making
4. Conflict resolution

MINIMUM ORGANIZATIONAL REQUIREMENTS

Education: Advanced university degree in science, engineering or other relevant discipline like developmental studies or business administration.

Technical and Functional Experience:

A minimum of five years professional experience, including evaluation experience at the international level involving technical cooperation in developing countries. Exposure to the needs, conditions and problems in developing countries. Familiarity with the institutional context of the project is desirable.

Languages: Fluency in written and spoken English and Bahasa Indonesia is required.

Absence of Conflict of Interest:

According to UNIDO rules, the consultant 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 consultant will be requested to sign a declaration that none of the above situations exists and that the consultants will not seek assignments with the manager/s in charge of the project before the completion of her/his contract for this evaluation.

Annex 2: TOC for the Evaluation Report

Table of Contents

Executive summary

- Must provide a synopsis of the storyline which includes the main evaluation findings and recommendations
- Must present strengths and weaknesses of the project
- Must be self-explanatory and should be 3-4 pages in length

I. Evaluation objectives, methodology and process

- Information on the evaluation: why, when, by whom, etc.
- Scope and objectives of the evaluation, main questions to be addressed
- Information sources and availability of information
- Methodological remarks, limitations encountered and validity of the findings

II. Countries and project background

- Brief countries context: an overview of the economy, the environment, institutional development, demographic and other data of relevance to the project
- Sector-specific issues of concern to the project and important developments during the project implementation period
- Project summary:
 - Fact sheet of the project: including project objectives and structure, donors and counterparts, project timing and duration, project costs and co-financing
 - Brief description including history and previous cooperation
 - Project implementation arrangements and implementation modalities, institutions involved, major changes to project implementation
 - Positioning of the UNIDO project (other initiatives of government, other donors, private sector, etc.)
 - Counterpart organization(s)

III. Project assessment

This is the key chapter of the report and should address all evaluation criteria and questions outlined in the TOR. Assessment must be based on factual evidence collected and analyzed from different sources. The evaluators' assessment can be broken into the following sections:

A. Relevance (Report on the relevance of project towards countries and beneficiaries)

B. Effectiveness (The extent to which the development intervention's objectives and deliverables were achieved, or are expected to be achieved, taking into account their relative importance)

C. Sustainability of Project Outcomes (Report on the risks and vulnerability of the project, considering the likely effects of sociopolitical and institutional changes in partner countries, and its impact on continuation of benefits after the project ends, specifically the financial, sociopolitical, institutional framework and governance, and environmental risks)

D. Project coordination and management (Report project management conditions and achievements, and partner countries commitment)

IV. Conclusions, Recommendations and Lessons Learned

This chapter can be divided into three sections:

A. Conclusions

This section should include a storyline of the main evaluation conclusions related to the project's achievements and shortfalls. It is important to avoid providing a summary based on each and every evaluation criterion. The main conclusions should be cross-referenced to relevant sections of the evaluation report.

B. Recommendations

This section should be succinct and contain few key recommendations. They should:

- be based on evaluation findings
- realistic and feasible within a project context
- indicate institution(s) responsible for implementation (addressed to a specific officer, group or entity who can act on it) and have a proposed timeline for implementation if possible
- be commensurate with the available capacities of project team and partners
- take resource requirements into account.

Recommendations should be structured by addressees:

- UNIDO
- Government and/or Counterpart Organizations
- Donor

C. Lessons Learned

- Lessons learned must be of wider applicability beyond the evaluated project but must be based on findings and conclusions of the evaluation
- For each lesson the context from which they are derived should be briefly stated

Annexes should include the evaluation TOR, list of interviewees, documents reviewed, a summary of project identification and financial data, and other detailed quantitative information. Dissident views or management responses to the evaluation findings may later be appended in an annex.

