

Independent Mid-Term Review (MTR)

**Global Cleantech Innovation Program for Small and Medium
Enterprises in Ukraine**

SAP ID: 160246

Evaluation Report

August 2021

List of Abbreviations

CSO	Civil Society Organization
GCIP	Global Cleantech Innovation Programme
GDP	Gross Domestic Product
GEF	Global Environment Facility
GHG	Greenhouse Gases
M&E	Monitoring & Evaluation
MEDT	Ministry of Economic Development and Trade
MTR	Mid-Term Review
NASU	National Academy of Sciences of Ukraine
NGO	Non-Government Organization
NPC	National Project Coordinator
PIR	Project Implementation Report
PMU	Project Management Unit
ProDoc	Project Document
PSC	Project Steering Committee
SAEE	The State Agency on Energy Efficiency and Energy Saving
SFII	State Finance Institution for Innovations
SME	Small and Medium Enterprises
TOR	Terms of Reference
UNIDO	United Nation Industrial Development Organization
WP	Work Plan

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1 Executive Summary

1.1 Project Background

Ukraine is one of Europe's largest energy consumers due to its inefficient energy infrastructure, historically low energy prices, and high industrial and agricultural energy sector demands. Climate-related efforts have focused on emissions reduction, and these efforts to improve energy efficiency and management of renewable energy sources. The largest GHG emissions take place in the Energy sector, and in 2015, the share of this sector accounted for around 66%, out of which, approximately 81% of emissions are in the fuel combustion category.

Small and Medium Enterprises (SME) overwhelmingly dominate Ukraine's economy and in 2014, the country had approximately over 1.7 million SMEs, which is over 99.9% of all operating legal entities. Small and micro-enterprises accounted for almost 99%.

Ukraine has a great potential to develop an innovation-based economy due to a well-educated and talented workforce; a long tradition of science and technology (S&T) research; significant natural resources and agricultural production capacity; a successful information technology (IT) industry; increasing access to markets in Europe; and a large and successful knowledge diaspora that can provide knowledge and access.

United Nations Industrial Development Organisation (UNIDO) in partnership with the GEF, piloted the first Clean Technology Competition for green entrepreneurs and SMEs in South Africa with innovative ideas and concepts in the areas of green buildings, energy efficiency, and renewable energy. With its interest in working in Ukraine and due to a need for such a project, UNIDO launched the **"Global Cleantech Innovation Program for Small and Medium Enterprises in Ukraine – (GCIP)"** project in 2019.

The objective of the GCIP project is to "create low-carbon economic growth by promoting clean technology innovations and entrepreneurship through a cleantech innovation platform and accelerator programme". The project has 3 work components and one monitoring and evaluation (M&E) component. The three main components relate to Accelerator / Cleantech Platform, Capacity Building and Policy research.

1.2 MTR Methodology

The Mid-Term Review (MTR) of this GCIP project is being carried out and this report is the outcome of such a review. An international evaluator and a national consultant formed the Evaluation Team, called the Evaluator in this document. Two key methods were used in this Evaluation for data collection:

1. Document Review
2. Stakeholder Consultation

Due to restrictions in travel and face to face meetings, the review was undertaken remotely and all the consultation was also carried out remotely.

Performance of the Project was evaluated with ratings for various criteria such as Design, Relevance, Efficiency and Sustainability with the ratings available being from Highly Unsatisfactory to Highly Satisfactory.

1.3 Key Achievements of the project

The following are the key achievements of the project.

- A National Cleantech Platform has been established
- Three waves of the accelerator programme have been completed with 80 start-ups taking part in them as of 4th June 2021
- A total of 19 mentors and trainers (who will provide training and mentoring support), and 10 judges (who will select the finalists) have been selected
- Five Universities have been identified as GCIP regional Cleantech Accelerators

1.3.1 Ratings

The project performance was measured using the well-known evaluation criteria used by UNIDO. A summary of the ratings for various criteria such as Design, Relevance, Progress Towards Expected Results, Efficiency, Sustainability, M&E and Performance of Partners is given below in Table 1.

Table 1 Ratings Summary

Criteria	Rating
Design	Satisfactory
Relevance	Highly Satisfactory
Effectiveness and progress towards results	Satisfactory
Efficiency	Moderately Satisfactory
Monitoring and Evaluation at Design	Satisfactory
Monitoring and Evaluation at Implementation	Satisfactory
Sustainability	Satisfactory
Gender mainstreaming	Satisfactory
Performance of Partners	Satisfactory

1.4 Key Findings

The project is progressing well, although it has suffered mostly due to the Pandemic, and activities are delayed. Procedures for grant disbursement have been established, and beneficiaries from the competition winners (early-stage startup SMEs) have been identified, and will get financial support to develop prototypes.

1.5 Conclusions

- There has been good progress in implementation of the project at the time of the Mid-Term Review, though the Pandemic and some other issues such as change in Project Manager in Vienna and some early communication issues have caused delays in implementation.
- Some of the documents produced as an output of the project were not aligned with the logframe outputs and targets, making it difficult to use them as means of verification of results.
- Some of ProDoc text and results framework indicator / targets are not aligned which gives rise to confusion in implementation.
- Proposed new arrangement to “streamline” the co-financing by Ukrainian Government is not completely in place and not well understood, which seem to have affected the co-financing from agencies such as SFII.
- There is a potential for delays in project completion and budget overrun/underspend if the post-accelerator support for early-stage start-ups is not well managed.
- It will be difficult for the project to achieve its required outputs within the current timeline, and the current end date of 30 November 2021.

1.6 Recommendations

Based on the Conclusions above, following recommendations are provided in Table 2, along with the entity responsible for implementing the recommendation.

Table 2 Recommendations

Recommendations	Entity(ies) Responsible
Documentation needs to be improved, particularly to streamline the documents based on targets and means of verification as described in the logframe.	UNIDO
The new co-financing arrangement in Ukraine must be understood for this and future projects' success.	Ukraine Government, UNIDO
Logframe indicators and targets should be clearly defined and should be SMART.	UNIDO, GEF Executing Partners
M&E system for implementation needs to be improved by producing quarterly report on a regular basis.	UNIDO
Post-Accelerator support of product/prototype development must be managed with close monitoring of time and expenses.	UNIDO, PSC, Start-ups
Logframe indicators and targets should be clearly defined and should be SMART.	UNIDO, GEF Executing Partners
It is recommended to extend the project duration by 6-12 months so that the project results can be achieved as planned.	UNIDO, PSC

2 Project Background & Context

Ranked fifth in the world for energy intensity, Ukraine is one of Europe's largest energy consumers due to its inefficient energy infrastructure, historically low energy prices, and high industrial and agricultural energy sector demands. Climate-related efforts have focused on emissions reduction, and these efforts to improve energy efficiency and management of renewable energy sources.

According to the national GHG inventory of Ukraine, the largest GHG emissions take place in the Energy sector. In 2015, the share of this sector accounted for around 66%, out of which, approximately 81% of emissions are in the fuel combustion category, including Energy Industries, Manufacturing Industries and Construction, Transport, and other sectors. The remaining 19% of the emissions are in the category of Fugitive Emissions from fuels.

Between 2008 and 2015, the share of GHG emissions from the major export-oriented industries (metallurgy, chemical, mechanical engineering) declined due to the fall of production, which impacted supply sectors - electric power generation, mining (ore and coal mining). According to the State Statistic Service of Ukraine, the annual industry production have constantly been decreasing since 2012. In 2015 industrial production index is 87.0 % comparing with 2014. The significant reduction in industrial output and the GDP resulted in a reduction in CO₂ emissions, which led to a relative increase in carbon productivity.

Compared to 1990, in 2016, the carbon productivity of Ukrainian GDP increased almost 1.8 times: from 0.29 USD of GDP/kg CO₂ to 0.51 USD of GDP/kg CO₂. In 2016-2017 both industrial output and CO₂ emissions started growing, and the carbon productivity of GDP/kg fell. This development indicates on the existence structural cleantech challenges of the industry.

Ukraine has ratified the Paris Agreement in September 2016 and is committed to reducing its greenhouse gas emissions by 2030 to 60% under the "active investment scenario" and 45% under the "pessimistic scenario" compared to 1990. Ukraine has potential for advancing green economic activities, primarily in renewable energy, energy performance, organic farming, and clean technologies. Ukraine adopted (on July 18, 2018) an innovative low carbon growth strategy and mainstreaming clean technology innovation and entrepreneurship across all economic sectors. In the long-term, this will support broad-based economic development while systematically promoting climate resilience and low-carbon development.

Ukraine enjoys a favourable geographical position, has a highly educated population, and potentially can serve as a transit corridor for energy and trade flows between the East and the West.

SMEs largely dominate Ukraine's economy. According to the State Statistical Service of Ukraine, as of 2014, the country had approximately over 1.7 million SMEs, which is over 99.9% of all operating legal entities. Small and micro-enterprises accounted for almost 99%. SMEs account for almost 60% of employment and about 52% of the economy's total sales revenue. Although SMEs' individual environmental footprint may be low, their aggregate impact in many respects exceeds that of large businesses. The key sectors where SMEs have a particularly significant environment impact include food processing industry, livestock farming and construction.

Over 79% of adult Ukrainians have a college or university degree, and therefore at the level of technology fields; Ukraine’s relative specializations are strong in medical technologies (1,871, almost 10% of its output), and measurement (1,260 applications or almost 7% of its output). Remarkable are further the specialization grades in materials/metallurgy (1,499 applications), machine tools (867 and with almost 5% a higher share than in any other Black Sea country) and other special machines (1305).

Ukraine has a great potential to develop an innovation-based economy driven by its immense talents and entrepreneurial skills. It has many features: a well-educated and talented workforce; a long tradition of science and technology (S&T) research; significant natural resources and agricultural production capacity; a successful information technology (IT) industry; increasing access to markets in Europe; and a large and successful knowledge diaspora that can provide knowledge and access. Also, Green SMEs development in Ukraine is one of the potential components of a future SME development programme. The Strategy emphasizes energy efficiency, which is considered one of the top priorities of Ukrainian SMEs, and presents SME greening as a mechanism for increasing competitiveness and creating jobs.

UNIDO in partnership with the GEF, piloted the first Clean Technology Competition for green entrepreneurs and SMEs in South Africa with innovative ideas and concepts in the areas of green buildings, energy efficiency, and renewable energy. Between 2011 and 2017, the GCIP has been implemented in 8 countries - Armenia, India, Malaysia, Morocco, Pakistan, South Africa, Thailand, and Turkey - and has become a global flagship initiative of GEF-UNIDO in promoting CleanTech innovation as a business model, thereby directly engaging the private sector to address environmental challenges.

UNIDO launched this new “Global Cleantech Innovation Program for Small and Medium Enterprises in Ukraine (GCIP)” project in 2019. The objective of the GCIP project is to “create low-carbon economic growth by promoting clean technology innovations and entrepreneurship through a cleantech innovation platform and accelerator programme”.

The project has three key components (apart from a component related to project management / monitoring and evaluation) with outcomes related to each of the components, as shown below in Table 3.

Table 3 Component and Outcomes

Component	Outcomes	Outcomes’ targets
Component 1: National cleantech platform to promote clean technology innovations for global environmental benefits and green jobs in Ukraine	<ul style="list-style-type: none"> • National level platform/coordinating mechanism established to promote clean energy technology innovations and entrepreneurship • Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator 	<ul style="list-style-type: none"> • Establishment of National Cleantech Platform/ coordinating mechanism such as online tools and office to support for SMEs and Startups; • At least 4 new clean technologies or innovative businesses per Cleantech competition during and

		after project implementation period.
Component 2: Building national capacity to support and promote clean energy technology innovations	<ul style="list-style-type: none"> National institutional capacity built to support and organize the Cleantech competition and accelerator during and beyond project duration 	Development and implementation of an accelerator programme with generalist and specialized mentors and judges identified and trained
Component 3: Policy and regulatory framework strengthened for a national cleantech innovation and entrepreneurship ecosystem	<ul style="list-style-type: none"> Policy and Institutional framework strengthened to promote and support clean technology innovations in start-ups and SMEs 	A score of 2 or 3. A score between 0 and 4, will be given to assess these policies (0 is poor and 4 is optimal).
Component 4: Monitoring & Evaluation (M&E)	<ul style="list-style-type: none"> Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation 	4 quarterly progress reports and 1 annual PIR

The total budget of the project by components is shown in Table 4.

Table 4 Project Budget

Project Component	Project outcomes	GEF grant amount	Co-financing	Total
		(excl. PPG) (in USD)	(in USD)	(in USD)
1. National cleantech platform to promote clean technology innovations for global environment benefits and green jobs in Ukraine	1.1. National level platform/coordinating mechanism established to promote clean technology innovations and entrepreneurship 1.2. Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator	650,000	9,800,000	10,450,000
2. Building national capacity to support and	2.1. National institutional capacity built to support and organize	500,000	1,400,000	1,900,000

promote clean energy technology innovations	the GCIP Accelerator during and beyond the project duration			
3. Policy and regulatory framework strengthened to promote and support clean energy innovations. Start-ups, and SMEs	3.1. Policy and framework strengthened to promote and support clean energy innovations. Start-ups, and SMEs	145,795	450,000	595,795
4. Monitoring and Evaluation	4.1. Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation	75,000	150,000	225,000
Project Management Cost (PMC)		132,080	400,000	532,080
Total Project Cost		1,502,875	12,200,000	13,702,875

3 Mid-term Review – Objective, Scope & Methodology

3.1 Objective & Purpose of the MTR

The overall objective of this mid-term review (MTR) is to take stock of the project to date and assess progress towards the achievement of the project objectives and outcomes, as specified in the Project Document (ProDoc). The MTR focuses on the work that has been completed to date and includes an analysis of risks to project sustainability and the likelihood of achieving the results and impact, as originally planned.

The MTR assesses any gaps, particularly in the context of changes that may have taken place since the start of the implementation process and are likely to influence the project outcomes. The findings from this Review is expected to contribute to strategic decision making at the organizational level and will provide guidance to implementation actions by the project management team for the remaining period of the approved funding. The Review also provides recommendations to adjust the current approaches, as well as undertake the necessary changes

in order to set the project on-track to achieve the intended results over the remaining period (or the extended period if the recommendations are accepted) of the project implementation.

The direct users of this MTR results (mainly conclusions and recommendations) are the NPC and the PMU, the SFII, the donor (GEF), and the Implementing Agency (UNIDO).

Lessons learned must be shared within the Project Steering Committee (PSC) to further develop the project approach and inform the affected units under the respective PSC members on the iteration. The MTR report should be shared with other stakeholders such as Ministry of Environmental Protection and Natural Resources of Ukraine, Ministry of Economic Development, Trade and Agriculture of Ukraine and Ministry of Strategic Industries of Ukraine.

The purpose of the MTR is to independently assess the project to help UNIDO improve performance and results of ongoing and other future programmes and projects. The MTR covers the duration of the project between the inception and the time of the evaluation (April-May 2021).

3.2 Scope of the MTR

The scope of this MTR spans the first 28 months of the project, i.e., from January, 2019 to April, 2021, and the MTR covers all the aspects of the project. Given the point of time in the project life cycle and given the above-mentioned purpose and objectives, the scope of this MTR is to review implementation and processes and assess the project using the review criteria of relevance, effectiveness, efficiency, M&E and gender. The MTR has also reviewed the progress towards achieving the targets and sustainability of the project.

This MTR focuses on the project design, relevance, effectiveness and progress towards results, efficiency, monitoring and evaluation at design and implementation, sustainability, gender mainstreaming as well as performance of partners. It assesses whether the project is already generating the desired changes based on the outputs delivered. It also assesses whether the project is likely to continue doing so and whether a change in strategy would lead to even better achievement of outcomes and thus stronger sustainability.

The mid-term review focusses on management processes and structures to identify and mitigate problems in implementation, including acceptance of the project amongst stakeholders, conflicts due to differing interests, adequacy of communication and coordination amongst implementing partners and with target groups, and adequacy of project duration and funding.

3.3 Methodology of MTR

The Evaluation Team consisted of the following experts:

- Dr Drona Upadhyay, International Evaluation Consultant and Team Leader
- Oleg Radiychuk, National Evaluation Consultant

The Evaluation Team is referred to as the Evaluator in this document.

There was a slight delay in finalising the recruitment of the National Evaluation Consultant as the first consultant selected became unavailable, and the recruitment had to be restarted.

The independent in-depth evaluation utilized the following two main tools:

- Review of Documents
- Interviews with Project Team and Stakeholders

The review followed a participatory approach integrating semi-structured interviews with stakeholders building on a desk review of project documents. The Evaluator used a variety of methods to ensure that data gathering and analysis delivered evidence-based qualitative and quantitative information in order to assess causality through quantitative means, but also to understand why results were achieved or not. Both the tools mentioned above were used to gather information about the project. A list of documents reviewed during the MTR is given in Annex 7.11.

Stakeholders who were interviewed included Project Steering Committee (PSC) members, relevant staff of the Project Management Unit (PMU), GEF operational focal point, government officials, institutional partners, technology & service providers, benefiting start-ups, members & representatives from beneficiary enterprises, UNIDO staff in Vienna and in Ukraine. In total, 19 people were interviewed during the consultation process.

The MTR mostly followed the methods as mentioned in the Terms of Reference (TOR), and as described above.

A list of stakeholders interviewed is provided in Annex 7.12.

3.4 Limitations of this MTR

A key limitation of this review has been the inability of the Evaluator to travel to Ukraine due to the travel restrictions owing to the Pandemic, and meet face to face with stakeholders and visit their projects, including the start-ups which are being supported under this project. It was therefore not possible to directly verify in person the support they received. However, this is not regarded as significant and hence does not change materially the outcome of the review.

To overcome the indicated limitations, the National Consultant organized online meetings with stakeholders and provided all the required support in communications including translation and interpretation. It was not possible to undertake field visits due to the Pandemic.

4 Project Assessment

This chapter presents project performance related to certain criteria that are relevant at the time of the MTR. Criteria such as Sustainability can only be evaluated after the project is complete, and hence is not being assessed in this report fully, though an indication of how sustainable the project is likely to be is provided.

There is a single objective defined in the Project Document (ProDoc) Project Description Summary stating that the project objective is to “Create low-carbon economic growth by promoting clean technology innovations and entrepreneurship through a cleantech innovation platform and accelerator programme”.

However, the Results Framework within the ProDoc has a slightly different definition of the objective of the project specified as “Promotion of clean energy technology innovations and entrepreneurship in Ukraine through the development of a cleantech innovation platform and Accelerator programme.”