Annex 3: Checklist on evaluation report quality

| Report quality criteria | UNIDO Evaluation Group Assessment notes | Rating |
|--|---|--------|
| Report Structure and quality of writing | | |
| <p>The report is written in clear language, correct grammar and use of evaluation terminology. The report is logically structured with clarity and coherence. It contains a concise executive summary and all other necessary elements as per TOR.</p> | | |
| Evaluation objective, scope and methodology | | |
| <p>The evaluation objective is explained and the scope defined. The methods employed are explained and appropriate for answering the evaluation questions. The evaluation report gives a complete description of stakeholder’s consultation process in the evaluation. The report describes the data sources and collection methods and their limitations. The evaluation report delivered in a timely manner so that the evaluation objective (e.g. important deadlines for presentations) was not affected.</p> | | |
| Evaluation object | | |
| <p>The logic model and/or the expected results chain (inputs, outputs and outcomes) of the object is clearly described. The key social, political, economic, demographic, and institutional factors that have a direct bearing on the object are described. The key stakeholders involved in the object implementation, including the implementing agency(s) and partners, other key stakeholders and their roles are described. The report identifies the implementation status of the object, including its phase of implementation and any significant</p> | | |

| | | |
|--|--|--|
| <p>changes (e.g. plans, strategies, logical frameworks) that have occurred over time and explains the implications of those changes for the evaluation.</p> | | |
| <p>Findings and conclusions</p> | | |
| <p>The report is consistent and the evidence is complete (covering all aspects defined in the TOR) and convincing. The report presents an assessment of relevant outcomes and achievement of project objectives. The report presents an assessment of relevant external factors (assumptions, risks, impact drivers) and how they influenced the evaluation object and the achievement of results. The report presents a sound assessment of sustainability of outcomes or it explains why this is not (yet) possible. The report analyses the budget and actual project costs. Findings respond directly to the evaluation criteria and questions detailed in the scope and objectives section of the report and are based on evidence derived from data collection and analysis methods described in the methodology section of the report. Reasons for accomplishments and failures, especially continuing constraints, are identified as much as possible. Conclusions are well substantiated by the evidence presented and are logically connected to evaluation findings. Relevant cross-cutting issues, such as gender, human rights, environment are appropriately covered</p> | | |
| <p>Recommendations and lessons learned</p> | | |
| <p>The lessons and recommendations are based on the findings and conclusions presented in the report. The recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Recommendations are implementable and take resource implications into account.</p> | | |

| | | |
|---|--|--|
| Lessons are readily applicable in other contexts and suggest prescriptive action. | | |
|---|--|--|

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory

= 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1, and unable to assess = 0.

ANNEX 4: Theme-specific evaluation questions

Resource Efficient and Cleaner Production

- How have previous ('pre-project') in-country experiences with promotion and implementation of RECP and related methods and policies been considered in formulation of the project strategy? How are these experiences and learnings considered and adopted in the ongoing project implementation?
- How have (and are) international experiences and lessons learned in implementation of RECP and related concepts been considered and adopted in project implementation? Including in particular from global RECP programme (both SECO and non-SECO funded RECP projects) and regional Sustainable Consumption and Production programmes.
- How is RECP being promoted to enterprises, governments and other stakeholders? Are the modalities adequate with regard to: raising awareness of RECP benefits; improving understanding of RECP methods; and/or actual implementation of RECP options?
- Did the project manage to strike a reasonable balance between work at micro level (enterprises), meso-level (sectors, regions etc.) and national levels?
- Have private sector institutions/associations been involved in the project design and implementation? If yes, in what way? If no, should they have been?
- Has the issue of possible market distortions been considered:
 - Have beneficiary companies been selected based on transparent, fair and appropriate criteria?
 - Is the project affecting the competitiveness of existing enterprises? Have any measures been introduced to prevent market distortion?
 - To what extent have private companies been subsidized by the project
 - Are companies paying for services rendered or equipment obtained?
- If the project has worked with a limited number of selected companies, what strategies have been designed to replicate and scale up project benefits to larger groups of enterprises? Are these strategies adequate? Do these reflect best practice and are these supported by local counterparts?
- Have linkages to financial institutions been established? If yes, what were the results? If no, was there a need for this?
- Can enterprise effects be expected to lead to socio-economic impact such as employment or income generation, improved worker and community health, gender equality and poverty reduction?
- Does an M&E system exist, including baseline information, to allow for measurement of results and impact?
- Have synergies with other UNIDO branches/services been exploited, in particular TCB, Environment, Agri-business development and Energy? Would there have been a case to establish such linkages?

ANNEX 5. Logical Framework

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|--|--|---|--|
| Objective | | | |
| <p>Programme objective: Improve resource productivity and environmental performance of manufacturing, tourism and micro-sector enterprises in Indonesia and thereby contribute to inclusive and sustainable industrial development</p> | <p>Aspects:</p> <ol style="list-style-type: none"> <i>Environment</i>: reduced environmental footprint ⁽¹⁾ of enterprises <i>Production Efficiency</i>: increased resource productivity ⁽²⁾ and reduced operational and/or compliance costs of enterprises <i>Policy and institutional</i>: conducive policies and regulations implemented and enforced and RECP promoted by strong national custodian <i>Innovation and Investment</i>: applicable high-impact RECP technologies made available with appropriate financing options | <ul style="list-style-type: none"> Mid-term and final project evaluation Aggregated results from demonstration and replication components (outputs 2.1-2.4) Introduction of new policies, legislation and/or guidelines Introduction of new and/or adapted RECP technologies Introduction of new and/or adapted financial instruments for RECP investments | |
| Outcome (Principal) | | | |
| RECP concepts, methods, practices, technologies, synergies and policies implemented by enterprises, governments, and suppliers of technology, finance and business services in particular in the target enterprise groups | <ol style="list-style-type: none"> RECP activities of enterprises RECP activities of government RECP initiatives of suppliers of technology, finance and business services | <ul style="list-style-type: none"> Mid-term and final project evaluation Annual reports of enterprises, government agencies and suppliers of technology, finance and business services | <ul style="list-style-type: none"> RECP is beneficial for target enterprise groups in Indonesia and these can appropriate tangible and measurable benefits from implementation of RECP practices and technologies ('win-win' premise) |
| Outcomes (Contributing) | | | |

¹ Environmental footprint is used as a shorthand for the total of the impacts of an enterprise on its surrounding environment, in particular through its discharges of waste and emissions; noise, odor, radiation and/or other nuisance factors; and impact on the quality of local ecosystems (through e.g. extraction of water and harvesting or extracting of other natural resources). The total of environmental impacts of a business can in principle be expressed with a proxy, aggregated environmental pressure indicator such as ecological footprint. Improvements in the environmental performance of the business over time are best expressed in terms of pollution intensities, i.e. kg waste per ton of product or kg of GHG emission per ton of product.

² Resource productivity is concerned with the productive use of natural resources by the enterprise or other organization as measured in the ratio of value creation or productive output per unit of resource consumption (including water, energy and materials), e.g. MVA/energy (\$/MJ) or MVA/water (\$/GL).

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|---|---|---|--|
| <p><i>Outcome 1:</i> RECP Capacity and Network: Improved capacity for and widespread utilization of RECP services that support adaptation and adoption of RECP methods, practices and technologies</p> | <p>1.1. Recognition of INRECP and its nodal agencies (including CRECPI, CTB, ICPC and CAGIE) by private and public sectors and civil society</p> | <ul style="list-style-type: none"> • Mid- term and final project evaluation • Annual activity, management and governance reports of NRECPI, ICPC, CRECPI, CAGIE and CTB | <ul style="list-style-type: none"> • Limited uptake of RECP by enterprises of the target groups is a result of lacking supply of appropriate, customized high quality RECP services that deliver value to target enterprises |
| <p><i>Outcome 2:</i> RECP Implementation and Replication: Increased implementation of RECP methods, practices and technologies by enterprises of the target groups with monitoring and verification of the environment, resource use and economic benefits accomplished ⁽³⁾</p> | <p>2.1. Reduced waste and pollution intensities of enterprises 2.2. Increased resource productivity of enterprises 2.3. Reduced operational and compliance costs of enterprises</p> | <ul style="list-style-type: none"> • Environment, financial and/or sustainability reports of enterprises • Annual reports of CRECPI and CTB • Mid-term and final project evaluation | <ul style="list-style-type: none"> • There is insufficient consideration of the potential and importance of RECP as cornerstone for business contributions to efficient use of materials, water and energy, environmentally sound management of chemicals and reduction of process wastes and emissions • Availability of compelling success stories with environmental, resource use and cost benefits of RECP implementation can accelerate the wider consideration and uptake of RECP concepts, methods, practices and policies |
| <p><i>Outcome 3:</i> RECP Policy and Regulatory Framework: Policy frameworks strengthened and put in place that foster the utilization of RECP methods, practices and (policy) instruments for the realization of the aims and objectives of the government's key relevant sector policies (in particular environment, industry, energy efficiency and tourism)</p> | <p>3.1. Increased role for RECP in environmental, industry, energy, tourism, innovation, competitiveness and other relevant policies at appropriate administrative levels 3.2. RECP opportunities are recognised and utilised for achieving international environmental commitments, including MEAs 3.3. RECP practices and technologies embedded in relevant technical standards and policy guidelines</p> | <ul style="list-style-type: none"> • Annual reports of ICPC, CAGIE and CRECPI • Mid-term and final project evaluation • Publication of relevant policies, strategies and guidelines by the Government of Indonesia | <ul style="list-style-type: none"> • Consideration and uptake of RECP methods by enterprises is constrained by lack of policy incentive from government and other organizations |