The objective is described to be achieved through four outcomes and several outputs for each component. The outcomes and outputs are generally coherent and logical. Each of the outcomes and outputs have been defined and indicators, targets and the baselines have been stated. In addition, sources of verifications of the indicators and the risks (to achieving the objectives, outcomes and outputs) and assumptions (that need to come true to achieve the outcomes/outputs) are also provided. In general, the logical framework is well laid out with clear indicators, including baseline information.

Project is assessed using the well-established criteria as given below.

4.1 Design

For the purpose and context of this MTR, the Design of the project is defined as the project plan and activities, including Monitoring and Evaluation, as proposed in the Project Document (ProDoc) and modified during the early phase of the project itself (including decisions made in early meetings).

The ProDoc describes well the background and context of the project, and identifies the key barriers that this project is trying to address. The key barriers, according to the ProDoc that this project is trying to address are related to the following points:

- Lack of technology innovation platforms
- Limited financial incentives, particularly from the government
- Limited technology transfers between academia and business
- Insufficient dissemination of case studies and success stories
- Insufficient monitoring and evaluation of impact of existing policies

Generally, the design of the project was found to be sufficient to address the issues identified and documented in the ProDoc. Stakeholders were identified during the design phase, including the identification of the Implementing and Executing Agencies.

The ProDoc is generally well written and generally describes the project in good detail. Each outcome has logical outputs associated with it.

There are some indicators and targets that are not well defined or insufficiently described. Post-Accelerator support for product/prototype development has been mentioned in the outputs text in the ProDoc in great detail but it has not been well articulated in the Logframe.

Based on the above, the Design of the Project is **Satisfactory**.

4.2 Relevance

The GCIP project is consistent with a number of Ukraine's national priorities, policies and strategies. Relevant to the GCIP project, these priorities/policies/strategies can be broadly categorised into those related to start-ups and SMEs as such, those related to innovations in the start-ups and SMEs, and related to the Climate Change sector. Clearly, many policies and strategies also have a number of these categories combined.

As regards the SME sector, the Ukraine Government approved an SME Development Strategy in June 2017. This strategy recognized the lack of a central SME institution to promote and coordinate SME policy measures, and a weak business support infrastructure as major challenges in supporting the SMEs in Ukraine. This project fits well into this strategy.

SFII, a Ukraine Govt. agency, has a mandate to undertake support programmes to assist innovative businesses and start-ups, and for this purpose, the "National Innovation and Start-up Fund" was set up in 2018. SFII is active in cleantech programme to support start-ups, which is a complementary activity to the GCIP Ukraine programme.

The project is also compatible with the current UNIDO Strategic Priorities (2018-2021) as the project is in line with at least three of the four priorities *viz.* Advancing economic competitiveness, Safeguarding the environment, and Strengthening knowledge and institutions.

The project also aligns with the GEF-6 Focal Area of Climate Change.

Based on the above, this criteria rating is **Highly Satisfactory**.

4.3 Progress towards expected results

The implementation of GCIP Ukraine project started in January 2019 and is scheduled to end later this year. Coronavirus Pandemic affected the implementation of this project like many other projects around the world. As mentioned elsewhere in the report, the UNIDO team at Vienna and Kyiv took reasonable steps to make sure the project continued its activities as far as possible.

Despite that, some of the activities have been delayed and it is reasonable to predict that the project will not be able to achieve all its outputs if the project were to terminate by the original deadline of November 2021 (though some documents suggest that the end of the project is December 2021).

Reasonable progress has been made in many aspects of the project. So far, a National Cleantech Platform has been established, and 3 waves of the accelerator programme have been completed, with a total of 7 technologies identified. A total of 80 start-ups and SMEs took part in the three waves of the accelerator programme. Participant selection process of the fourth wave of the accelerator programme is underway.

A pool of professional mentors, judges and trainers - both international and national, has been established with a total of 19 mentors and trainers (who provide training and mentoring support), and 9 judges (who select the finalists) in the pool.

Plans for the Post-Accelerator support for early-stage SME and start-ups under GCIP1 are now in place, though this should have happened earlier in the project, so there is a risk of further delays if this is not well managed.

As part of the capacity building of the national institutions, five Universities have been identified as GCIP regional Cleantech Accelerators:

1. Donbas State Pedagogical University – Donetsk oblast
2. Sumy State University – Sumsk oblast
3. Kherson National Technical University – Khersonka oblast
4. Vasyl Stefanyk Precarpathian National University - Ivano-Frankivska oblast
5. Petro Mohyla Black Sea National University - Mykolaivska oblast.

Universities have started to develop their own programmes to support regional cleantech startups.

SWOT analysis of the regulatory framework for innovative technologies and business ecosystem in Ukraine was prepared in order to identify policy gaps in the sector and as recommendations to the government for changes in policy. This is said to form part of a wider policy study report to influence the changes in policies (e.g. the outcome of "Policy analysis report on best practice policies, regulations and incentives required for the promotion of clean technology innovations developed") to make them more conducive to start-ups on innovative technologies, but it is not clear whether or when it will be done. Overall impression of The Evaluator is that this Component of the project which forms a part of the ecosystem of GCIP is weaker than other components in terms of achievements. Some outcomes only have a score as a target, and the score will only be given at the end of the project. Documents that are expected to be policy assessment and recommendations are not in place yet such as the Best Practice on Policies.

Details of the expected outcomes and outputs and the actual achievements and their ratings are provided below in Table 5.

The progress towards the end-of-project targets was assessed from the perspective of when the MTR was conducted, and assumes that the project extension recommendation is accepted.

Table 5 Outputs and Ratings to Demonstrate progress

Expected results	Indicator	Baseline	End-of-project target	Achievement rating	Justification for rating
Component 1: National platform to promote clean technology innovations for global environmental benefits and green jobs in Ukraine					
Outcome 1.1: National level platform/coordinating mechanism established to promote clean energy technology innovations and entrepreneurship	Indicator 1: National Cleantech Platform/coordinating mechanism for SMEs and start-ups established;	No dedicated platform for clean energy technology and SMEs;	Establishment of National Cleantech Platform/ coordinating mechanism such as online tools and office to support for SMEs and Start-ups;	<i>Green</i>	A GCIP Cleantech Platform has been established and functioning well.
	Indicator 2: Number of new clean energy technologies or innovative businesses created/accredited.	Baseline value not available.	At least 4 new clean technologies or innovative businesses created per Cleantech competition during and after project implementation period.	<i>Yellow</i>	22 new technologies in total were identified during three competitions. At the time of writing this MTR report, all of the winners have only started to receive support on development of the new technologies. 4 th Cleantech competition is under development and not completed yet, and hence the rating is yellow.
Output 1.1.1: GCIP Ukraine platform established, 3	Indicator 3: GCIP platform established	Baseline is assumed to be zero	GCIP platform established	<i>Green</i>	GCIP platform is established.

annual cleantech Accelerator conducted across selected SME clusters					
	Indicator 4: Number of methodologies and guidelines for the competition developed	No methodologies and guidelines for the competition developed	Specific methodologies and guidelines (gender-responsive) for participation in and execution of the competition and Accelerator programme developed	<i>Green</i>	5 Specific methodologies and guidelines (gender-responsive) for participation in and execution of the competition were developed and published.
	Indicator 5: Number of competition entries, number of semi-finalists and finalists etc.	Baseline is assumed to be zero;	At least 20 entrants per category competition in Year 1 (target of 40% women participants) and	<i>Red</i>	1st competition: 40 semi-finalists were selected (30% of women) Target on women presence for 1 st year was not achieved.
			At least 30 entrants per category competition in Year 2 onwards (target of 40% women participants/mentors/judges)	<i>Yellow</i>	2nd wave: 23 semi-finalists were selected but 4 teams dropped out of the Business Academy. Total 19 semifinalists went going through Business Academy (17% of women). 3 rd wave: ○ 21 finalists were selected (13% of women);

					<ul style="list-style-type: none"> ○ 15 mentors for work and support of startups were involved (53% women); ○ 9 judges for selection of startups were involved (33% of women). ○ For the 2nd year women presence, including all project participants, mentors, judges and regional GCIP communities' representatives is near 50% <p>4th Wave is under development now and not completed yet.</p>
Output 1.1.2: GCIP community and network maintained.	Indicator 6: Number of GCIP community identified and maintained	Baseline is assumed to be zero;	At least 6 GCIP communities identified.	<i>Yellow</i>	<p>5 Universities were identified as GCIP communities and supported as regional Cleantech Accelerators. Universities started to develop their own programmes to support regional cleantech startups. Negotiations with National Academy of Science were conducted to organize one more Cleantech Accelerator.</p> <p>In addition, with the following GCIP communities contacts were established and maintained – GCIP Projects in Pakistan, Turkey, Armenia, Moldova, Kazakhstan, South Africa, and Morocco.</p>

Outcome 1.2: Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator	Indicator 7: National Cleantech Platform/coordinating mechanism for SMEs and Startups established	No dedicated platform for clean energy technology and SMEs;	Establishment of National Cleantech Platform/ coordinating mechanism such as online tools and office to support for SMEs and Start-ups	<i>Green</i>	National Cleantech Platform is established and coordinating mechanism such as online tools and office to support for SMEs and Startups is developed
	Indicator 8: Number of new clean energy technologies or innovative businesses created/accredited.	Baseline value not available.	At least 4 new clean technologies or innovative businesses created per Cleantech competition during and after project implementation period.	<i>Yellow</i>	7 new technologies were identified during 1st and 2nd competitions each and 8 new were identified during the 3 rd competition. At the time of writing this MTR report, all of the winners have only started to receive support on development of the new technologies. 4 th cycle of accelerator program is under development and not completed yet, hence the rating is yellow.
Output 1.2.1: Post-Accelerator support provided for start-ups and SMEs to access to finance and market entry.	Indicator 9: Number of SMEs and Startups trained on product development and market entry;	No dedicated similar support programmes reported – baseline is assumed to be zero;	At least 60 SMEs and Start-ups receive training on product development and market entry (with at least 40% being women)	<i>Green</i>	80 startups received trainings during three waves of the Acceleration program.

	Indicator 10: Number of investors/ funding mechanism identified;	Baseline is assumed to be zero;	At least 6 investors identified	<i>Yellow</i>	Under development
Component 2: Building national capacity for the support and promotion of clean technology innovations					
Outcome 2.1: National institutional capacity built to support and organize the Cleantech competition and accelerator during and beyond project duration	Indicator 11: Number of new clean energy technologies or innovative businesses created/accredited.	Baseline value not available.	Development and implementation of an accelerator programme with generalist and specialist mentors and judges identified and trained	<i>Yellow</i>	Acceleration programme is developed. 9 judges and 18 mentors were identified and trained. 4 th cycle of accelerator program is under development and not completed yet, hence the rating is yellow.
Output 2.1.1: Capacity building of national institutions and industrial associations to host, support and sustain the GCIP, and 15 mentors and 10 judges identified and trained	Indicator 12: Number of SMEs and Startups trained on product development and market entry;	No dedicated similar training reported – baseline is assumed to be zero;	At least 15-20 SMEs and/or startups trained per cycle	<i>Yellow</i>	40 SMEs and start-ups per 1 st cycle and 19 SMEs and start-ups per second cycle (originally 23 SMEs and start-ups were selected, but due to pandemic situation 4 SMEs could not take part in trainings). For the 3 rd cycle, 21 SMEs and start-ups received training. 4 th cycle is under development and not completed yet, hence the rating is yellow.

	<p>Indicator 13: Number of mentors/judges trained</p>	<p>No training program for mentors/judges reported</p>	<p>At least 15 mentors and 10 judges trained</p>	<p>Yellow</p>	<p>18 mentors for work and support of startups were involved (45% women);</p> <ul style="list-style-type: none"> - 9 judges for selection of startups were involved; - 18 mentors received training on methodology and process of mentoring (45% of women); - 9 judges received guidance on the judging process (17% of women); - 3 international and 5 national trainers were involved <p>To achieve this target, the Project should train one more judge during the 4th wave of acceleration programme, which is ongoing now and not completed yet, and hence the rating is yellow.</p>
	<p>Indicator 14: Annual Innovation Conference held, GCIP platform established</p>	<p>No states/regions and SME clusters identified yet.</p>	<p>At least 1 publication published annually and 1 GCIP platform established</p>	<p>Yellow</p>	<p>GCIP platform established. 66 articles about GCIP Ukraine activities published in mass media and 305 articles about GCIP Ukraine activities published on social pages of the project, project partners and startups/SMEs during 2019-2020 years.</p> <p>The assessment assumes that the project extension recommendation is accepted, and in this case at least one</p>

					publication in 2022 should be developed to reach the target (1 publication annually) and hence the rating is yellow.
Component 3: Policy and regulatory framework strengthened for a national cleantech innovation and entrepreneurship ecosystem					
Outcome 3.1: Policy and Institutional framework strengthened to promote and support clean technology innovations in startups and SMEs.	Indicator 15: Extent to which existing policies and regulations are amended or effectively implemented.	A score between 0 and 4, will be given to assess these policies (0 is poor and 4 is optimal).	A score of 2 or 3.	Yellow	Under development. A score will be given at the end of the project.
Output 3.1.1: Policy analysis report on best practice policies, regulations and incentives required for the promotion of clean technology innovations developed	Indicator 16: Policies, regulations and programmes amended or developed to create more supportive environment for clean energy technology innovations in/by SMEs	Current policy and institutional frameworks not focused on clean energy technology innovations.	Assessment of existing relevant policies and economic sectors requiring support for promotion of cleantech; Policy assessment report including stakeholder mapping for Cleantech in Ukraine developed.	Yellow	SWOT analysis of the existing policies was developed. Policy assessment report including stakeholder mapping is under development.

<p>Output 3.1.2: Policy recommendations on how to enhance the clean technology innovation and entrepreneurship ecosystems developed and roadmap in place</p>	<p>No Indicator</p>	<p>No dedicated roadmap available.</p>	<p>Roadmap available to highlight necessary improvements of policy framework on cleantech innovations; monitor its implementation progress by PMU</p>	<p>Yellow</p>	<p>Materials for Roadmap were identified and developed. The document is under development.</p>
<p>Output 3.1.3: National institutional capacity strengthened for sustainability</p>	<p>Indicator 17: Number of subnational cleantech stakeholder meetings held;</p>	<p>No dedicated similar capacity programme reported – baseline is assumed to be zero;</p>	<p>50 staff from partner and national institutions receive training on competition organization (with at least 40% being women)</p>	<p>Yellow</p>	<p>37 staff from partner and national institutions received training on competition organization.</p>
			<p>At least 3 stakeholder meetings held (at least 30% women participants) in 3 years</p>	<p>Yellow</p>	<p>5 stakeholder meetings in the form of Steering Committee were held until the time of writing this MTR report. At least one more stakeholder meeting in the form of Steering Committee will be held at the end of the project. Percentage of women presence can be estimated only after the last meeting.</p>
<p>Component 4: Monitoring and Evaluation (M&E)</p>					

<p>Outcome 4.1: Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation</p>	<p>Indicator 18: Progress reports and project implementation report (PIR)</p>	<p>No monitoring system in place to track all project indicators</p>	<p>4 quarterly progress reports and 1 annual PIR</p>	<p>Yellow</p>	<p>PIRs for 2019, 2020 and 2021 were submitted, however Quarterly Progress report appear to be irregular.</p>
<p>Output 4.1.1: Terminal project evaluation conducted</p>	<p>Indicator 19: Achievement of project targets and improvement in gender mainstreaming</p>	<p>No evaluation system in place to monitor and track project achievements</p>	<p>Independent terminal evaluation to capture the impact and sustainability of the programme</p>	<p>Not applicable</p>	<p>Not applicable</p>
<p>Output 4.1.2: Documentation of lessons learnt and best practices from pilot experience and dissemination</p>	<p>Indicator 20: Terminal evaluation report, leaflets/brochures and case study</p>	<p>No documentation system in place to share the lesson learn and best practices from the programme</p>	<p>1 Terminal evaluation report, at least 2 leaflets/brochures and case study</p>	<p>Yellow</p>	<p>The Terminal evaluation report is not applicable currently. 2 leaflets were published. Case study is under development.</p>

Based on above it can be concluded that Progress toward expected results is **Satisfactory**.

4.4 Efficiency

Efficiency is one of the key aspects of the Project that is reviewed during this MTR. It is defined in terms of a measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.

The figures made available to the Evaluator identifies budget figures grouped by Components though it appears that the output level budget estimate and actual expenditure is being tracked in the accounting system. However, with the codes given, it was not possible to work out the expenses and budget estimates by outputs. A quick snapshot of estimates in the ProDoc and actual expenditure so far is show below in Table 6.

Table 6 Budget and expenditure as of July 2021 (all figures USD)

Component	Budget	Expenditure So Far¹	Amount Remaining
Component 1: National cleantech platform to promote clean technology innovations for global environmental benefits and green jobs in Ukraine	650,000	286,000	364,000
Component 2: Building national capacity to support and promote clean energy technology innovations	500,000	397,000	103,000
Component 3: Policy and regulatory framework strengthened for a national cleantech innovation and entrepreneurship ecosystem	146,795	131,000	15,000
Component 4: Monitoring & Evaluation (M&E)	75,000	17,000	58,000
TOTAL	1,371,795	831,000	540,000 ²

Based on the figures above, it is reasonable to assume that the project finances are sound and it is likely that the project will achieve its targets with the remaining budget. The outputs that this project is expected to achieve is in line with the budget allocated, and is reasonable and similar to other projects of similar nature.

However, a point to note is about the funding of the prototype developments to the past winners of the competitions under post accelerator support. There was a degree of confusion regarding whether prototype development could be funded from the GEF budget, and this matter was discussed in detail in the 5th steering committee meeting recently held. According to the communications received from UNIDO, it has now been agreed to fund 21 start-ups with a total

¹ Rounded off to the nearest thousand

² Due to rounding off errors, the total of the expenditure so far and the amount remaining will be slightly different from the total budget

fund of USD 205,000. Application process for the prototype funding has started at the time of writing this report. According to UNIDO, beneficiaries have been identified already.

Co-finance has not been forthcoming and the large amount of co-finance promised by the Banks can only materialise if the start-up companies are able to take their business forward with the help of support from agencies such as UNIDO – for example by providing a fund to develop and test the prototypes in order to produce a bankable product.

According to the communication received from UNIDO, National Academy of Sciences (Institute of Renewable Energy of NASU) has provided an in-kind co-financing contribution of 150 thousand dollars in the form of use of their office premises by GCIP Ukraine, including communication services. SFII received approximately 148,000 USD from the Government of Ukraine to finance the SFII cleantech program in 2019-2020, which was supported by GCIP UNIDO project. SFII in fact had promised a cash co-finance of 1.8 million USD and 100,000 in-kind co-finance. The cash co-finance has not materialised so far, however, and unlikely to do for this project.

The start-ups have been able to attract approximately 385,000 USD out of 10 million USD that was envisaged.

Based on the above analysis, and particularly because of the co-financing situation, the rating for Efficiency is **Moderately Satisfactory**.

4.5 Sustainability

Relevant guideline on Evaluation requires every evaluation process to assess “the likelihood of sustainability of outcomes at project termination, and provide a rating for this” at a minimum. Sustainability, in this context is defined as continuation or likely continuation of positive effects of a project after it has ended. In addition, the definition of Sustainability also encompasses the project’s potential for scale-up and/or replication. The following sections present the evaluator’s assessment of likelihood of sustainability of this project at completion from the perspective of the MTR.

There is a lot of interest in supporting innovative start-ups in Ukraine, including a new “GCIP 2” project has been proposed for funding from GEF, which is likely to continue and take forward the work undertaken in this project, but is going to be oriented towards SMEs at a more advanced stage of development and hence its target group is different. Organisations such as Greencubator have expressed commitments to provide grant money to the new GCIP 2 project, which is a sign of an interest and commitment in helping the start-ups along their scale-up journey.

Similarly, the FSII as the executing agency has been active in the project, and will continue the activities of the GCIP project once it is complete. They have received some funding from the Ukraine government and with deep involvement of the Project team have also embarked upon their own assistance programme to help the start-ups. After the end of the Project, these two programs will be merged under the FSII management.

Moreover, as part of this project's capacity building activities, five regional universities (Donbas State Pedagogical University in Donetsk oblast, Sumy State University in Sumska oblast, Kherson National Technical University in Khersonka oblast, Vasyl Stefanyk Precarpathian National University in Ivano-Frankivska oblast and Petro Mohyla Black Sea National University in Mykolaivska oblast) have been supported to act as regional accelerators. These universities will act as regional accelerators, identifying and supporting SME start-ups from their own regions which will help scale up the work GCIP project is undertaking. This will certainly help the sustainability of the outcomes of this project.

Post-accelerator support was delayed but efforts are in place to support the finalists of the accelerator competitions. It should be noted that this support is more oriented towards acceleration of early-stage enterprises, as opposed to GCIP 2 which supports later-stage enterprises. This is a key aspect of sustainability of this project outcomes. Given the support has not yet been provided, it is not possible to assess this aspect from the Sustainability viewpoint at the MTR stage but given that a plan is in place, this is a positive aspect in terms of sustainability.

Therefore, the sustainability of the project outcomes is **Satisfactory**.

4.6 Monitoring and Evaluation (M&E)

4.6.1 M&E at Design

Monitoring and Evaluation (M&E) has been given sufficient consideration in the ProDoc and a detailed logical framework (results framework) has been included in the GEF Project Document, which is included in this MTR report (in the Annex of the TOR). The results framework describes well the outputs and outcomes, though some indicators and targets are unclear and inconsistent. The indicators and targets are reasonably well defined with sources of verification provided. Monitoring and evaluation is in fact identified as a Component, an Outcome and two outputs of the GCIP project in the Logical Framework and the project description.

A chapter is dedicated to the M&E describing the M&E activities, and an M&E plan with a timeframe, a budget and responsible parties has been included in the ProDoc. Dedicated budget lines for M&E activities have been provided, including a budget for the Terminal Evaluation.

The ProDoc also specifies that project stakeholders and GEF Operational Focal Point will be involved in all stages of M&E. Various reporting activities such as PIRs and six-monthly reports from the PMU to UNIDO are planned in the ProDoc.

However, there are issues in Logframe and how the outputs and targets are articulated. Some indicators and targets are not well defined, and are not consistent with the rest of the ProDoc.

The rating for this criterion is **Satisfactory**.

4.6.2 M&E at Implementation

The project's management (both at Vienna and Kyiv) has shown flexibility in making changes as required so as to keep the project implementation smooth, and produce the outputs as envisaged when the project was conceived. One such example – and a very important one - is to agree to fund the start-ups to develop and test prototypes. Initially, there appeared to have been some confusion as to whether the prototypes should be funded from the UNIDO/GEF funds, but the UNIDO agreed to fund these start-up businesses. This was part of a good communication, as the M&E system highlighted that there was a need in the ground to support these start-ups, so that the project outcome is sustainable, and co-financing could be raised as a result.

Project Steering Committee (PSC) meetings were held regularly and the minutes of those meetings were produced. Annual reports have been produced as required but quarterly reports were produced sporadically.

There were numerous meetings and workshops held throughout the project and stakeholders were invited to take part in those meetings and share their thoughts.

Based on above, the M&E at Implementation is **Satisfactory**.

4.7 Performance of Partners

This is one of the key aspects of the MTR, as specified in the TOR. The key questions specified in the TOR were used as a guideline, and the MTR attempts to assess the performance of partners as far as possible, and is described below.

4.7.1 UNIDO – Vienna and PMU in Kyiv

UNIDO has designed the project reasonably well, as also described in the "Design" section of the report. At the beginning of the project, management arrangements were adequate. Roles and responsibilities were communicated and clarified to partners well. There appeared to be an issue in communication between Kyiv and Vienna at the beginning of the project including slower response time from the Vienna office, but it was quickly resolved and no major issue in communication exists now.

The project team – both in Vienna and Kyiv – had to change the approach and method due the pandemic which started while the project was ongoing. This meant that change in approach needed to be adopted with no prior notice. Both Vienna and Kyiv seem to have handled the change reasonably well. Meetings and training were done on virtual basis using online tools. There was also a change in Project Manager in Vienna halfway through the project, just before the MTR started, which slightly affected the project progress.

M&E and reporting system was introduced from the very beginning, and in line with ProDoc.

Project team (PMU) in the field has performed its duties reasonably well. Taking into account the pandemic situation, the team successfully transferred activities to online as much as possible. Funds were spent to ensure that the results were achieved.

Major reports such as PIRs for 2019, 2020 and 2021 were prepared in a timely manner and were submitted with sufficient information to estimate progress. However, some of the documents produced as part of the project were not aligned with the logframe outputs and targets. For example, some of the documents produced in Policy Component of the project do not align with the name of the outputs and targets. There is no report with an appropriate title (e.g. Policy Recommendations and Analysis, which will match the title of the Output 3.1.1 Policy analysis report on best practice policies) but there is a SWOT analysis as an output. Due to this, the evidence of the activities carried out were not easy to ascertain as means of verification.

4.7.2 Government Agencies

National authorities support objectives of the project. Representatives from the authorities take part in regular meetings of the PSC.

There have been some structural changes in the Ukrainian government, and as a result, there has been a high turnover of personnel in government departments, including the ones involved in this project. Some of the new personnel appear to be not familiar with the details of the project due to them not being involved or recently becoming involved. This has not impacted the project in a major way, but this situation has a potential to cause delay and have a negative impact in the future.

The SFII as the executing agency has been active in the project, and are keen to continue the activities of the GCIP project once it is complete. Some in-kind co-financing was made available to the GCIP project in terms of usage of the facilities and venues but cash co-finance from government agencies such as SFII did not materialise. This seems to be due to a new arrangement mainly because of new state finance procedures. Feedback received during the consultations revealed that there is a new legislative obligation to coordinate all the financial support for expenditures for foreign entities and technical assistance projects through a single window of a government department, and individual agencies are not able to provide co-finance projects like GCIP.

Further details about the co-financing are provided in Section 4.4.

Coordination between different Ministries and Departments is implemented through regular meetings of the PSC.

4.7.3 CSOs / NGOs

CSOs and NGOs are involved in the project – many of them are start-ups also. They take an active part in the project with two women entrepreneurs associations being active partners in the project.

4.7.4 Private Sector

Partnership has been established with GCIP Projects in other countries, in particular in Kazakhstan, South Africa, Moldova, Turkey and with projects that support innovative startups in Poland, Latvia and others.

Meetings with investors for the winners of the 1st wave of the GCIP Ukraine competition within the framework of Cleantech week in Vienna in November 2019 were conducted, while negotiations with the representatives of the venture funds of Japan and the UAE were also conducted.

4.8 Stakeholders

The project is financed by the GEF and implemented by UNIDO as the GEF Agency. The project was approved in November 2018 and is of a duration of three years. The project is taking advantage of Government's existing initiatives, and cooperating with major partners including Ministry of Economic Development and Trade, State Financial Institution for Innovations and the State Agency on Energy Efficiency and Energy Saving.

Various stakeholders have so far been involved in the project at different tiers, as follows:

- Macro - mostly government bodies involved in policy making
- Micro – organisations like SFII who provide direct support in financing
- Meso – agencies that provide the enabling environment such as capacity building

The following are the key stakeholders of the project.

Government Agencies

Ministry of Economic Development and Trade (MEDT)

Ministry of Environment and Natural Resources

Ministry of Strategic Industries of Ukraine (a new ministry established in 2020)

The State Finance Institution for Innovations (SFII)

The State Agency on Energy Efficiency and Energy Saving (SAEE)

Research Institutions

The National Academy of Sciences of Ukraine (NASU)

Donbas State Pedagogical University

Kherson National Technical University

Sumy State University

Vasyl Stefanyk Precarpathian National University

Petro Mohyla Black Sea National University

Civil Society Organisations

NGO "Institute of Partnership and Sustainable Development"

Lean In club

Greencubator

Start-ups

GREENCOOL

POLYSTRACH_UA

Uf.Bee

GeronCore

SaveEcoBot

4.9 Risk Assessment

The Risk Assessment has been one of the key aspects of this MTR with an objective to provide an "early warning system" to prepare and implement remedial actions to address risks that are likely to affect the project outcomes in a timely manner, and also to summarise project assessment findings and their ratings provided in Chapter 4. Based on the MTR carried out by the Evaluator, a risk assessment has been carried out and presented here in this report.

For each of the criteria grouped under various categories, risk ratings are provided and colour coded. A criterion receiving a risk rating from 1 to 3 is classified as "At Risk", which is colour-coded with Red. Similarly, a criterion receiving rating from 4 to 6 is classified as "Not At Risk", and is colour-coded green. Risk ratings are directly related to the Evaluation Criteria ratings as shown in Table 7. It should be noted that the risk ratings are given in such a way that the project objectives are at risk of not being achieved **by the end of the project**.

Table 7 Evaluation Criteria Rating and Risk Rating




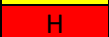


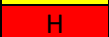


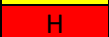
Evaluation Criteria Rating	Risk Rating
Highly Unsatisfactory	1
Unsatisfactory	2
Moderately Unsatisfactory	3
Moderately Satisfactory	4

Satisfactory	5
Highly Satisfactory	6

The risk assessment is carried out assuming that the recommendations provided in this report, particularly on extension of this project's timeline is accepted by the relevant stakeholders. Risk assessment is shown in Table 8.

Table 8 Risk Assessment

Categories	Criteria	At Risk (Risk Rating 1-3)	Not at Risk/ (Risk Rating 4-6)	Description
B. Project performance and progress towards results	Relevance		6	The GCIP project is consistent with a number of Ukraine's national priorities, policies and strategies. The project is also compatible with the current UNIDO Strategic Priorities (2018-2021) as the project is in line with at least three of the four priorities viz. Advancing economic competitiveness, Safeguarding the environment, and Strengthening knowledge and institutions. The project also aligns with the GEF-6 Focal Area of Climate Change.
	Effectiveness and progress towards results		4	Not all results to be achieved at the time of writing this MTR report are in appropriate form. Due to pandemic crisis some activities started with delays therefore results cannot be achieved at the end of the Project (November 2021), though if UNIDO is prepared for an extension, the risk is lower.
	Efficiency		4	Project is run reasonably well in terms of expenses vs activities, and the total budget for the project is reasonable for the size and type of project.
C. Project implementation management	Project management		4	Project management has been satisfactory, apart from initial issues in communication caused some delays in at the beginning of the project.
	Results-based work planning, monitoring and evaluation systems, reporting		4	Work planning and reporting system within the Project is reasonably good. PMU reports to UNIDO Headquarter and GEF in a reasonably timely manner. A lot of activities started with delays caused mostly by the pandemic situation.
	Financial management and co-finance	3		Co-finance has not been forthcoming and the large amount of co-finance promised by the Banks can only materialise if the start-up companies are able to take their business forward with the help of support from agencies such as UNIDO – for example by providing a fund to develop and test the

				protypes in order to produce a bankable product. It should be noted that this rating does not reflect on financial management of the project.						
	Stakeholder engagement and communication		4	Stakeholders actively participate in all activities of the Project. Communication with stakeholders and partners are reasonably good though there are minor issues due to new personnel joining the stakeholder organisations.						
D.	Sustainability		4	SFII and NGO "Center for Development of Startups and Innovative Projects" are thought to be keen on continuing to support Innovation Platform in the field of Cleantech. A new GCIP 2 project is proposed to GEF.						
E.	Gender mainstreaming		4	Overall ratio cannot be estimated, but a lot of women are present among participants and partners of the Project in all target groups (lowest ratio – 17% among judges, highest ratio - 60% among startup incubator management units at universities). It appears that the ratio of gender equality is around 50%. Project's team is gender-balanced (50%). Project's results affect equally women and men.						
F.	Performance of Partners		4	UNIDO has designed the project reasonably well, as also described in the "Design" section of the report. At the beginning of the project management arrangements were adequate. Roles and responsibilities were communicated and clarified to partners well. National partners support the Project and its activities on all level, and the main stakeholders actively participate in the Project Steering Committee. GEF focal point supported project during the design phase of the project.						
G.	Remaining barriers to achieving the project expected results		4	The main barrier to achieving the project expected results is pandemic situation. It caused delays and changing in activities ways of implementation. Taking into account the end of the Project in November 2021, PMU does not have enough time to achieve the results.						
	Overall Project Risk Rating  L Based on the formula of overall Project Rating at MTR given in the table above, the risk rating for the Project is Low (L)			Overall Project Rating at MTR– based on number of identified project risks <table border="1" data-bbox="976 1187 1188 1300"> <tr> <td>0-1</td> <td> L</td> </tr> <tr> <td>2-3</td> <td> M</td> </tr> <tr> <td>>3</td> <td> H</td> </tr> </table>	0-1	 L	2-3	 M	>3	 H
0-1	 L									
2-3	 M									
>3	 H									

4.10 Gender Mainstreaming

The UNIDO Policy on gender equality and the empowerment of women and its addendum, issued respectively in April 2009 and May 2010 (UNIDO/DGB(M).110) and UNIDO/DGB(M).110/Add.1), provides the overall guidelines for establishing a gender mainstreaming strategy and action plans to guide the process of addressing gender issues in the Organization's industrial development interventions. The Evaluator followed above guidelines and assessed the gender mainstreaming during the planning stage of the project primarily as the project is still ongoing but some aspects of implementation is also covered.

Gender issues have been covered well in the Project Document. The ProDoc recognises the importance of the gender dimension in implementing the project. For example, the ProDoc mentions that gender dimension would be promoted through partnerships with women entrepreneur associations such as Ukrainian Women in Business to raise the interest from women entrepreneurs. The ProDoc also mentions that gender aspects and gender mainstreaming will be paid particular attention throughout the implementation of the project.

As regards start-ups, a number of enterprises started and headed by women are participants in this project, though the target of achieving 40% women participants was not met during the first wave of accelerator competition. It appears that the Project Team has made efforts to gender balance the beneficiaries to a large extent, and also the PMU has a gender balanced team.

At the moment it is not possible to estimate the overall project ratio of women participants in all aspects of the project, but a lot of women are present among participants and partners of the Project in all target groups (lowest ratio is 17% among judges and the highest ratio is 60% among start-up incubator management units at universities).

Based on the above, Gender Mainstreaming in project is **Satisfactory**.

5 Findings

5.1 General observations

The GCIP project appears to be a very commendable initiative by UNIDO in Ukraine to support innovation in clean technology, and is timely. Supporting entrepreneurs to develop clean technology is clearly something very much within the GEF and UNIDO priorities, and also in line with the Ukraine government strategies and policies. Design of the project is satisfactory, with some issue in defining and articulating outputs and targets in the logframe.

Gender issues have been well covered in the ProDoc and implementation team is making every effort to see gender balance in beneficiaries.

The project is highly relevant due to the fact that it aligns with Ukrainian national policies and strategies and also with UNIDO and GEF priorities. The Government agencies involved in the project were highly grateful to UNIDO for implementing this project and find the project very relevant. Importantly, the SFII as the executing agency has been active in the project, and are keen to continue the activities of the GCIP project once it is complete which improves the sustainability of the project. However, due to some recent changes in the government

structure and ministries, some of the officials were not familiar with the project activities and were not able to contribute much to the MTR.

Procedures for support to start-up SMEs for post-accelerator support has been established for the GCIP project, but targeting early-stage start-ups for the grant support to develop prototypes, and beneficiaries have been identified.

5.2 Achievements of the project

A number of achievements have been made by the project so far. Some of the key achievements are:

- A National Cleantech Platform has been established
- Three waves of the accelerator programme have been completed with 80 start-ups taking part in them – fourth competition is ongoing
- A total of 19 mentors and trainers (who will provide training and mentoring support), and 10 judges (who will select the finalists) have been selected
- Five Universities have been identified as GCIP regional Cleantech Accelerators.

6 Conclusions & Recommendations

6.1 Conclusions

Progress Towards Expected Results

- There has been good progress in implementation of the project at the time of the Mid-Term Review, though the Pandemic and some other issues have caused delays in implementation.

Monitoring and Evaluation

- Some of the documents produced as an output of the project³ were not aligned with the logframe outputs and targets making it difficult to use them as means of verification of results.
- Even though M&E system is reasonably good, there are areas where improvement can be made.

Design

- Some of ProDoc text and results framework indicator / targets are not aligned which gives rise to confusion in implementation.

³ See section 4.7.1

Efficiency

- Proposed new arrangement⁴ to “streamline” the co-financing by Ukrainian Government is not completely in place and not well understood, which seem to have affected the co-financing from agencies such as SFII.
- There is a potential for delays in project completion and budget overrun and underutilisation if the post-accelerator support is not well managed.

Sustainability

- It will be difficult for the project to achieve its required outputs within the current timeline, and the current end date of 30 November 2021.

6.2 Recommendations

Based on the Conclusions above, following recommendations are provided Table 9, along with the entity responsible for implementing the recommendation.