³ Monitoring of benefits will follow the framework outlined in: *Enterprise level resource productivity and environmental pollution intensity indicators: a primer for Small and Medium Enterprises*, UNIDO and UNEP, 2010.

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|---|--|---|--|
| <p>Outcome 4: RECP Technology and Innovation: Increased availability and affordability of suitable RECP technologies for the target enterprise groups in particular those contributing to and/or inspired by GC&E, IS and/or C2C</p> | <p>4.1. Number of RECP innovation projects identified, evaluated and promoted 4.2. Techno-economic and environmental benefits achievable from implementation of RECP technologies</p> | <ul style="list-style-type: none"> • Reports of technology suppliers and innovation agencies • Mid-term and final project evaluation • Annual report of CRECPI and CTB • Case studies | <ul style="list-style-type: none"> • Opportunities for implementation of RECP technologies exist in Indonesia, but are not realized due to lacking availability of customised technology innovation support services |
| <p>Outcome 5: RECP Investment and Finance: Appropriate financial instruments for RECP investments in target enterprise groups proposed and promoted for implementation</p> | <p>5.1 Financial instruments proposed to and adopted by financial intermediaries 5.2 Volume of RECP investment realized with financial instruments and scale of environment and resource use benefits achieved</p> | <ul style="list-style-type: none"> • Reports of financial intermediaries • Mid-term and final project evaluation | <ul style="list-style-type: none"> • Profitable RECP investments are not being realized due to absence and/or non-affordability of financing for such investments |
| Output Work-package 1: RECP Capacity and Network | | | |
| <p>Output 1.1: Professional and institutional capacities in place to deliver value adding RECP services</p> | <p>1.1.1. Basic RECP training delivered for national experts (target 75) 1.1.2. Programme of advanced trainings on specialised topics delivered (target four topics) 1.1.3. Establishment and/or operation of CRECPI, ICPC, CAGIE and CTB in accordance with respective project annual work plan</p> | <ul style="list-style-type: none"> • Training reports • Annual - project - reports of CRECPI, ICPC, CAGIE and CTB • Mid-term and final project evaluation • Meeting minutes of RECP Coordination Committee and Advisory Forum | <ul style="list-style-type: none"> • Lacking supply of value adding RECP services prevents enterprises in the target groups from considering and implementing RECP opportunities • Solid institutional foundation and transparent governance mechanisms required to bolster national ownership and continuity of service delivery ⁽⁴⁾ |
| <p>Output 1.2: NRECPI established and operating as an active, multi-stakeholder, multi-functional network that fosters adaptation and adoption of RECP methods, policies, practices and technologies</p> | <p>1.2.1. Formation of RECP Coordination Committee and Advisory Forum 1.2.2. Charter for NRECPI developed and implemented 1.2.3. Professional development support provided per stakeholder group participating in NRECPI</p> | <ul style="list-style-type: none"> • Annual project report of ICPC • Activity plans and reports for INRECP • Meeting minutes of RECP Coordinating Committee and Advisory Forum | <ul style="list-style-type: none"> • Mainstreaming and scaling-up of RECP implementation requires coordinated initiatives of different agencies, including government, business and professional associations, academia etc. |

⁴ Taking due consideration of: *Good Management, Organization and Governance Practices: a primer for the providers of services in resource efficient and cleaner production*, UNIDO and UNEP, 2010.