Table 9 Recommendations

Recommendations	Entity(ies) Responsible
Documentation needs to be improved, particularly to streamline the output documents (such as policy recommendations) based on the targets and means of verification as described in the logframe (including the title of the documents) so that it is easier to verify. Details can be found in Section 4.7.1.	UNIDO
The new co-financing arrangement in Ukraine (as described in Section 4.7.2) must be understood for this and future projects' success.	Ukraine Government, UNIDO
M&E system for implementation needs to be improved by producing quarterly reports on a regular basis.	UNIDO
Logframe indicators and targets should be revised if possible so as they are clearly defined and SMART.	UNIDO, GEF Executing Partners
Post-Accelerator support of product/prototype development must be managed with close monitoring of time and expenses.	UNIDO, PSC, Start-ups
It is recommended to extend the project duration by 6-12 months so that the project results can be achieved as planned.	UNIDO, PSC

⁴ See section 4.7.2

7 Annexes

7.1 TOR for the Mid-Term Review



UNITED NATIONS
INDUSTRIAL DEVELOPMENT ORGANIZATION

**TERMS OF REFERENCE FOR THE
MID-TERM REVIEW OF THE UNIDO PROJECT**

Global Cleantech Innovation Program for Small and Medium Enterprises in Ukraine

**UNIDO SAP ID: 160246
GEF ID: 9811**

March 2021

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Glossary of mid-term review related terms

Term	Definition
Results-Based Management (RBM)	A management strategy focusing on performance and achievement of outputs, outcomes and impacts.
Monitoring	A continuing function that uses systematic collection of data on specified indicators to provide management and the main stakeholders of an ongoing development intervention with indications of the extent of progress and achievement of objectives and progress in the use of allocated funds.
Review	An assessment of the performance of an intervention, periodically or on an ad hoc basis. Note: Frequently “evaluation” is used for a more comprehensive and/or more in-depth assessment than “review”. Reviews tend to emphasize operational aspects. Sometimes the terms “review” and “evaluation” are used as synonyms.
External evaluation/review	The evaluation/review of a development intervention conducted by entities and/or individuals outside the donor and implementing organizations.
Formative evaluation/review	Evaluation/review intended to improve performance, most often conducted during the implementation phase of projects or programs.
Relevance	The extent to which the objectives of a development intervention are consistent with beneficiaries’ requirements, country needs, global priorities, and partners’ and donors’ policies. Note: Retrospectively, the question of relevance often becomes a question as to whether the objectives of an intervention or its design are still appropriate given changed circumstances.
Effectiveness	The extent to which the development intervention’s objectives were achieved, or are expected to be achieved, taking into account their relative importance.
Efficiency	A measure of how economically resources/inputs (funds, expertise, time, etc.) are converted to results.
Sustainability	The continuation of benefits from a development intervention after major development assistance has been completed. The probability of continued long-term benefits. The resilience to risk of the net benefit flows over time.
Institutional development impact	The extent to which an intervention improves or weakens the ability of a country or region to make more efficient, equitable, and

Term	Definition
	sustainable use of its human, financial, and natural resources, for example through: (a) better definition, stability, transparency, enforceability and predictability of institutional arrangements and/or (b) better alignment of the mission and capacity of an organization with its mandate, which derives from these institutional arrangements. Such impacts can include intended and unintended effects of an action.
Logframe	Management tool used to improve the design of interventions, most often at the project level. It involves identifying strategic elements (inputs, outputs, outcomes, impact) and their causal relationships, indicators, and the assumptions or risks that may influence success and failure. It thus facilitates planning, execution, monitoring and evaluation of a development intervention.
Results	The output, outcome or impact (intended or unintended, positive and/or negative) of a development intervention.
Impacts	Positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended.
Outcome	The likely or achieved short-term and medium-term effects of an intervention's outputs.
Outputs	The products, capital goods and services which result from a development intervention; may also include changes resulting from the intervention which are relevant to the achievement of outcomes.
Indicator	Quantitative or qualitative factor or variable that provides a simple and reliable means to measure achievement, to reflect the changes connected to an intervention, or to help assess the performance of a development actor. Means by which a change will be measured. Example: Total wastewater in t/yr.
Target	Definite ends to be achieved. Specifies a particular value that an indicator should reach by a specific date in the future. Example: Reduce by 50% the amount of wastewater in t/yr, between 2015 and 2020.
Milestones	Interim targets; points in the lifetime of a project by which certain progress should have been made. They provide an early warning system and are the basis for monitoring the trajectory of change during the lifetime of the project.

Term	Definition
Baseline	The situation prior to a development intervention against which progress can be assessed or comparisons made.
Assumptions	Hypotheses about factors or risks which could affect the progress or success of a development intervention. Necessary conditions for the achievement of results at different levels. These are conditions that must exist if the project is to succeed but which are outside the direct control of the project management. This is called the external logic of the project because these conditions lie outside the project's accountability and can be related to laws, political commitments, political situation, financing, etc.
Risk analysis	An analysis or an assessment of factors (called assumptions in the logframe) that affect or are likely to affect the successful achievement of an intervention's objectives. A detailed examination of the potential unwanted and negative consequences to human life, health, property, or the environment posed by development interventions; a systematic process to provide information regarding such undesirable consequences; the process of quantification of the probabilities and expected impacts for identified risks.
Theory of change	Theory of change or programme theory is similar to a logic model, but includes key assumptions behind the causal relationships and sometimes the major factors (internal and external to the intervention) likely to influence the outcomes.
Conclusions	Conclusions point out the factors of success and failure of the evaluated intervention, with special attention paid to the intended and unintended results and impacts, and more generally to any other strength or weakness. A conclusion draws on data collection and analyses undertaken, through a transparent chain of arguments.
Lessons learned	Generalizations based on evaluation experiences with projects, programs, or policies that abstract from the specific circumstances to broader situations. Frequently, lessons highlight strengths or weaknesses in preparation, design, and implementation that affect performance, outcome, and impact.
Recommendations	Proposals aimed at enhancing the effectiveness, quality, or efficiency of a development intervention; at redesigning the objectives; and/or at the reallocation of resources. Recommendations should be linked to conclusions.
Gender mainstreaming	The process of assessing the implications for women and men of any planned action, including legislation, policies or programmes, in all

Term	Definition
	<p>areas and at all levels. It is a strategy for making women's as well as men's concerns and experiences an integral dimension of the design, implementation, monitoring and evaluation of policies and programmes in all political, economic and societal spheres so that women and men benefit equally and inequality is not perpetuated. The ultimate goal is to achieve gender equality</p>

For more related terms and definitions see also:

- OECD-DAC Glossary of Key Terms in Evaluation and Results Based Management (2010); <http://www.oecd.org/development/peer-reviews/2754804.pdf>.
- UNDG Results-based management handbook; <https://undg.org/wp-content/uploads/2015/01/UNDG-RBM-Handbook-2012.pdf>.
- UNIDO e-learning course on: Results-based Management and the Logical Framework Approach; <http://intranet.unido.org/training/rbm/#home>

I. Project description, background and context

Development Context

Ukraine is a large, diverse country with high agricultural potential; it belongs to the resource-rich countries of the Eurasian region, with an established industrial base. Climate-driven changes such as higher temperatures – causing potential shifts in agricultural zones and leading to marked water deficiencies – can compromise the country’s food security and economic growth, however. Ranked fifth in the world for energy intensity, Ukraine is one of Europe’s largest energy consumers due to its inefficient energy infrastructure, historically low energy prices, and high industrial and agricultural energy sector demands. Climate-related efforts have focused on emissions reduction, and these efforts to improve energy efficiency and management of renewable energy sources.

According to the national GHG inventory of Ukraine, the largest GHG emissions take place in the Energy sector. In 2015, the share of this sector accounted for around 66%¹⁰. About 81% of emissions in this sector account for emissions in the fuel combustion category, including the categories of Energy Industries, Manufacturing Industries and Construction, Transport, Other Sectors, and Other, as well as 19 % - emissions in the category of Fugitive Emissions from fuels.

Between 2008 and 2015, the share of GHG emissions from the major export-oriented industries (metallurgy, chemical, mechanical engineering) declined due to the fall of production, which impacted supply sectors - electric power generation, mining (ore and coal mining). According to the State Statistic Service of Ukraine, the annual industry production have constantly been decreasing since 2012. In 2015 industrial production index is 87.0 % comparing with 2014. The significant reduction in industrial output and the GDP resulted in a reduction in CO₂ emissions, which led to a relative increase in carbon productivity.

Compared to 1990, in 2016, the carbon productivity of Ukrainian GDP increased almost 1.8 times: from 0.29 USD of GDP/kg CO₂ to 0.51 USD of GDP/kg CO₂. In 2016-2017 both industrial output and CO₂ emissions started growing, and the carbon productivity of GDP/kg fell. This development indicates on the existence structural cleantech challenges of the industry.

Ukraine has ratified the Paris Agreement in September 2016 and is committed to reducing its greenhouse gas emissions by 2030 to 60% under the “active investment scenario” and 45% under the “pessimistic scenario” compared to 1990. Ukraine has potential for advancing green economic activities, primarily in renewable energy, energy performance, organic farming, and clean technologies. Ukraine adopted (on July 18, 2018) an innovative low carbon growth strategy and mainstreaming clean technology innovation and entrepreneurship across all economic sectors. In the long-term, this will support broad-based economic development while systematically promoting climate resilience and low-carbon development.

Ukraine enjoys a favorable geographical position, has a highly educated population, and potentially can serve as a transit corridor for energy and trade flows between the East and the West. Ukraine is among the world's leading countries in terms of proven reserves of iron, manganese and titanium-zirconium ores, coal, graphite, china clay, and sulfur. The country remains both an industrial and agrarian country, predominantly producing different kinds of raw materials. As regards the types of industry, main Ukraine’s main industrial sectors are heavy engineering; ferrous and nonferrous metallurgy; shipbuilding; automotive; aerospace; manufacturing and supply of power plants; and oil, gas, and chemicals industry.

SMEs largely dominate Ukraine’s economy. According to the State Statistical Service of Ukraine, as of 2014, the country had approximately over 1.7 million SMEs, which is over 99.9% of all operating legal entities. Small and micro-enterprises accounted for almost 99%. SMEs account for almost 60% of employment and about 52% of the economy's total sales revenue. Although SMEs’ individual environmental footprint may be low, their aggregate impact in many respects exceeds that of large businesses. The key sectors where SMEs have a particularly significant environment impact include food processing industry, livestock farming and construction.

As about the Innovation, Eco-System Ukraine has a sound system of education and a high level of public educational background: over 79% of adult Ukrainians have a college or university degree, and therefore at the level of technology fields, Ukraine’s relative specializations are strong in medical technologies (1,871, almost 10% of its output), and measurement (1,260 applications or almost 7% of its output). Remarkable are further the specialization grades in materials/metallurgy (1,499 applications), machine tools (867 and with almost 5% a higher share than in any other Black Sea country) and other special machines (1305).

Considering the mentioned information, Ukraine has a great potential to develop an innovation-based economy driven by its immense talents and entrepreneurial skills. It has many features: a well-educated and talented workforce; a long tradition of science and technology (S&T) research; significant natural resources and agricultural production capacity; a successful information technology (IT) industry; increasing access to markets in Europe; and a large and successful knowledge diaspora that can provide knowledge and access. Also, Green SMEs development in Ukraine is one of the potential components of a future SME development programme. The Strategy emphasizes energy efficiency, which is considered one of the top priorities of Ukrainian SMEs, and presents SME greening as a mechanism for increasing competitiveness and creating jobs.

Problems

The main obstacles for a transition to low carbon growth in Ukraine are the lack of diversification of the economy, heavy reliance on expensive fossil-fuel usage, outdated and inefficient production capacities, and unsustainably high subsidies in energy pricing.

The Ukrainian economy is significantly based on low value-added exports and largely inefficient in terms of per capita GDP. The country belongs to the lower-middle-income group (USD 8,190 at PPP in 2016). A high degree of fixed assets depreciation (83.5% in 2014) and outdated technologies, especially in the mining and metallurgical sector, result in excess consumption of primary resources, materials, and energy and to a high energy intensity of the Ukrainian economy (as of 2015 was 0.32 kg of oil equivalent per 1 US\$) - 1.5 times higher than the EU average.

Ukraine is at the efficiency-driven development stage. Innovation and sophistication factors still have a limited role in determining the overall competitiveness index's value compared to more advanced economies. Enterprise innovation in Ukraine is weak, both in large and small companies. The percentage of Ukrainian industrial enterprises conducting innovative activity in 2015 was 17.3%, 14 compared to an EU average of 48.9 %.

High-technology exports are relatively weak. In 2015, high-technology exports were 7.3 % of manufactured exports, which is low compared to the average of the EU (16 %) and the world (18%). Also, research institutions and universities do not effectively support innovation in Ukrainian companies. Both are structured to service the old, pre-independence economy and are in need of major reform to adapt to the new private sector realities. There is little demand from businesses for such institutions to support innovation. Additionally, poor insolvency laws and weak IP increase the risks for entrepreneurship.

The sector is facing barriers such as the poor regulatory environment, including tax administration, property rights, permits, certification and inspections, limited access to finance, and low levels of overall competition pose obstacles to private sector development, undercutting the country's growth prospects. To a large extent, SMEs lack the awareness of their environmental impacts as well as the understanding that higher environmental performance (including resource and energy efficiency) can be a competitive advantage. Most importantly, they have limited capacity to interpret and respond to relevant policy incentives.

Stakeholders, Partners and Target groups

The project is financed by the GEF and implemented by UNIDO as the GEF Agency. The project was approved in November 2018 and is of duration of three years. It's taking advantage of existing Government initiatives and cooperating with major partners including Ministry of Economic Development and Trade, State Financial Institution for Innovations, Ministry of Ecology and Natural Resources, State Agency on Energy Efficiency and Energy Saving, etc.

The tables below provide an overview of most relevant stakeholders that have so far been involved in the project at three tiers (MACRO, MESO and MESO).

Level	Partner
Macro level: Policy-making	<ul style="list-style-type: none"> • National Innovation Council (NIC) • Ministry of Economic Development and Trade(MEDT) • Ministry of Education and Science (MES) • The State Finance Institution for Innovations(SFII)
Meso level: Institutional capacity building	<ul style="list-style-type: none"> • The State Finance Institution for Innovations(SFII) • The State Agency on Energy Efficiency andEnergy Saving (SAEE)

Micro level	<ul style="list-style-type: none"> • The State Finance Institution for Innovations(SFII)
Local and target impacts	<ul style="list-style-type: none"> • The National Academy of Sciences of Ukraine(NASU)
SMEs and Start-ups acceleration	<ul style="list-style-type: none"> • The Chamber of Commerce and Industry ofUkraine (CCI)
Industrial Clusters	<ul style="list-style-type: none"> • Sectorial research institutes, scientific parks, Universities, CSOs (Women Entrepreneurs Union, Greencubator, etc.)

Gender

The project's guiding principle is to ensure that both women and men are provided with equal opportunities to access, participate in, and benefit from the project without compromising the technical quality of the project results. In practical terms:

- Gender-sensitive recruitment is practiced at all levels where ever possible, especially in selection of project staff. Gender neutral TORs is used to mainstream gender in the activities of consultants and experts. In cases where the project does not have direct influence, gender-sensitive recruitment is encouraged. Furthermore, whenever possible, the existing staff is trained, and their awareness of gender issues is raised.
- All decision-making processes (at project management and project activity implementation level) consider gender dimensions. For example, at the level of project activity implementation, the effort is made to consult with stakeholders focusing on gender equality and women’s empowerment issues. This is especially relevant in policy review and formulation.
- To the extent possible, efforts are made to promote the participation of women in training activities, both at managerial and technical levels, as participants and trainers. This can include advertising the events to women’s technical associations, encouraging companies to send women employees, selecting the trainers, etc.
- When data-collection or assessments are conducted as part of project implementation, gender dimensions are considered. This includes sex-disaggregated data collection, performing gender analysis as part of Environmental and Social Management Plan (ESMP), etc. Efforts are taken to consider at least 40% women’s participation in all activities of the project.

Project Description & Strategy

The project is part of the UNIDO/GEF global initiative that promotes innovative environmentally friendly clean technologies in small businesses and SMEs. The project is in line with the national policies of the Ukraine and GEF focal area priorities. Clean technologies developed and promoted as a result of the GCIP Accelerator programme will lead to reductions in overall national GHG emissions and will contribute to Ukraine’s sustainable green growth, thereby addressing a global issue of climate change, and national issues of energy security, employment creation, SME development and competitiveness.

The Project consists of four (4) components as listed below:

- **Component 1: National cleantech platform to promote clean technology innovations for global environmental benefits and green jobs in Ukraine.** The project will establish a national

GCIP platform to raise awareness and promote and support clean energy technology innovations in start-ups and SMEs

- **Component 2: Building national capacity to support and promote clean energy technology innovations.** To ensure the long-term sustainability of the National Cleantech Platform and accelerator in Ukraine and the support to the cleantech innovation ecosystem in the country, partners and stakeholders, including staff of SFII would be trained on best practices for management of the platform. Capacity building initiatives, among others, would include training of trainers on entrepreneurship, start-ups, knowledge management and exchange of information on best practices, and a coordination mechanism including a specific focus on women entrepreneurs and participants
- **Component 3: Policy and regulatory framework strengthened for a national cleantech innovation and entrepreneurship ecosystem.** Policy component of GCIP is an integral part of its “ecosystems approach”, and also of strategic relevance in ensuring that the outputs and outcomes of the project are contributing to the national priorities. This component will aim to inform the policy makers of how the innovation and entrepreneurship ecosystem can be supported by the government, and also identify the role of GCIP in supporting the government
- **Component 4: Monitoring & Evaluation (M&E).** The project involves continuous monitoring. The final evaluations will be carried out by independent M&E experts. Any other interim evaluations are conducted internally as per project requirements. An annual report and periodical newsletter on best practices, information on country level projects and key indicators of progress made under the project will be prepared and distributed to key stakeholders and agencies

Budget Information

The total project cost is 1,502,875 US dollars from GEF financing, and 12,200,000 US dollars envisaged as co-financing, mostly as government’s in-kind contributions, private sector’s investments, and commercial bank loans.

Project Implementation Arrangements

As the GEF Implementing Agency, UNIDO holds the ultimate responsibility for the timely implementation of the project, the delivery of the planned outputs and monitoring of the achievements of the expected outcomes. The execution of the project on the ground is the responsibility of the Project Management Unit (PMU). The PMU, under the supervision of the UNIDO project manager with the technical input from the Network for Global Innovation (NGIN, USA) and in close consultation with SFII, MNER, MEDT, NASU, and other national partners, is responsible for the daily management of the project execution. The PMU consists of the National Project Coordinator (NPC, ISA contract) and a Project Assistant (PA, ISA contract).

II. Purpose, objectives and users of the mid-term review

The objective of this mid-term review (MTR) is to take stock of the project to date and assess progress towards the achievement of the project objectives and outcomes, as specified in the Project Document. The MTR will be focused as a strategic reflection on work that has been completed to date and will include an analysis of risks to project sustainability and the likelihood of achieving the results

and impact, as originally planned. The MTR will consider the current model and interventions to address any gaps, particularly in the context of changes that may have taken place since the start of the implementation process and are likely to influence the project outcomes. The findings from this Review will contribute to strategic decision making at the organizational level and will provide guidance to implementation actions by the project management team for the remaining period of the approved funding. The Review should also inform concepts for further program development, including lessons learned today and recommendations to adjust (if needed) the current approaches, as well as undertake the necessary changes in order to set the project on-track to achieve the intended results over the remaining period of the project implementation.

The direct users of this MTR results (conclusions, lessons learned, and practical recommendations) are the NPC and PMU, the SFII, the donor (GEF), and the Implementing Agency (UNIDO).

Lessons learned must be shared within the Project Steering Committee (PSC) to further develop the project approach and inform the affected units under the respective PSC members on the iteration. It will also be handed over to the project beneficiaries - Ministry of Environmental Protection and Natural Resources of Ukraine, Ministry of Economic Development, Trade and Agriculture of Ukraine, Ministry of Strategic Industries of Ukraine.

III. Scope and focus of the mid-term review

This MTR concerns the first 27 months of the project, i.e., from January, 2019 to March, 2021. The mid-term review covers all project areas. Given the point of time in the project life cycle and given the above-mentioned purpose and objectives, the external mid-term review will look mainly into implementation and processes; and on the review criteria relevance, effectiveness, efficiency, management and gender; while assessing progress towards the potential impact and sustainability of the project.

This MTR focuses on the effectiveness, institutional impact, and sustainability⁵, as well as management. It will assess whether the project is already generating the desired changes based on outputs delivered. It will also assess whether the project is likely continue doing so and whether a change in strategy would lead to even better achievement of outcomes and thus stronger sustainability.

The mid-term review will focus on management processes and structures to identify and mitigate problems in implementation, including acceptance of the project amongst stakeholders, conflicts due to differing interests, sufficiency of qualified personnel, adequacy of communication and coordination amongst implementing partners and with target groups, and adequacy of project duration and funding.

⁵ See Guidance for the preparation of TOR for MTRs of UNIDO Projects, chapter “Glossary of mid-term review related terms”, p. iv.
Evaluation Manual, Vienna 2018 c. 45-46Ta Director General Bulletin: Evaluation Policy, 2018.

IV. Review issues and key questions

The MTR has specific objectives, i.e., **(i)** assess the project performance in terms of relevance, effectiveness, efficiency, sustainability, and progress to impact; and **(ii)** Develop a series of findings, lessons, and recommendations for enhancing the design of the implementation of UNIDO project.

Therefore, the MTR will look at the following questions:

- What are the key drivers and barriers to achieving the project’s objectives?
- What progress does the midterm GEF Tracking Tool show?
- Is the project’s theory of change still applicable and how can it be improved, following findings of the project’s inception phase?
- Is the project still relevant?
- What are the project’s key results (outputs, outcome, and impact) and is the project on track vis-à-vis the foreseen results?
- What are the factors causing delays (if any) in the achievement of intended results?
- What are the new opportunities which would contribute/should be taken into account to ensure the achievement of intended results?
- What are the risks that could affect project’s timely completion, delivery of its outputs, and achievement of its outcomes in the future?
- How can the risks be overcome?
- How have changes been managed?
- Will the project be completed on time with the remaining resources and the existing context?
- What are the possibilities of scaling and/or replication of the project approach or results?
- What are the lessons regarding the successful and unsuccessful practices of designing, implementing, and managing the project?
- Any other questions related to the thematic area of the project.

IV.1 Mid-term review criteria, questions and rating system

The MTR reviewer will assess and rate projects and programmes based on the following review criteria, grouped into seven categories (i.e., see below from A to G).

Index	Evaluation criteria	Rating
A	Project design assessment	
1	Project design	
2	Project results framework/logframe	
B	Project performance and progress towards results	
3	Relevance	
4	Effectiveness and progress towards results	
5	Efficiency	
C	Project implementation management	
6	Project management	
7	Results-based work planning, monitoring and evaluation systems, reporting	

	Financial management and co-finance	
8	Stakeholder engagement and communication	
D	Sustainability	
E	Gender mainstreaming	
F	Performance of Partners	
G	Remaining barriers to achieving the project expected results	

IV.2 Project specific questions

N/A. The rating is based on a 6-point scale, from highly satisfactory (6) to highly unsatisfactory (1). The above standardised review criteria are further broken down into review questions (see below).

A. Project design assessment

1. Project design

This section provides the MTR's analysis of the design of the project as outlined in the Project Document in order to identify whether the project approach is proving to be effective in reaching the desired results; if not, the MTR should identify the changes needed to get the project back on track.

- Was the project design adequate to address the problems at hand?
- Is the project consistent with the Country's priorities, in the work plan of the lead national counterpart? Does it meet the needs of the target group? Is it consistent with UNIDO's Inclusive and Sustainable Industrial Development? Does it adequately reflect lessons learnt from past projects? Is it in line with the donor's priorities and policies?
- Is the applied project approach sound and appropriate? Is the design technically feasible and based on best practices? Does UNIDO have in-house technical expertise and experience for this type of intervention?
- To what extent is the project design (in terms of funding, institutional arrangement, implementation arrangements, etc.) as foreseen in the project document still valid and relevant?
- Does the project document include a M&E plan? Does the M&E plan specify what, who and how frequent monitoring, review, evaluations and data collection will take place? Does it allocate budget for each exercise? Is the M&E budget adequately allocated (see a M&E sample) and consistent with the logframe (especially indicators and sources of verification)?

2. Project results framework/logframe

This section should provide the MTR's critical analysis of the project's logframe, assesses how the results chain from outputs, outcomes to impact is logical, whether the mid-term and end-of-project targets and indicators are SMART (Specific, Measurable, Achievable, Relevant, Time-bound), and suggest specific amendments/revisions to the indicators or targets, as necessary. The MTR reviewer should provide information on the following issues as the project objectives and relevance, project's expected results, and its indicators and targets, in terms of impact, outcomes, and outputs; the MTR should help the project management to revise the logframe accordingly if needed. This analysis helps determine how well the project is managed based on results (Results-Based Management practice).

The MTR should also assess the extent to which broader development results (i.e. income generation, improved governance, improved access to trade, livelihood benefits, etc.) of the project were factored into project design. The MTR reviewer should help develop new indicators to cover these broader development impacts if they were not included in the logframe, and should also recommend sex-disaggregated indicators, as necessary, to ensure that the development benefits of the project are

fully and adequately included in the project results framework and monitored on an annual basis.

- Expected results: Is the expected result-chain (impact, outcomes and outputs) clear and logical? Does impact describe a desired long-term benefit to a society or community (not as a mean or process), do outcomes describe change in target group's behaviour/performance or system/institutional performance, do outputs describe deliverables that project will produce to achieve outcomes? Are the expected results realistic, measurable and not a reformulation or summary of lower level results? Do outputs plus assumptions lead to outcomes, do outcomes plus assumptions lead to impact? Can all outputs be delivered by the project, are outcomes outside UNIDO's control but within its influence?
- Indicators: Do indicators describe and specify expected results (impact, outcomes and outputs) in terms of quantity, quality and time? Do indicators change at each level of results and independent from indicators at higher and lower levels? Do indicators not restate expected results and not cause them? Are indicators necessary and sufficient and do they provide enough triangulation (cross-checking)? Are they indicators sex-disaggregated, if applicable?
- Sources of verification: Are the sources of verification/data able to verify status of indicators, are they cost-effective and reliable? Are the sources of verification/data able to verify status of output and outcome indicators before project completion?
- Risks: Are critical risks related to financial, social-political, institutional, environmental and implementation aspects and their mitigation measures identified with specific risk ratings? Where possible, are the mitigation measures included in project activities/outputs and monitored under the M&E plan?

B. Project performance and progress towards results

1. Relevance

- How relevant is the project to the:
 - ✓ target groups' needs,
 - ✓ development priorities of the country (national poverty reduction strategy, sector development strategy, etc.),
 - ✓ UNIDO comparative advantages and,
 - ✓ project's donor policies and priorities?
- Are appropriate beneficiary groups being targeted by the project?
- Are the original project objectives (expected results) still valid and pertinent to the target groups? If not, have they been revised? Are the revised objectives still valid in today's context?

2. Effectiveness and progress towards expected results

In this section the MTR reviewer should provide an assessment of achievement of the expected results against the targets and should include a table giving the actual status of achievement of outputs and if possible, outcomes against the project logframe.

The assessment should concern:

- the main results (mainly outputs and if possible, outcomes) of the project and the quantifiable results of the project to-date;
- the extent to which the project achieves its objectives (outputs and outcomes) against the original/revised target(s) (brief analysis of the project progress in achieving the objectives);
- the quality of the results and how the stakeholders perceive it; the feedback of the project beneficiaries and stakeholders on the project effectiveness and evidence/examples from the project to back up the statement;

- target groups reached (i.e. were the right target grouped reached?);
- possibilities to attain the project objectives and utilize the resources assigned for this within the remaining period.

The MTR reviewer should use the table below to analyse and summarize the progress towards the end-of-project targets. Based on the traffic-light assessment, the MTR team should conclude whether the end-of-project target: a) has already been achieved; b) is partially achieved or on target to be achieved by the end of the project; or c) is at high risk of not being achieved by the end of the project and needs attention. Each rating corresponds to the corresponding color: green, yellow, and red.

Expected results	Indicator	Baseline	Mid-term		End-of-project target	Achievement rating	Justification for rating
			Target	Actual			
Impact	(if applicable)						
Outcome 1:	Indicator 1:						
	Indicator 2:						
Outcome 2:	Indicator 3:						
	Indicator 4:						
Output 1:	Indicator 5:						
	Indicator 6:						
Output 2:	Indicator 7:						
	Indicator 8:						
	Etc.						
Etc.							

Traffic-light assessment:

<i>Green = Achieved</i>	<i>Yellow = On the target to be achieved</i>	<i>Red = Not on target to be achieved</i>
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3. Efficiency

The following aspects should be assessed:

- How economically the project resources/inputs (in terms of funding, expertise, time, etc.) are being used to produce results (outputs and outcomes)? What is the quality of expertise/technical assistance provided? Were the expected results achieved within the original budget, and if not, please explain why?
- How timely is the project in producing outputs, initial outcomes and delivering inputs (with least delays)? Based on the work plan, what is the delay or acceleration of implementation period of the project? Were the project's activities in line with the schedule of activities as defined by the project team and annual work plans? Were the disbursements and project expenditures in line with budgets?
- Have the inputs from the donor, UNIDO and Government/counterpart been provided as planned, and were they adequate to meet the requirements?
- Is the project cost-effective compared to similar interventions? Could the project have produced more with the same resources, or the same with less money, or with less delay? Wherever possible, the MTR reviewer should also compare the costs incurred and the time taken to achieve outcomes with that for similar projects.

C. Project implementation

1. Project management

In this section, the MTR reviewer should assess:

- overall effectiveness of project management as outlined in the Project Document (with the view to the following aspects: Have changes been made and are they effective? Are responsibilities and reporting lines clear? Is decision-making transparent and undertaken in a timely manner?) as well as recommend areas for improvement.
- whether the national management and overall coordination mechanisms have been efficient and effective (with the view to the following aspects: Did each partner have assigned roles and responsibilities from the beginning? Did each partner fulfil their role and responsibilities, e.g. providing strategic support, monitoring and reviewing performance, allocating funds, providing technical support, following up agreed/corrective actions)?
- the quality of UNIDO HQ-based management, coordination, monitoring, and technical inputs (with the view to the following aspects: Have the problems been identified timely and accurately? Was the quality support provided timely and effectively? What were the staffing levels, continuity, skill mix and frequency of field visits)?

2. Results-based work planning, monitoring and evaluation, reporting

Results-Based work planning

- Review any delays in project start-up and implementation, identify the causes and examine if they have been resolved.
- Verify if there are any annual work plans, if the work-planning processes are results-based, if the logframe has been used to determine the annual work plan (including key activities and milestone) and suggest ways to re-orientate work planning to focus on results.
- Examine the use of the project's results framework/ logframe as a management tool and review any changes made to it since project start.

Results-based monitoring and evaluation

- Verify whether an M&E system is in place and facilitated timely tracking of progress toward project objectives by collecting information on selected indicators continually throughout the project implementation period; annual project reports are complete and accurate, with well-justified ratings; the information provided by the M&E system is used to improve performance and to adapt to changing needs; and the project has 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 completion; monitoring and self-evaluation are carried out effectively, based on indicators for outputs, outcomes and impact in the logframe; any project steering or advisory mechanism is put in place; performance monitoring and reviews take place regularly.
- Review the monitoring tool currently being used: Do they provide the necessary information? Do they involve key partners? Are they aligned or mainstreamed with national systems? Do they use existing information? Are they efficient? Are they cost-effective? Are additional tools required? How could they be made more participatory and inclusive?
- Examine the financial management of the project monitoring and evaluation budget: Are sufficient resources being allocated to monitoring and evaluation? Are these resources being allocated effectively?
- Assess how the logframe has been used for Monitoring and Evaluation purposes (developing M&E plan, setting M&E system, determining baseline and targets, annual implementation review by the PSC, etc.); if the project team and manager take decisions and corrective actions based on

analysis from M&E system and based on results achieved; if the information on project performance and results achievement is being presented to the PSC to make decisions and corrective actions; if the project team and managers and PSC regularly ask for performance and results information.

Results-based reporting

- Assess how adaptive management changes have been reported by the project management and shared with the PSC.
- Assess how well the project team and partners undertake and fulfil donor and UNIDO reporting requirements (i.e. how have they addressed delays or poor performance, if applicable?).
- Assess how lessons derived from the adaptive management process have been documented, shared with key partners and internalized by partners.

3. Financial management and co-finance

- Review the financial management of the project, with specific reference to the cost-effectiveness of interventions (with the view to the following aspects: Did the project have appropriate financial controls, including reporting and planning, that allowed management to make informed decisions regarding the budget and allowed for timely flow of funds? Was there due diligence in the management of funds and financial audits?).
- Review the changes to fund allocations as a result of budget revisions and assess the appropriateness and relevance of such revisions.
- Assess if the promised co-financing materialized; if the co-financing is being used strategically to help the objectives of the project; if the project team meets with all co-financing partners regularly in order to align financing priorities and annual work plans.

4. Stakeholder engagement and communication

Stakeholder engagement

- Project management: Has the project developed and leveraged the necessary and appropriate partnerships with direct and tangential stakeholders?
- Participation and country-driven processes: Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?
- Participation and public awareness: To what extent has stakeholder involvement and public awareness contributed to the progress towards achievement of project objectives?

Communication

- Internal: Is communication regular and effective? Are there key stakeholders left out of communication? Are there feedback mechanisms when communication is received? Does this communication with stakeholders contribute to their awareness of project outcomes and activities and investment in the sustainability of project results?
- External: Are proper means of communication established or being established to express the project progress and intended impact to the public (is there a web presence, for example? Or did the project implement appropriate outreach and public awareness campaigns?)
- For reporting purposes, write one half-page paragraph that summarizes the project's progress towards results in terms of contribution to sustainable development benefits, as well as global environmental benefits.

D. Sustainability

The MTR should validate whether the risks identified in the Project Document and progress reports or implementations reviews are the most important and assess the following risks to sustainability:

- **Institutional framework and governance risks.** Do the legal frameworks, policies, and governance structures and processes within which the project operates pose risks that may jeopardize sustainability of project benefits?
- **Market risks.** Are there any lack of interest by the public and industrial associations in project that may jeopardize the sustainability of project outcomes? Do the various key stakeholders (entrepreneurs and mentors) participate in the project? Are the participants of low quality, especially in the first years?
- **Financial risks.** What is the likelihood of financial and economic resources not being available once the project ends? (Such resources can be from multiple sources, such as the public and private sectors or income-generating activities; these can also include trends that indicate the likelihood that, in future, there will be adequate financial resources for sustaining project outcomes.)?
- **Climate change risks.** Are there any environmental risks that may jeopardize the sustainability of project outcomes? Are there any project outputs result that are likely to have adverse environmental impacts, which, in turn, might affect sustainability of project benefits?
- **Social and Gender risks.** Are there any social or gender risks that may jeopardize sustainability of project outcomes? What is the risk that the level of stakeholder ownership (including ownership by governments and other key stakeholders) will be insufficient to allow for the project outcomes/benefits to be sustained? Do the various key stakeholders see that it is in their interest that project benefits continue to flow? Is there sufficient public/stakeholder awareness in support of the project's long-term objectives?

E. Gender mainstreaming

- Did the project/programme design adequately consider the gender dimensions in its interventions? If so, was gender considered at the level of project outcome, output or activity?
- Was a gender analysis included in a baseline study or needs assessment (if any)? Were there gender-related project indicators?
- How gender-balanced was the composition of the project management team, the PSC, experts and consultants and the beneficiaries?
- Have women and men benefited equally from the project's interventions? Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision-making authority)?
- Are women/gender-focused groups, associations or gender units in partner organizations consulted and/or included in the project?
- To what extent were socioeconomic benefits delivered by the project at the national and local levels, including consideration of gender dimensions?

Performance of Partners

The performance of individual partners in project design, implementation, supervision and support, M&E and reporting is crucial for the achievement of development effectiveness. This criterion is therefore designed to permit an assessment of how well partners fulfilled the tasks expected of them in the project life cycle. The performance of each partner is examined and reported on separately, as each has a specific function and role to discharge.

The MTR will assess the performance of UNIDO, the government, cooperating institutions (where applicable) and donor with the aim to further improve the project effectiveness. A separate assessment could be made of financiers and the private sector. Below are the key questions to be used for assessing partners' performance. Additional questions may also be posed, depending on the mandate of each partner within the relevant project.