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|---|--|---|---|
| <i>Output 1.3:</i> Integrated knowledge management system in place and programme for RECP promotion and learning in target enterprise groups developed, piloted and mainstreamed | 1.3.1. Annual national RECP conferences (2016, 2017 and 2018) 1.3.2. Annual RECP Prize 1.3.3. Internet website and help-desk 1.3.4. Awareness seminars (target 25) 1.3.5. Plain language promotion materials for 11 target enterprise groups 1.3.6. Best practice learning-by-sharing programme (target 300 participating enterprises) | <ul style="list-style-type: none"> • Annual project report of ICPC • Availability of promotion materials • Proceedings of national conference • Attendance records of awareness seminars • Availability and currency of internet web-site and help-desk | <ul style="list-style-type: none"> • Awareness and knowledge of opportunities for and benefits of RECP has remained low among target enterprise groups in Indonesia |
| Output Work-Package 2: RECP Implementation and Replication | | | |
| <i>Output 2.1:</i> Customized programme for implementation and replication of RECP methods, practices and technologies implemented and evaluated for three sectors of small scale industries (metal products, chemical products, food processing and textile sectors) | 2.1.1. Implementation of RECP in ~12 demonstration companies each in four sectors (target ~50+ 'demonstration' enterprises) 2.1.2. Development and promotion of group-based implementation/replication programme for three sectors (food, chemical and metals) 2.1.3. Replication of RECP to at least 50 enterprises each for food, chemical and metal sectors, through 6 replication programmes for each of three sectors covering 6-10 enterprises per programme (target: ~ 150+ 'replication' enterprises) 2.1.4. Assessed resource productivity, environment and economic benefits achieved by participating enterprises in four sectors 2.1.5. 12-15 enterprise success stories of RECP implementation per sector (target: ~50 success stories) | <ul style="list-style-type: none"> • Activity reports of CRECPI and ICPC • Annual reports of industry sector associations • RECP assessment reports for demonstration companies • Assessment reports on sector-level benefits • Enterprise success stories | <ul style="list-style-type: none"> • RECP methods, practices and technologies can be utilised to achieve significant improvements in resource productivity, pollution intensity and chemicals management in target sectors of small industries |

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|---|---|---|--|
| <p><i>Output 2.2:</i> Customized programme for implementation and replication of RECP practices, technologies and synergies implemented and evaluated for three industrial Zones (Batam, Makassar and Surabaya)</p> | <p>2.2.1. Implementation of RECP in 20-25 demonstration industries in each industrial park (target: 70+demonstration enterprises)</p> <p>2.2.2. Community of Practice operational on RECP in each industrial park (target: ~ 100 'replication' enterprises)</p> <p>2.2.3. Resource use and waste/emission profile for each industrial park</p> <p>2.2.4. RECP synergies identified, evaluated and promoted</p> <p>2.2.5. Assessed resource productivity, environment and economic benefits of participating enterprises</p> <p>2.2.6. Booklet on each industrial park with enterprise- and park-level successes</p> | <ul style="list-style-type: none"> • Activity reports of CRECPI • Annual reports of industrial parks • RECP assessment reports for demonstration companies • Success booklets | <ul style="list-style-type: none"> • RECP methods, practices, technologies and synergies can be utilised to achieve significant improvements in resource productivity, pollution intensity and chemicals management at enterprise and estate level in target industrial parks |
| <p><i>Output 2.3:</i> Customized programme for implementation and replication of RECP methods, practices and technologies implemented and evaluated in two tourist regions (Lombok and Yogyakarta)</p> | <p>2.3.1. Implementation of RECP in 20 hotels and tourism enterprises in each region (target: 40+ demonstration enterprises)</p> <p>2.3.2. Thematic workshops and other learning activities delivered in each region, benefiting target of 100 'replication' enterprises</p> <p>2.3.3. Assessed cumulative benefits from promotion and implementation of RECP in region</p> <p>2.3.4. Booklet on each region with enterprise and region level successes</p> | <ul style="list-style-type: none"> • Activity reports CRECPI • Annual reports on tourism regions • Success booklets | <ul style="list-style-type: none"> • RECP methods, practices and technologies can be utilised to achieve significant improvements in resource productivity, pollution intensity and chemicals management in hotels and their tourism-related supply chains |
| <p><i>Output 2.4:</i> Customized programme for implementation and replication of RECP methods, practices and techniques implemented and evaluated for two micro-sectors (tofu and silverware)</p> | <p>2.4.1. RECP needs assessed for target sectors</p> <p>2.4.2. Appropriate RECP techniques developed and tested</p> <p>2.4.3. Appropriate RECP techniques implemented in some 200 micro-enterprises per sector</p> <p>2.4.4. Booklet on each micro-sector</p> | <ul style="list-style-type: none"> • Annual reports CRECPI • Published tools, benchmarks and guidelines • Independent final project evaluation | <ul style="list-style-type: none"> • RECP methods can be utilised to achieve significant improvements in resource productivity, pollution intensity and chemicals management in micro-enterprise sector. |