Project partner	<i>Key questions for assessing the performance of partners</i>	Strength	Areas for further strengthening
UNIDO			
Project team in the field	<ul style="list-style-type: none"> • <i>Has the project team discharged its project implementation and management functions adequately (in terms of work planning and executing, monitoring and reviewing performance, allocating funds, and following up agreed/corrective actions)?</i> • <i>Has an effective M&E system been put in place, was it closely link with the logframe, does it generate information on performance and results which is useful for project managers and PSC to make critical decisions?</i> • <i>Has the management of flow of funds and procurement been suitable for ensuring timely implementation?</i> • <i>How proactive and prompt the project team was to ensure timely implementation of recommendations from experts of support missions and HQ-based project managers?</i> 		
UNIDO HQ-based management	<ul style="list-style-type: none"> • <i>How well did UNIDO design the project?</i> • <i>How adequate were project management arrangements and counterpart resources (funding, staff, and facilities) in place at project start-up? Were the roles and responsibilities of partners clarified?</i> • <i>Did UNIDO take the initiative to modify project design and logframe (if required) during implementation in response to any major changes in the context?</i> 		

	<ul style="list-style-type: none"> • <i>How proactive and prompt UNIDO HQ-based project managers are in providing implementation support, supervision, and ensure timely implementations of recommendations from experts; in undertaking necessary follow-up to resolve any implementation bottlenecks?</i> • <i>How active have UNIDO HQ-based managers been in managing the project based on results (ensuring the using of logframe in work-plan, M&E and reporting, asking for information related to performance and results, and use them to make decisions)?</i> 		
Government			
Ministry of Environmental Protection and Natural Resources of Ukraine, Ministry of Economic Development and Trade, State Finance Institution for Innovations	<ul style="list-style-type: none"> • <i>Do local and national government stakeholders support the objectives of the project? Do they continue to have an active role in project decision-making that supports efficient and effective project implementation?</i> • <i>Has the government assumed ownership and fulfilled responsibility for the project?</i> • <i>Were counterpart resources (funds and staffing) provided as planned in the project design?</i> • <i>Did the government ensure suitable coordination of the various departments involved in the project implementation?</i> 		
Others			
Donor	<ul style="list-style-type: none"> • <i>How active has the donor been in reviewing the project performance and implementation?</i> • <i>How proactive and prompt has the donor been in providing necessary support to the project implementation (in terms of decisions on fund installment, approval/rejection of request from project team)?</i> • <i>Does the donor ask for</i> 		

	<p><i>information related to project performance and results?</i></p> <ul style="list-style-type: none"> • <i>To what extent does the donor make decisions based on performance and results information?</i> 		
CSOs/NGOs	<ul style="list-style-type: none"> • <i>Were the partnerships with Industrial associations and clusters pursued?</i> • <i>Was the mechanism developed for a sustainable awareness campaign and project promotion?</i> • <i>Was the established communication and partnerships with the women entrepreneur associations?</i> 		
Privat sector/Investors	<ul style="list-style-type: none"> • <i>Were the partnerships and communication with other UNIDO projects established?</i> • <i>Were the partnerships and communication with the international private sector established?</i> • <i>Were the partnerships and communication with investors and venture funds established?</i> 		

F. Remaining barriers to achieving the project expected results

This section provides an account on barriers and obstacles the project has been facing to achieve its expected results. The MTR should help project team to find the solution to overcome these bottlenecks.

- What have been the principal limiting factors to effective implementation and achievement of objectives?
- What adjustments are required to the project to enhance its effectiveness, ensure that objectives are met, and sustain outcomes?

What are the key constraints to achieve expected results	How to resolve them?	Who can do it?

IV.3 Risk assessment

One of the primary objectives of this MTR is to identify risks to achieving project goals and to provide an “early warning system” to mobilize remedial actions to address risks that are likely to affect the project outcomes.

To conduct risk analysis, the MTR reviewer will complete the table below with the ratings of each standardized MTR criteria, grouped by categories from A to G (see section IV “Mid-term review

criteria, questions and rating system” above) and use a color-coded system to mark the level of risk towards achieving the project results. A review criterion is defined as AT RISK (red) when it has a rating as highly unsatisfactory (1), unsatisfactory (2) and moderately unsatisfactory (3), and NOT AT RISK (green) when it has a rating of moderately satisfactory (4), satisfactory (5) or highly satisfactory (6).

The overall risk rating for the project is based on the number of identified risks for each criteria and category (see the table below). The ratings consist of 3 values: 0-1 risks identified means NO RISK or LOW RISK/the project is on track (green), 2-3 risks imply that the project is in trouble and some corrective action is needed (yellow), and if the number of risks is 3 or more, the project at MTR is highlighted as AT RISK (red), meaning that the project objectives are at risk of not being achieved by the end of the project. A justification for ratings (i.e, qualitative analysis) should be also provided, together with a short recommendation for a remedial action to address risk mitigation.

Categories	Criteria	At Risk (Risk Rating 1-3)	Not at Risk/ (Risk Rating 4-6)	Description		
H. Project performance and progress towards results	2. Relevance					
	3. Effectiveness and progress towards results					
	4. Efficiency					
I. Project implementation management	1. Project management					
	2. Results-based work planning, monitoring and evaluation systems, reporting					
	3. Financial management and co-finance					
	4. Stakeholder engagement and communication					
J.	Sustainability					
K.	Gender mainstreaming					
L.	Performance of Partners					
M.	Remaining barriers to achieving the project expected results					
	Project Risks <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 25%; height: 20px;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> <td style="width: 25%;"></td> </tr> </table>					
	Overall Project Risk Rating <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 100%; height: 20px;"></td> </tr> </table>		Overall Project Rating at MTR–			

Summary:	based on number of identified project risks	
	0-1	L
	2-3	M
	>3	H

V. Review approach and methodology

The MTR will be conducted in accordance with the UNIDO Evaluation Policy⁶ UNEG Norms and Standards for evaluation⁷ and the UNIDO Guidelines for the Technical Cooperation Project and Project Cycle⁸. In addition, the GEF Monitoring and Evaluation Policy⁹ must be followed.

The MTR must provide evidence-based information that is credible, reliable and useful. The evaluator will review all relevant sources of information including documents prepared during the preparation phase (i.e., PIF, Initiation Plan, the Project Document, project reports including Annual Project Review/ project budget revisions, lesson learned reports, national strategic and legal documents, and any other materials that the reviewer considers useful for this evidence-based review). The evaluator will also review the baseline GEF focal area Tracking Tool submitted to the GEF at CEO endorsement, and the midterm GEF focal area Tracking Tool that must be completed before the MTR field mission begins.

The MTR reviewer is expected to follow a collaborative and participatory approach ensuring close engagement with the project management team, government counterparts (the GEF Operational Focal Point), the UNIDO Representative Office, UNIDO-GEF Coordination team, and other key stakeholders.

The review report should describe the full methodology and approach taken for this MTR (as per inception report), specifying all the assumptions, challenges, strengths and weaknesses of the chosen methodological approach.

VI. Time schedule and deliverables

The total duration of this MTR will be 40 *days* over a time period of 12 *weeks* starting in *March 2021*, and shall not exceed five months from when the consultant(s) are hired.

⁶ UNIDO. (2018). Director General's Bulletin: Evaluation Policy (DGB/2018/08) (https://intranet.unido.org/intranet/images/d/d3/UNIDO_Evaluation_Policy_UNIDO-DGB-2018-08_180601.pdf).

⁷ UNEG (2016) Norms and Standards for evaluation (https://intranet.unido.org/intranet/images/d/de/UNEG_Norms_and_Standards-June-2016-E.pdf).

⁸ UNIDO. (2006). Director-General's Administrative Instruction No. 17/Rev.1: Guidelines for the Technical Cooperation Programme and Project Cycle (DGAI.17/Rev.1, 24 August 2006) (https://intranet.unido.org/intranet/images/2/25/TC_Guidelines_20060829_print.pdf).

⁹ (є оновлені The GEF Evaluation Policy 2019 року, тому може ще на них послатися теж?) https://www.gefio.org/sites/default/files/ieo/evaluations/files/gef-me-policy-2019_2.pdf (с. 13-17) https://www.thegef.org/sites/default/files/documents/gef_monitoring_policy_2019.pdf.

VII. Review team composition

The review team will be composed of an external national reviewer with extensive experience and knowledge of monitoring, review and evaluation methodologies. She/he shall be familiar with sustainable energy production, especially biomass. The external reviewer will be closely supported by the project team (HQ and field). The reviewer should have the following competencies/skills:

- Appropriate language skills
- Process management skills, including facilitation skills
- Writing and communications skills
- Good interpersonal skills
- Ability to address relevant cross-cutting thematic issues, including gender
- Adequate understanding of local social and cultural issues
- Adequate mix of national and international expertise

The reviewer must be sensitive to beliefs, manners and customs of the social and cultural environments in which they work. In the light of the United Nations Universal Declaration of Human Rights, reviewers must be sensitive to, and address issues of, discrimination and gender inequality.

Responsibilities:

1. The external national reviewer shall have the responsibility to lead the mid-term review, i.e.
 - a. Carry out a thorough desk review;
 - b. Develop a suitable mid-term review methodology and a mid-term review work plan; share these with the project team at UNIDO for their review and comments, develop interview guidelines and questionnaires for key informants and groups of stakeholders;
 - c. If appropriate, develop a beneficiary survey and conduct a pilot survey in close cooperation with the respective UNIDO resource persons;
 - d. Analyze the data, and be responsible for the drafting of the mid-term review report and share it with the project team at UNIDO HQ;
 - e. Edit and finalize the mid-term review report based on comments received from the project team, and present the mid-term review findings.
2. The external reviewer will be contracted by UNIDO and his/her tasks are specified in the job description attached to these terms of reference
3. The reviewer will be continuously and simultaneously supported by the project manager, respective project staff members, and local counterpart(s) – such as Mr. Alois Mhlanga, Chief EAE/ENE/CTI, Ms. Olga Rataj, Associate Industrial Development Officer EAE/ENE/CTI, Mr. Alaeldin Sayed Ali Mohamed, Project Associate EAE/ENE/CTI, Mr. Igor Kyrylchuk, National Project Coordinator, among others.
4. The reviewer should be able to provide information relevant for follow-up studies, including review verification on request to the GEF up to two years after completion of the review. The UNIDO GEF Coordinator will be briefed on this mid-term review.

VIII. Mid-term review report outline

The mid-term review should include:

- 1. Executive summary**
- 2. Country and project background and context**
Brief up-to date country context and sector-specific issues of concern to the project, reflecting important developments during the project implementation period; and project summary.
- 3. Mid-term review objectives, methodology and process**
Purpose, objectives and users of the mid-term review, scope and focus;
Review issues, key review questions; and
Review approach and methodology to answer the questions based on evidence.
- 4. Project assessment**
This is the key chapter of the report and should address all review categories, criteria and questions and the risk assessment outlined in the TOR. The assessment should be based on factual evidence collected and analyzed from different sources where ever feasible.
- 5. Conclusions, recommendations and follow-up plan**
(Definitions of 'conclusions' and 'recommendations' see glossary.) It is recommended to structure recommendations by addressees, e.g.:
 - UNIDO
 - Government and/or Counterpart Organizations
 - Donor

The follow-up plan should be structured as follows:

Project component/result	Recommendation	Agreed action	Responsibility	Priority & agreed date

Also risks and recommendations for remedial actions should be reflected in the follow-up plan.

- 6. Annexes**
These should include the mid-term review TOR, list of interviewees, documents reviewed, a summary of project identification and financial data, and other detailed quantitative information.

IX. Quality assurance of the mid-term review

The conduct of mid-term reviews is a joint responsibility of the UNIDO project manager (PM) who will lead on substantive and administrative issues, and the UNIDO Quality Monitoring Division (ODG/EVQ/QUA) who will lead on ensuring quality, compliance and credibility.

The project manager (PM) is responsible for initiating and managing the mid-term review, including the preparation of the draft terms of reference (TOR) and the job description (JD) of the review consultant(s). The TOR and JD(s) are finalized jointly by PM and ODG/EVQ/QUA after the review of respective drafts and comments by ODG/EVQ/QUA to ensure quality, compliance and credibility. The PM distributes drafts and final reports to stakeholders, and organizes presentations of preliminary review findings which serve to generate feedback on and discussion of mid-term review findings and recommendations at UNIDO HQ. The PM is responsible for the submission of the final mid-term review report to ODG/EVQ/QUA, ODG/EVQ/IEV, and the GEF Coordination Unit. In addition, ODG/EVQ/QUA will issue the follow-up plan to ensure timely follow-up on the MTR recommendations. Finally, the PM is responsible to report in the successive project progress reports on the implementation of the follow-up plan, and to share the reports with ODG/EVQ/QUA.

The Quality Monitoring Division (ODG/EVQ/QUA) provides quality assurance support and advice to project managers in the form of guidance, ad-hoc advice and feedback on TOR, JDs, review consultant CVs, as well as draft and final reports. ODG/EVQ/QUA is responsible for checking and following up on compliance with mid-term review requirements. For the purpose of quality monitoring, all UNIDO mid-term reviews are subject to quality assessments by ODG/EVQ/QUA. The quality of the mid-term review report will be assessed and rated using the checklist for mid-term review report quality (see Annex 6). This checklist also serves as quality guidance for the PM and is also to be annexed to the mid-term review TOR as quality guidance for the reviewer. ODG/EVQ/QUA works to capture the results of mid-term reviews to build knowledge and information that will later provide the basis for independent evaluation.

X. Annexes of the mid-term review TOR

1. Project fact sheet
2. Project results framework/logframe
3. Project budget information
4. Job Description for the Evaluation Expert
5. Gender guidance generic questions
6. Checklist for mid-term review report quality
7. GEF minimum requirements for M&E
8. GEF required project identification and financial data Reference documents

7.2 Project factsheet

Project Title	The Global Cleantech Innovation Programme for SMEs
UNIDO ERP ID and/or project No.	160246
GEF project ID	9811
Region	Ukraine
Country/-ies	Europe
GEF focal area(s) and operational programme	Climate Change
GEF implementing agency(ies)	UNIDO
GEF executing partner(s)	Ministry of Ecology and Natural Resources, Ministry of Economic Development, Trade and Agriculture of Ukraine, State Finance Institution for Innovation
Project size (FSP, MSP, EA)	MSP
Project CEO endorsement / Approval date	14 th August 2018
Project implementation start date (first PAD issuance date)	1 st Januar 2019
Expected implementation end date (indicated in CEO endorsement/Approval document)	28 th November 2021
Revised expected implementation end date	December 2022
Actual implementation end date	N/A
GEF project grant (excluding PPG, in USD)	USD 1,502,875
GEF PPG (in USD)	USD 50, 000
UNIDO co-financing (in USD)	USD 12,200,000
Total co-financing at GEF CEO endorsement (in USD)	USD 12,200,000
Expected materialized co-financing at project completion (in USD)	N/A
Materialized co-financing at mid-term review completion (in USD)	N/A
Total project cost (excluding PPG and agency support cost, in USD; i.e., GEF project grant + total co-financing at CEO endorsement)	USD 13,702,875
Mid-term review date	March 2021

7.3 Project results framework/logframe

Project Strategy	KPIs/Indicators	Baseline	Target level	Progress to-date
Component 1 – National platform to promote clean technology innovations for global environmental benefits and green jobs in Ukraine				
Outcome 1.1: National level platform/coordinating mechanism established to promote clean energy technology innovations and entrepreneurship				
<p>Output 1.1.1.</p> <p>GCIP Ukraine platform established, 3 annual Cleantech Accelerator conducted across selected SME clusters</p>	<ul style="list-style-type: none"> GCIP platform established Number of methodologies and guidelines for the competition developed; Number of competition entries, number of semi-finalists and finalists etc. 	<ul style="list-style-type: none"> The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> Specific methodologies and guidelines (gender-responsive) for participation in and execution of the competition and Accelerator program developed; At least 20 entrants per category competition in Year 1 (target of 40% women participants) and at least 30 entrants per category competition in Year 2 onwards (target of 40% women participants/mentors/judges); 	<ul style="list-style-type: none"> The 1st competition of GCIP Ukraine for innovative cleantech startup-projects was conducted; <ul style="list-style-type: none"> The application form for participation in the competition of cleantech innovation startup-projects was developed; 82 applications for competition have been received: <ul style="list-style-type: none"> 37% waste management; 6% wastewater treatment; 28% energy efficiency; 21% renewable energy sources; 5% organic farming; 2% medicine; and 1% other 40 semifinalists were selected (30% of women) 1 guidebook for cleantech competition was developed; and 1 guidebook for judging and 1 guidance for mentoring was developed. The 1st wave of Business Academy GCIP Ukraine was conducted: <ul style="list-style-type: none"> 3 Modules of training program for Business Academy were developed and implemented;

				<ul style="list-style-type: none"> ○ A total of 20 days of training at the Business Academy for 2 groups of semifinalists were held; ○ 1 National Winner, 2nd and 3rd place winners, 6 special nominations, 17 finalists were chosen during the 1st wave of Accelerator Program GCIP Ukraine; ○ 6 training manuals were developed for further implementation in the learning process. <ul style="list-style-type: none"> ● The 2nd competition of GCIP Ukraine for innovative Cleantech startup-projects was conducted; <ul style="list-style-type: none"> ○ 80 applications for competition were received
<p>Output 1.1.2.</p> <p>GCIP community and network maintained</p>	<ul style="list-style-type: none"> ● The number of GCIP community identified and maintained 	<ul style="list-style-type: none"> ● The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> ● At least 6 GCIP communities identified. 	<ul style="list-style-type: none"> ● 6 GCIP communities was identified and maintained (Pakistan, Turkey, Armenia, Moldova, Kazakhstan, South Africa, and Morocco)
<p>Outcome 1.2: Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator</p>				
<p>Output 1.2.1.</p> <p>Post-Accelerator support provided for start-ups and SMEs to access to finance and market entry</p>	<ul style="list-style-type: none"> ● Number of SMEs and Startups trained on product development and market entry; ● Number of investors/ funding mechanism identified. 	<ul style="list-style-type: none"> ● The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> ● At least 60 SMEs and Startups receive training on product development and market entry (with at least 40% being women); ● At least 6 investors identified. 	<ul style="list-style-type: none"> ● 40 selected startup-projects received training on product development and market entry (30% of women); ● Preliminary consultations with 5 potential investors have been conducted; ● 1 startup-project got investments and started their production (Project Uf.Bee); and

Contact has been established with the Tokyo Institute of Technology (as technology partners)

Component 2 – Building national capacity for the support and promotion of clean technology innovations

Outcome 2.1: National institutional capacity built to support and organize the Cleantech competition and accelerator during and beyond project duration

Output 2.1.1:

Capacity building of national institutions and industrial associations to host support and sustain the GCIP, and 15 mentors and 10 judges identified and trained.

<ul style="list-style-type: none"> • Number of national institutions, industrial associations and SME or Startups trained on product development and market entry; • Number of mentors/judges trained 	<ul style="list-style-type: none"> • The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> • At least 15-20 SMEs and/or startups trained per cycle; • At least 15 mentors and 10 judges trained; 	<ul style="list-style-type: none"> • Capacity building of national institution and partners: <ul style="list-style-type: none"> ○ 5 pilot regional accelerator cleantech (Sumy, Kherson, Mykolaiv, Ivano-Frankivsk, and Sloviansk) are at the opening stage; and ○ 22 Universities of Ukraine involved to GCIP Ukraine network; ○ 2 day’s workshop “Current policy and regulatory framework in the field of clean technology innovation and entrepreneurship in Ukraine” was conducted on March 6-7,2019; ○ Participated on “Scale Up Ukrainian Innovations! All Ukrainian Festival of Innovation!” on May 16, 2019; ○ Support of conduction All Ukrainian Competition of Innovations "IntelEco-2019" on February 5, 2019; ○ The 2 day`s workshop "Development of the concept of a training program for representatives of business incubators at the universities of Ukraine and SFII on the development and stimulation of innovation activities" on May 16-17, 2019 was conducted;
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				<ul style="list-style-type: none"> ○ The expert discussion on “Training program for startups. Challenges and possibilities for Ukraine. International experience” on May 23-24, 2019 was conducted; ○ The training for management unit of startup incubators at university, Lviv, October 28-30, 2019; and ○ The expert discussion on "Women in innovation entrepreneurship. Challenges and solutions" on November 27, 2019, was conducted; <ul style="list-style-type: none"> ● 40 selected startup-projects received training on product development and market entry (30% of women); <ul style="list-style-type: none"> ● With 5 business-incubators and accelerators collaboration was established (iHub, Startup School TechUp, Jet Accelerator, Accelerator, Biofarma); <ul style="list-style-type: none"> ● With 5 business associations collaboration was established (Sweden Business Association, European Business Association, Kaizen Institute Ukraine, Association of Industrial Automation of Ukraine, Greencubator); <ul style="list-style-type: none"> ● Currently, as part of the project activity are on the stage of creation: <ul style="list-style-type: none"> ○ Center for Support of Innovation and Technology at the basis of National Academy of Sciences of Ukraine; and
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				<ul style="list-style-type: none"> ○ Startup and Innovation Projects Development Center GCIP Ukraine ● Capacity building of national mentors and experts: <ul style="list-style-type: none"> ○ 18 mentors for work and support of startups were involved; ○ 9 judges for selection of startups were involved; ○ 18 mentors received training on methodology and process of mentoring (45% of women); ○ 9 judges received guidance on the judging process (17% of women); and ○ 3 international and 5 national trainers were involved;
<p>Output 2.1.2:</p> <p>Impact monitoring, advocacy and Promotion.</p>	<ul style="list-style-type: none"> ● Annual Innovation Conference held, GCIP platform established 	<ul style="list-style-type: none"> ● The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> ● At least 1 publication published annually and 1 GCIP platform established. 	<ul style="list-style-type: none"> ● 56 articles about GCIP Ukraine activities published in mass media; ● 275 articles about GCIP Ukraine activities published on social pages of the project, project partners and startups; and ● Pages in social media were created and maintained: Facebook (https://www.facebook.com/CleantechUkraine/?eid=ARA70E3tH-mxzOclR61_-cFStcyFoflqm3fyxzRk9oLL-VshYtpoKEEUJjSgB58LexHE2JiWLFiSLn7), Twitter (https://twitter.com/GCIP_Ukraine) and Telegram channel (CleanTech Ukraine); ● The web-platform of GCIP Ukraine was created and started (https://gcupkraine.com);

				<ul style="list-style-type: none"> • The YouTube channel (GCIP Ukraine) was created and maintained; • 2 videos on a local TV channel about GCIP Ukraine activity were come out; • 4 videos about the finalists of the startup-projects were produced; • 10 video-interview and responses about the Acceleration Program from mentors and participants produced; • 2 promo video about the Acceleration Program GCIP Ukraine, Business Academy and training for Universities was produced; • The promotion campaign "Prominent innovators of Ukraine who shook the world" was conducted in the framework of the opening ceremony of competition for innovative Cleantech startup-projects; • Participation of Ukraine delegation (representatives of PMU, government, SFII, and startup-projects) in the International competition of startups "CleanTech Week 2019" in Vienna, Austria, on October 5-11, 2019;
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				<ul style="list-style-type: none"> • Participation of Acceleration Program GCIP Ukraine finalists in the "Ukrainian Innovation Market 2019" on November 5-7, 2019; • The Awards Ceremony of National Winners and finalists of Acceleration Program GCIP Ukraine 2019 was conducted on November 19, 2019; • For promoting of GCIP Ukraine the printing materials were design and printed: notebooks, pens, bags, and folders; and • The brochures with information of GCIP Ukraine activities were printed.
Component 3 –Policy and regulatory framework strengthened for national Cleantech innovation and entrepreneurship ecosystem				
Outcome 3.1: Policy and Institutional framework strengthened to promote and support clean technology innovations in startups and SMEs.				
<p>Output 3.1.1:</p> <p>Policy analysis report on best practice policies, regulations and incentives required for the promotion of clean technology innovations developed</p>	<ul style="list-style-type: none"> • Policies, regulations and programs amended or developed to create more supportive environment for clean energy technology innovations in/by SMEs 	<ul style="list-style-type: none"> • The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> • Assessment of existing relevant policies and economic sectors requiring support for promotion of Cleantech; Policy assessment report including stakeholder mapping for Cleantech in Ukraine developed. 	<ul style="list-style-type: none"> • The Analytical Review “Current CleanTech Innovation Potential of Ukraine and the ways of it strengthening” was conducted; • The analysis of “Clean Technology Innovation Market in Ukraine: state of the art and prospects” was made; • The analysis of “Potential of Clean Technology innovations commercialization and realization in Ukraine” was made;

				<ul style="list-style-type: none"> • The analysis of “PEST-analysis of factors that influence the development of CleanTech innovation ecosystem in Ukraine” was made; • Work in cooperation with the Ministry of Education and Science of Ukraine: <ul style="list-style-type: none"> ○ Making a contribution to the laws/secondary legislative acts drafting (direct participants in working groups, analytical support, comments and proposals preparation): ○ Analysis of the Draft Law «On Amendments to Certain Legislative Acts of Ukraine on the Activities of Scientific Parks” was made; ○ Analysis of the Draft KCC Resolution "On Amendments to the Decree of the Cabinet of Ministers of Ukraine dated December 17, 1999 No. 2311" On Regulatory and Legal Acts to Ensure the Implementation of the Law of Ukraine "On the Special Regime of Innovative Activities of Technology Parks"; ○ Analysis of the Draft KCC Resolution "On Amendments to the Decree of the Cabinet of Ministers of Ukraine dated December 17, 1999 No. 2311" On Regulatory and Legal Acts to Ensure the Implementation of the Law of Ukraine "On the Special Regime of Innovative Activities of Technology Parks" was made; ○ Analysis of the Draft Resolution of the Cabinet of Ministers of Ukraine "On Amendments to the Resolution of the Cabinet of Ministers of Ukraine of August 6, 2003 No. 1219" On Approval of the Regulation on the Commission on the
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				<p>Organization of the Activities of Technology Parks and Innovative Structures of Other Types";</p> <ul style="list-style-type: none"> ○ Analysis of the Draft Law of Ukraine "On Amendments to the Law of Ukraine" On State Regulation of Activities in the Sphere of Technology Transfer"; <ul style="list-style-type: none"> ● Was made an analysis of the: <ul style="list-style-type: none"> ○ VRU Resolution "On the Concept of Scientific, Technological and Innovative Development of Ukraine" № 916-XIV dated 13.07.1999; ○ Law of Ukraine "On special regime of innovative activity of technological parks" № 991-XIV dated 16.07.1999 (Document status: current, current edition – dated 05.12.2012); ○ Law of Ukraine «On Innovative Activity» № 40-IV від 04.07.2002 (Document status: in force, current redaction – dated 05.12.2012); ○ Resolution of the VRU «On compliance with the legislation on the development of scientific and technical potential and innovative activity in Ukraine» № 1786-IV dated 16.06.2004; ○ Resolution of the VRU «On Recommendations of Parliamentary Hearings on the topic: National Innovation System of Ukraine: Problems of Formation and Implementation» № 1244-V dated 27.06.2007; ○ Resolution of the VRU «On the Recommendations of the Parliamentary Hearings on the topic:" Strategy of innovative development of Ukraine for 2010-
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				<p>2020 in the face of globalization challenges» № 2632-VI dated 21.10.2010;</p> <ul style="list-style-type: none"> ○ Law of Ukraine «On Priority Areas of Innovation Activity in Ukraine» № 3715-VI dated 08.09.2011 (Document status: in force, current redaction – dated 05.12.2012); ○ Law of Ukraine "On Foreign Economic Activity" № 959-XII dated 01.04.1991. (Document status: in force, current redaction – dated 07.02.2019); ○ Law of Ukraine «About investment activity» № 1560-XII dated 18.09.1991. (Document status: in force, current redaction – dated 20.10.2019); ○ Law of Ukraine «On protection of foreign investments in Ukraine» № 1540a-XII dated 10.09.1991. (Document status: in force); ○ Law of Ukraine «On the regime of foreign investment» № 93/96-BP dated 19.03.1996. (Document status: in force, current redaction – dated 25.06.2016); ○ Law of Ukraine «On Amendments to Some Legislative Acts of Ukraine on Abolishing the Obligation of State Registration of Foreign Investments» № 1390-VIII dated 31.05.2016. (Document status: in force); ○ Law of Ukraine «On Amendments to the Law of Ukraine" On Investment Activity "on State Investment Projects» № 1981-VIII dated 23.03.2017. (Document status: in force); ○ Law of Ukraine «On Amendments to Some Legislative Acts of Ukraine on Removing Barriers to Attracting Foreign Investment» № 2058-VIII dated 23.05.2017. (Document status: in force).
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<p>Output 3.1.2:</p> <p>Policy recommendations on how to enhance the clean technology innovation and entrepreneurship ecosystems developed and roadmap in place</p>		<ul style="list-style-type: none"> The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> Roadmap available to highlight necessary improvements of policy framework on cleantech innovations; monitor its implementation progress by PMU 	<ul style="list-style-type: none"> Providing consultancy and informational support to the Intellectual Property Council under Ministry of Economic Development and Trade of Ukraine in particular: participation in drafting legislative acts on Intellectual property rights and on Improving the Legal Protection of Inventions and Utility Models; Draft Law of Ukraine "On Amendments to the Budget Code of Ukraine on Promoting Innovative Activity of Budgetary Institutions", prepared by Ministry of Education and Science of Ukraine (during the public discussions); and National Strategy for the Development of Intellectual Property in Ukraine on the period 20-25 (during the public discussion)
<p>Output 3.1.3:</p> <p>National institutional capacity strengthened for sustainability</p>	<ul style="list-style-type: none"> Number of subnational cleantech stakeholder meetings held 	<ul style="list-style-type: none"> The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> 50 staff from partner and national institutions receive training on competition organization (with at least 40% being women); At least 3 stakeholder meetings held (at least 30% women participants) in 3 years 	<ul style="list-style-type: none"> Representatives of State Finance Institution for Innovations (SFII) were involved in the process of planning the GCIP Ukraine activities and studying the experience of the GCIP Ukraine Business Academy for further use of this experience in the work of SFII. In order to strengthen their experience, they worked as mentors and trainers during the Business Academy for the 1st wave of the GCIP Ukraine Accelerator Program; As part of the project strategy to strengthen the national institutional capacity to better understand the principles of the GCIP Ukraine and to ensure the programme sustainability, the project have: <ul style="list-style-type: none"> 2 persons of the State Agency of energy efficiency and Energy saving of Ukraine involved as mentors for startups;

				<ul style="list-style-type: none"> ○ 8 stakeholder meetings (with Ministry of Ecology and `natural resources of Ukraine and Ministry of Education and Science of Ukraine) was conducted; ○ 2 workshops on discussion the Policy Environment and innovation regulation in Ukraine were conducted. ○ At least 25 representatives from partner and national institutions were involved to the workshops “Current policy and regulatory framework in the field of clean technology innovation and entrepreneurship in Ukraine”, "Development of the concept of a training program for representatives of business incubators at the universities of Ukraine and SFII on the development and stimulation of innovation activities"; ○ “Training program for startups. Challenges and possibilities for Ukraine. International experience”
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Component 4 – Monitoring and Evaluation (M&E)

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

<p>Output 4.1.1:</p> <p>Terminal project evaluation conducted</p>	<ul style="list-style-type: none"> • Tons of GHG emissions directly or indirectly avoided. • Achievement of project targets and improvement in gender mainstreaming 	<ul style="list-style-type: none"> • The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> • Independent terminal evaluation to capture the impact and sustainability of the program 	<ul style="list-style-type: none"> • 9 business plans were developed with the help of COMFAR II software for the winners and finalists of the 1st wave of the GCIP Ukraine Acceleration Program to attract investment in the implementation of the selected projects. GHG emissions reductions did not occur in the specified reporting period (as it is planned in the next period after the launch of startups) • The 2nd meeting of the Steering Committee was organized and conducted on February 19, 2020;
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				<ul style="list-style-type: none"> • Reports of 6 trainings of GCIP Ukraine Business Academy and training for business incubator management at universities; • A report on the mission of the Ukrainian delegation to participate in the Vienna Clean Technology Week, where Ukrainian startup projects were presented; • the Annual Project Report was developed for 2019; • 2020 Work Plan developed;
<p>Output 4.1.2:</p> <p>Documentation of lessons learned and best practices from pilot experience and dissemination</p>	<ul style="list-style-type: none"> • Terminal evaluation report, leaflets/brochures, and case study 	<ul style="list-style-type: none"> • The values of all indicators at the beginning of the project were equal to 0 / no value. 	<ul style="list-style-type: none"> • 1 Terminal evaluation report, at least 2 leaflets/brochures and case study each 	<ul style="list-style-type: none"> • GCIP Ukraine Project brochures (2 redactions) and corporate printing materials (bags, pens and notebooks) were developed and printed; <ul style="list-style-type: none"> ○ 5 training modules of the business academy were developed; ○ Regional & Global Expansion; ○ Marketing & Communication; ○ Creating an effective Investor Presentation; ○ Venture Funding: Angel Investment & Venture Capital; and ○ Business Model Innovation & Validation.

7.4 Project budget information

Project Component	Project outcomes	GEF grant amount	Co-financing	Total
		<i>(excl. PPG) (in USD)</i>	<i>(in USD)</i>	<i>(in USD)</i>
5. National cleantech platform to promote clean technology innovations for global environment benefits and green jobs in Ukraine	5.1. National level platform/coordinating mechanism established to promote clean technology innovations and entrepreneurship 5.2. Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator	650,000	9,800,000	10,450,000
6. Building national capacity to support and promote clean energy technology innovations	6.1. National institutional capacity built to support and organize the GCIP Accelerator during and beyond the project duration	500,000	1,400,000	1,900,000
7. Policy and regulatory framework strengthened to promote and support clean energy innovations. Startups, and SMEs	7.1. Policy and framework strengthened to promote and support clean energy innovations. Startups, and SMEs	145,795	450,000	595,795
8. Monitoring and Evaluation	8.1. Adequate monitoring of all project indicators together with regular evaluations to ensure	75,000	150,000	225,000

	successful project implementation			
Project Management Cost (PMC)		132,080	400,000	532,080
Total Project Cost		1,502,875	12,200,000	13,702,875

(Source: CEO endorsement document)

Expected co-financing source breakdown is as follows:

Sources of Co-financing	Name of Co-financier (source)	Type of Co-financing	Co-financing Amount (USD)
Implementing Agency	UNIDO	Grants	\$50,000
Implementing Agency	UNIDO	In-Kind	\$50,000
Recipient Government	State Finance Institution for Innovations (the Ministry of Economic Development and Trade of Ukraine)	In-kind	\$100,000
Recipient Government	State Finance Institution for Innovations (the Ministry of Economic Development and Trade of Ukraine)	Cash	\$1,800,000
Recipient Government	Institute of Renewable Energy of the National Academy of Sciences	In-kind	\$150,000
Recipient Government	Scientific park of the National University of Life and Environmental Science of Ukraine (NUBIP)	In-kind	\$40,000
Private sector	UKRGASBANK	Loan	\$6,000,000
Private sector	Raiffeisen Bank Avel	Loan	\$4,000,000
Private sector	Greencubator	In-kind	\$10,000
Total Co-financing			\$12,200,00

(Source: CEO endorsement document)

UNIDO GEF-grant disbursement breakdown:

2019	1100	Staff & Intern Consultants	382,20
2019	1500	Local travel	43.202,62
2019	1700	Nat.Consult./Staff	118.323,71
2019	2100	Contractual Services	117.831,72
2019	3000	Train/Fellowship/Study	102.014,92
2019	4500	Equipment	

2019	5100	Other Direct Costs	35.119,26
2019	Result		416.874,43
2020	1100	Staff & Intern Consultants	30.010,97
2020	1500	Local travel	-2.024,51
2020	1700	Nat.Consult./Staff	146.930,26
2020	2100	Contractual Services	27,90
2020	3000	Train/Fellowship/Study	
2020	4500	Equipment	
2020	5100	Other Direct Costs	48.311,94
2020	Result		223.256,56
2021	1100	Staff & Intern Consultants	11.253,94
2021	1500	Local travel	
2021	1700	Nat.Consult./Staff	88.788,28
2021	2100	Contractual Services	
2021	3000	Train/Fellowship/Study	
2021	4500	Equipment	
2021	5100	Other Direct Costs	1.794,98
2021	Result		101.837,20
Result			741.968,19

7.5 Job descriptions



UNITED NATIONS INDUSTRIAL DEVELOPMENT ORGANIZATION

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

Title:	Expert to conduct Mid-term Review
Main duty station and location:	Home-based
Missions:	N/A
Start of contract (EOD):	15.03.2021
End of contract (COB):	15.05.2021
Number of working days:	WAE: 40 working days spread over 2 months

ORGANIZATIONAL CONTEXT

The United Nations Industrial Development Organization (UNIDO) is the specialized agency of the United Nations that promotes industrial development for poverty reduction, inclusive globalization and environmental sustainability. The mission of the United Nations Industrial Development Organization (UNIDO), as described in the Lima Declaration adopted at the fifteenth session of the UNIDO General Conference in 2013, is to promote and accelerate inclusive and sustainable industrial development (ISID) in Member States. The relevance of ISID as an integrated approach to all three pillars of sustainable development is recognized by the 2030 Agenda for Sustainable Development and the related Sustainable Development Goals (SDGs), which will frame United Nations and country efforts towards sustainable development in the next fifteen years.