Output Work Package 3: RECP Policy and Regulatory Framework

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|---|--|--|---|
| <i>Output 3.1:</i> RECP Methods, practices and (policy) instruments promoted for realization of aims and objects of 10SCP and related industrial environmental management policies and strategies | 3.1.1. (Environmental) Policy assessment report 3.1.2. Completion of RECP policy pilots with regional environmental authorities (2) | <ul style="list-style-type: none"> • Policy assessment report • Records of stakeholders' consultations • Activity reports of ICPC | <ul style="list-style-type: none"> • Through MoEF, the Government of Indonesia has launched 10SCP and is committed to consider and implement RECP instruments and strategies that contribute to the achievement of the aims and objectives of the 10SCP, including through involvement of local/regional authorities |
| <i>Output 3.2:</i> RECP methods, practices and (policy) instruments promoted for realization of aims and objectives of GIR and related environmental technology policies and strategies | 3.2.1. (Industry) Policy assessment report 3.2.2. RECP related standards and/or certification for industry sectors and industrial parks. | <ul style="list-style-type: none"> • Policy assessment report • Minutes of consultation meetings • Issuance of relevant sector and/or industrial park standards and/or certification • Activity reports of CAGIE | <ul style="list-style-type: none"> • Through MoI, the Government of Indonesia has launched the GIR and is committed to consider and implement RECP instruments and standards that contribute to the achievement of the aims and objectives of GIR |
| <i>Output 3.3:</i> RECP methods, practices and (policy) instruments promoted for realization of aims and objectives of the government's industrial energy efficiency and resource efficiency strategies and initiatives | 3.3.1. RECP action agenda for industrial energy efficiency prepared for MoEMR | <ul style="list-style-type: none"> • Action agenda for promotion of industrial (energy) efficiency through RECP implementation | <ul style="list-style-type: none"> • Through MoEMR, the Government of Indonesia has launched the its energy efficiency framework and is committed to consider and implement RECP instruments and standards that contribute to energy efficiency |
| <i>Output 3.4:</i> RECP methods, practices and (policy) instruments promoted for realization of the aims and objectives of the governments (green) tourism strategies and initiatives | 3.4.1. RECP action agenda for (green) tourism prepared for MoT | <ul style="list-style-type: none"> • Action agenda for promotion of (green) tourism through RECP implementation | <ul style="list-style-type: none"> • Through MoT the Government of Indonesia has started to promote (green and sustainable) tourism and is committed to consider and implement RECP instruments and standards that contribute to more sustainable tourism |
| Output Work-Package 4: RECP Technology and Innovation | | | |
| <i>Output 4.1:</i> Appropriate RECP technologies for process innovations in particular for small scale industry sectors identify, using GC&E principles and practices, and promoted for implementation and investment | 4.1.1. Establishment of GC&E knowledge hub (at CRECPI) 4.1.2. GC&E applied to environment and technology needs of food and chemical sectors 4.1.3. Minimum of five innovative processes/techniques evaluated and promoted for implementation | <ul style="list-style-type: none"> • Activity reports of CRECPI • Innovation GC&E case studies | <ul style="list-style-type: none"> • GC&E has demonstrated potential to generate new innovative process solutions for existing environmental and technology constraints in food and chemicals sectors. |

| Narrative Summary | Indicators | Means of Verification | Assumptions |
|--|---|---|--|
| <i>Output 4.2:</i> Appropriate RECP technologies for collective resources synergies in industrial zones identified, using IS practices and techniques, and promoted for implementation and investment | 4.2.1. IS knowledge base established at CRECPI 4.2.2. IS concepts applied to three industrial zones 4.2.3. Promotion of IS based synergy projects for implementation and investment (target 15) | <ul style="list-style-type: none"> • Activity reports of CRECPI • Innovative Industrial Symbiosis case studies | <ul style="list-style-type: none"> • IS has proven potential to generate new innovative resource exchanges and synergies in existing industrial parks. |
| <i>Output 4.3:</i> Appropriate RECP technologies for sustainable product innovation identified, through application of C2C criteria and solutions, and promoted for implementation and investment | 4.3.1. C2C knowledge base established at CTB 4.3.2. C2C concepts applied at some 4 textile enterprises | <ul style="list-style-type: none"> • Activity reports of CTB • C2C product innovations developed and promoted | <ul style="list-style-type: none"> • C2C has proven potential to generate new innovative product concepts, including in particular in the textile sector. |
| Output Category 5: RECP Investment and Finance | | | |
| <i>Output 5.1:</i> Existing financial instruments available for financing RECP investments by target enterprise groups reviewed and gaps identified and evaluated | 5.1.1. Financing opportunities and challenges mapped | <ul style="list-style-type: none"> • Activity reports of CRECPI • Financing Assessment report released | <ul style="list-style-type: none"> • The financing needs of enterprises considering to invest in RECP are not matched by financing services offer from financial institutions |
| <i>Output 5.2:</i> Proposals for financial instruments for fostering RECP investments developed, evaluated and promoted for implementation to financial institutions | 5.2.1. Proposed financing instruments and their uptake by financial institutions 5.2.2. Investment volume created by financing instruments and economic and environmental benefits achieved | <ul style="list-style-type: none"> • Activity reports of CRECPI • Reports of collaborating financial institutions | <ul style="list-style-type: none"> • National and/or international financial institutions are willing to create new financial instruments that meet genuine financing need of the enterprise groups |
| <i>Output 5.3:</i> Newly introduced and continued financial instruments available for financing of RECP investments by target enterprise groups reviewed and (remaining) gaps identified and evaluated | 5.3.1. Updated inventory of financial instruments 5.3.2. Lessons learned, conclusions and recommendations for RECP Investment and Finance | <ul style="list-style-type: none"> • Inventory/analysis report published • Activity reports of CRECPI | <ul style="list-style-type: none"> • Towards end of the national RECP Programme, availability and use of financial instruments for RECP investments should have increased |

ANNEX 6: Preliminary list of counterparts, beneficiaries and stakeholders

Counterparts: are considered as the partners in planning, implementation, monitoring and evaluation of the project activities. These are:

- Government, in particular Ministry of Environment and Forestry, Ministry of Industry, Ministry of Tourism and Ministry of Energy and Mineral Resources (as per the project document), expanded to include also Ministry of Manpower and Ministry of Cooperatives and SME Development, as well as lower levels of government, in particular provincial governments in key project areas (already West Java, East Java, North Sumatra and South Sulawesi) as well as local government (Regencies of Batam, Sleman and Magelang), in most cases represented by at least the environmental agency and industrial agency, and in some cases also planning agency.
- Implementation Partners, as per the project document, Indonesian Cleaner Production Centre, Centre for RECP Indonesia, Centre for Textiles Bandung and Centre for Assessment and Development of Green Industry and Environment. Other 'affiliate' implementation partners include (but not limited to), Institute Technology 10th November (ITS), University Gadha Madha, Universitas Muhameddian Magelang, Centre for Sugar Research, etc.

Beneficiaries: are the four groups of enterprises that benefit from implementation of RECP methods and techniques, in terms of improved competitiveness, market access, and reduced environmental footprint:

- Small scale industries, in particular in food processing, textile and garment, chemical products and metal products sectors
- Industrial regions, specifically Makassar, Batam and Surabaya
- Tourism enterprises (including hotels) in particular in Magelang/Sleman region and Bintan island
- Micro-industries, focusing on palm sugar and either coffee or ceramics

Stakeholders: are the organizations that have an interest in or would be affected (positively or, possibly, negatively) by the project activities, such as:

- Business community, represented by business membership organizations, at national and subnational levels and at sector level. So far we have focused on KADIN Indonesian Chamber of Commerce, Food and Beverages Industries Association, Textile Industry Association, Foundry Association, Automotive Parts Association, Indonesia Business Links, etc.
- Government – Ministries (Environment and Forestry, Industry, Tourism, Energy and Mineral Resources, Manpower, Cooperatives and SME Development, Planning, etc.) including their regional representatives and technical institutes
- Academia, Technical Institutes and Professional Associations