UNIDO's mandate is fully recognized in SDG-9, which calls to "Build resilient infrastructure, promote inclusive and sustainable industrialization and foster innovation". The relevance of ISID, however, applies in greater or lesser extent to all SDGs. Accordingly, the Organization's programmatic focus is structured in four strategic priorities: Creating shared prosperity; Advancing economic competitiveness; Safeguarding the environment; and Strengthening knowledge and institutions.

Each of these programmatic fields of activity contains a number of individual programmes, which are implemented in a holistic manner to achieve effective outcomes and impacts through UNIDO's four enabling functions: (i) technical cooperation; (ii) analytical and research functions and policy advisory services; (iii) normative functions and standards and quality-related activities; and (iv) convening and partnerships for knowledge transfer, networking and industrial cooperation. Such core functions are carried out in Departments/Offices in its Headquarters, Regional Offices and Hubs and Country Offices.

The Directorate of Environment and Energy (EAE), headed by a Managing Director, aims to integrate and scale-up the energy and environment activities focusing on supporting governments and industries to provide sustainable and resilient soft and hard infrastructure for industrial

development, supporting industries to contribute to climate neutral circular economy, and supporting governments and industries in fulfilling national commitments under multinational climate and environmental agreements. The Directorate consists of the Department of Environment and the Department of Energy.

The responsibility of the Department of Energy (EAE/ENE) is to assist Member States in the transition to a sustainable energy future under the overarching mandate of ISID, through the application of renewable energy for productive uses, adoption of the efficient use of energy by industry and the introduction of low-carbon technologies and processes. In transitioning to a sustainable energy future, the challenges of addressing energy poverty and climate change become an integral part of the Department activities.

The Climate Technology and Innovation Division (EAE/ENE/CTI) is responsible for supporting Member States with access to and uptake of low-carbon, climate friendly and clean energy technologies, innovations and entrepreneurship. It focuses on supporting entrepreneurship and facilitating the establishment of conducive innovation systems. In addition, the Division is also responsible for supporting member states with enabling markets for low-carbon technologies and their use by industry and local communities, thereby contributing to climate mitigations and resilience in recipient countries.

PROJECT CONTEXT

In 2011 the United Nations Industrial Development Organization (UNIDO), in partnership with the Global Environment Facility (GEF), piloted the first Clean Technology Competition for green entrepreneurs and SMEs in South Africa with innovative ideas and concepts in the areas of green buildings, energy efficiency, and renewable energy. Between 2011 and 2017, the GCIP has been implemented in 8 countries (Armenia, India, Malaysia, Morocco, Pakistan, South Africa, Thailand, and Turkey) and has become a global flagship initiative of GEF-UNIDO in promoting Cleantech innovation as a business model, thereby directly engaging the private sector to address environmental challenges.

GCIP has been supporting and nurturing Cleantech entrepreneurs around the world and through the promotion of Cleantech startups and SMEs.

The project “Global Cleantech Innovation Program for Startups and Small Medium Enterprises in Ukraine” (further referred to as GCIP Ukraine) is financed by the GEF and implemented by UNIDO as the GEF Agency. The project was approved by the GEF in November 2018 and is of duration of three years. GCIP Ukraine primarily aims to promote a Cleantech innovation and entrepreneurship ecosystem in Ukraine by:

- i** Identifying and nurturing Cleantech innovators and entrepreneurs;
- ii** Building capacity within national institutions and partner organizations for the sustainable implementation of the Cleantech ecosystem and accelerator approach; and
- iii** Supporting and working with national and sub-regional policy makers to strengthen the supportive policy framework for SMEs and entrepreneurs through South-South collaboration.

The project has four substantive components:

1. **Component 1:** National platform to promote Cleantech innovations and business models in Ukraine;
2. **Component 2:** Building of national capacities for the support and promotion of clean energy technology innovations;
3. **Component 3:** Policy and regulatory framework for a strengthened national Cleantech innovation and entrepreneurship ecosystem;
4. **Component 4:** Monitoring & Evaluation (M&E).

The main objective of the project is to facilitate the development of a market environment for introducing Energy Efficiency (EE) and enhanced use of Renewable Energy (RE) technologies in the

agro-food and other energy intensive manufacturing SMEs in Ukraine as a basis for promoting their competitiveness while ensuring an integrated approach for lower carbon intensity and improvement in their productivity and local environment. The project is expected to:

- Strengthen the policy and regulatory framework in Ukraine, inducing wide-scale dissemination and adoption of energy efficiency, energy management standards, and renewable energy technologies and processes in energy-intensive industries, particularly SMEs;
- Improve productivity and competitiveness of selected energy-intensive SMEs through reducing fossil fuel consumption and energy costs, increasing compliance with national energy efficiency standards, and increasing use of renewable energy for fuel switching;
- Enhance the strategic capacity of Ukrainian energy-intensive SMEs through creating a support infra-structure for improved EE and RE technologies and providing targeted financing for such investments;
- Scale-up markets for other SMEs for wider coverage of improved EE and RE technologies and standards;
- Increase awareness of energy-intensive SMEs of EE/RE potential; and
- Enhance the capacity of key players to develop and implement EE projects.

In addition to facilitating the creation and strengthening of an enabling policy environment and institutional capacity, GCIP Ukraine also focuses on the organization of annual Accelerator cycles. It also links the Cleantech entrepreneurship and innovation ecosystem of Ukraine to the global network of ecosystems and of renowned innovation incubators and accelerator in other GCIP partner countries.

DUTIES AND RESPONSIBILITIES

The Consultant is expected to evaluate the project according to the Terms of Reference. S/he will act as leader of the evaluation and will be responsible for preparing the draft and final evaluation report, according to the standards of the UNIDO Office for Independent Evaluation. The Consultant will be expected to carry out the following tasks/duties:

MAIN DUTIES	Concrete/ Measurable outputs to be achieved	Expected duration (w/d)	Location
<p>Review project documentation and relevant country background information (national policies and strategies, UN strategies and general economic data)</p> <p>Propose MTR methodology, i.e. among others determine key data to be collected and stakeholders to be interviewed, as well as propose interview questions</p>	<p>Draft inception report (with description of methodology and a draft list of stakeholders to be interviewed, as well as interview questions to be asked)</p>	<p>10 days</p>	<p>Home-based</p>

MAIN DUTIES	Concrete/ Measurable outputs to be achieved	Expected duration (w/d)	Location
<p>Brief the PM and other key stakeholders (video conference) on the draft inception report</p> <p>Finalize the inception report based on comments received, incl. a detailed MTR schedule</p>	Final inception report, incl. a detailed MTR schedule	2 days	Home-based
<p>Brief reviewer(s) in the field, test MTR methodology, conduct field visits, interviews, etc. (according to the MTR schedule)</p> <p>Debrief stakeholders in the field, i.e. present preliminary findings and recommendations</p>	<p>Collection of data (meetings, questionnaires, etc. – according to the MTR schedule)</p> <p>Initial findings as well as draft conclusions and recommendations for stakeholders in the country, including the GEF OFP</p>	12 days	Home-based
<p>Prepare draft mid-term review report</p> <p>Share the review report with UNIDO HQ and national stakeholders for feedback and comments</p>	Draft mid-term review report	10 days	Home-based
Revise the draft project review report based on comments from UNIDO Quality Monitoring Division	Final mid-term review report	6 days	Home-based
TOTAL		40 days	

MINIMUM REQUIREMENTS

Education: Advanced university degree in development studies, social sciences, environmental science, chemistry, engineering, or related areas

Technical and functional experience:

- Minimum of five years' experience in conducting and managing reviews or evaluations (of

- development projects), preferably in the field of renewable energy
- Sound qualitative and quantitative methodological skills incl. data collection, management and analysis skills
- Knowledge about renewable energy: GEF operational programs and strategies and about relevant GEF policies such as those on project life cycle, M&E, incremental costs, and fiduciary standards]
- Experience in the review of GEF projects and knowledge of UNIDO activities an asset
- Knowledge about multilateral technical cooperation and the UN, international development priorities and frameworks
- Very good communication, interpretation and writing skills, as well as interpersonal skills.
- Proven leadership capacity

Languages: Fluency in written and spoken English, Ukrainian and Russian are 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 review. 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 with the UNIDO Quality Monitoring Division.

REQUIRED COMPETENCIES

Core values

- Integrity
- Professionalism
- Respect for diversity

Core competencies

- Results orientation and accountability
- Planning and organizing
- Communication and trust
- Team orientation
- Client orientation
- Organizational development an innovation

Managerial competencies

- Strategy and direction
- Judgement and decision-making
- Conflict resolution

7.6 Guidance on integrating gender in mid-term reviews of UNIDO projects and programmes

Introduction

Gender equality is internationally recognized as a goal of development and is fundamental to sustainable growth and poverty reduction. The UNIDO Policy on gender equality and the empowerment of women and its addendum, issued respectively in April 2009 and May 2010 (UNIDO/DGB(M).110 and UNIDO/DGB(M).110/Add.1), provides the overall guidelines for establishing a gender mainstreaming strategy and action plans to guide the process of addressing gender issues in the Organization's industrial development interventions.

According to the UNIDO Policy on gender equality and the empowerment of women:

***Gender equality** refers to the equal rights, responsibilities and opportunities of women and men and girls and boys. Equality does not suggest that women and men become 'the same' but that women's and men's rights, responsibilities and opportunities do not depend on whether they are born male or female. Gender equality implies that the interests, needs and priorities of both women and men are taken into consideration, recognizing the diversity of different groups of women and men. It is therefore not a 'women's issues'. On the contrary, it concerns and should fully engage both men and women and is a precondition for, and an indicator of sustainable people-centered development.*

***Empowerment of women** signifies women gaining power and control over their own lives. It involves awareness-raising, building of self-confidence, expansion of choices, increased access to and control over resources and actions to transform the structures and institutions which reinforce and perpetuate gender discriminations and inequality.*

***Gender parity** signifies equal numbers of men and women at all levels of an institution or organization, particularly at senior and decision-making levels.*

The UNIDO projects/programmes can be divided into two categories: 1) those where promotion of gender equality is one of the key aspects of the project/programme; and 2) those where there is limited or no attempted integration of gender.

Mid-term review managers/reviewers should select relevant questions depending on the type of interventions.

Gender responsive questions

The questions below will help mid-term review managers/reviewers to mainstream gender issues in their mid-term review.

Design

- Is the project/programme in line with the UNIDO¹⁰ and national policies on gender equality and the empowerment of women?
- Were gender issues identified at the design stage?

¹⁰ Once the gender mainstreaming strategy and action plans to guide the process of addressing gender issues in industrial development interventions are developed, the project/programme should align to the strategy or action plans.

- Did the project/programme design adequately consider the gender dimensions in its interventions? If so, how?
- Were adequate resources (e.g., funds, staff time, methodology, experts) allocated to address gender concerns?
- To what extent were the needs and priorities of women, girls, boys and men reflected in the design?
- Was a gender analysis included in a baseline study or needs assessment (if any)?
- If the project/programme is people-centered, were target beneficiaries clearly identified and disaggregated by sex, age, race, ethnicity and socio-economic group?
- If the project/programme promotes gender equality and/or women's empowerment, was gender equality reflected in its objective/s? To what extent are output/outcome indicators gender disaggregated?

Implementation management

- Did project monitoring and self-evaluation collect and analyse gender disaggregated data? Were decisions and recommendations based on the analyses? If so, how?
- Were gender concerns reflected in the criteria to select beneficiaries? If so, how?
- How gender-balanced was the composition of the project management team, the PSC, experts and consultants and the beneficiaries?
- If the project/programme promotes gender equality and/or women's empowerment, did the project/programme monitor, assess and report on its gender related objective/s?

Results

- Have or will women and men benefit equally from the project's interventions? Do the results affect women and men differently? If so, why and how? How are the results likely to affect gender relations (e.g., division of labour, decision making authority)?
- In the case of a project/programme with gender related objective/s, to what extent has the project/programme achieved the objective/s? To what extent has the project/programme reduced gender disparities and enhanced women's empowerment?

7.8 Checklist for mid-term review report quality

Report quality criteria	UNIDO ODG/EVQ/QUA assessment notes	Rating
A. Was the report well-structured and properly written? (Clear language, correct grammar, clear and logical structure)		
B. Was the review objective clearly stated and the methodology appropriately defined?		
C. Did the report present an assessment of progress (or lack thereof) towards achieving outcomes and project objectives?		
D. Was the report consistent with the ToR and was the evidence complete and convincing?		
E. Did the report present a sound assessment of sustainability of outcomes or did it explain why this is not (yet) possible? (Including assessment of assumptions, risks and impact drivers)		
F. Did the evidence presented support the lessons and recommendations? Are these directly based on findings?		
G. Did the report include the review of actual project costs (total, per activity, per source)?		
H. Did the report include an assessment of the quality of both the M&E plan at entry and the system used during the implementation? Was the M&E sufficiently budgeted for during preparation and properly funded during implementation?		
I. Quality of the lessons thus far: Were lessons readily applicable in the context of MTR? Did they suggest new/additional action?		
J. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can these be immediately implemented/acted upon with current resources?		
K. Are the main cross-cutting issues, such as gender, human rights and environment (as applicable to the project), appropriately covered?		
L. Was the report delivered in a timely manner? (Observance of deadlines)		

Rating system for quality of mid-term reviews

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.

7.9 GEF minimum requirements for M&E¹¹

Minimum requirement 1: Project design of M&E

All projects will include a concrete and fully budgeted monitoring and review plan by the time of work program entry for full-sized projects and CEO approval for medium-sized projects. This monitoring and review plan will contain as a minimum:

- SMART indicators for project implementation, or, if no indicators are identified, an alternative plan for monitoring that will deliver reliable and valid information to management;
- SMART indicators for results (outcomes and, if applicable, impacts), and, where appropriate, indicators identified at the corporate level;
- Baseline for the project, with a description of the problem to be addressed, with indicator data, or, if major baseline indicators are not identified, an alternative plan for addressing this within one year of implementation;
- Identification of evaluations and reviews that will be undertaken, such as mid-term reviews or evaluation of activities; and
- Organizational set-up and budgets for monitoring and evaluation.

Minimum requirement 2: Application of project M&E

Project monitoring and supervision will include implementation of the M&E plan, comprising:

- SMART indicators for implementation are actively used, or if not, a reasonable explanation is provided;
- SMART indicators for results are actively used, or if not, a reasonable explanation is provided;
- The baseline for the project is fully established and data compiled to review progress reviews, and reviews/evaluations are undertaken as planned; and

The organizational set-up for M&E is operational and budgets are spent as planned.

¹¹ http://www.thegef.org/gef/sites/thegef.org/files/documents/ME_Policy_2010.pdf

7.10 GEF required project identification and financial data

The external mid-term review report should provide information on project identification, time frame, actual expenditures, and co-financing in the following format, which is modelled after the project identification form (PIF).

I. Dates

Milestone	Expected date	Actual date
Project CEO endorsement/approval date	N/A	14.08.2018
Project implementation start date (PAD issuance date)	N/A	01.01.2019
Original expected implementation end date (indicated in CEO endorsement/approval document)	N/A	28.11.2021
Revised expected implementation end date (if any)	N/A	30.12.2022
Mid-term review completion	15.05.2021	N/A
Terminal evaluation	15.05.2022	N/A
Planned tracking tool date	15.05.2022	N/A

II. Project framework

Project Component	Project outcomes	GEF grant amount	Co-financing	Total
		(excl. PPG) (in USD)	(in USD)	(in USD)
1. National cleantech platform to promote clean technology innovations for global environment benefits and green jobs in Ukraine	1.1. National level platform/coordinating mechanism established to promote clean technology innovations and entrepreneurship 1.2. Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator	650,000	9,800,000	10,450,000
2. Building national capacity to support and promote clean energy technology innovations	2.1. National institutional capacity built to support and organize the GCIP Accelerator during and beyond the project duration	500,000	1,400,000	1,900,000

3. Policy and regulatory framework strengthened to promote and support clean energy innovations. Startups, and SMEs	3.1. Policy and framework strengthened to promote and support clean energy innovations. Startups, and SMEs	145,795	450,000	595,795
4. Monitoring and Evaluation	4.1. Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation	75,000	150,000	225,000
Project Management Cost (PMC)		132,080	400,000	532,080
Total Project Cost		1,502,875	12,200,000	13,702,875

III. Co-financing

Source of co-financing (name of specific co-financiers)	Type of co-financier (e.g. government, GEF agency(ies), Bilateral and aid agency (ies), multilateral agency(ies), private sector, NGO/CSOs, other)	Type of co-financing	Project preparation CEO endorsement/ approval stage (USD)		Project implementation stage (USD)		Total (USD)	
			<i>Expected</i>	<i>Actual</i>	<i>Expected</i>	<i>Actual</i>	<i>Expected</i>	<i>Actual</i>
UNIDO	Implementing Agency	Grants	-	50,000	50,000	-	50,000	-
UNIDO	Implementing Agency	In-Kind	-	50,000	50,000	-	50,000	-
State Finance Institution for Innovations (the Ministry of Economic Development and Trade of Ukraine)	Recipient Government	In-kind	-	100,000	100,000	-	100,000	-
State Finance Institution for Innovations (the Ministry of Economic Development and Trade of Ukraine)	Recipient Government	Cash	-	1,800,000	1,800,000	-	1,800,000	-
Institute of Renewable Energy of the National Academy of Sciences	Recipient Government	In-kind	-	150,000	150,000	-	150,000	-
Scientific park of the National University of Life and Environmental Science of Ukraine (NUBIP)	Recipient Government	In-kind	-	40,000	40,000	-	40,000	-
UKRGASBANK	Private sector	Loan	-	6,000,000	6,000,000	-	6,000,000	-
Raiffeisen Bank Avel	Private sector	Loan	-	4,000,000	4,000,000	-	4,000,000	-
Greencubator	Private sector	In-kind	-	10,000	10,000	-	10,000	-
Total co-financing (USD)					\$12,200,00		\$12,200,00	

7.11 Documents Reviewed

Following is the list of key documents that were reviewed during the MTR process.

1. Annual Reports and PIRs (3) (September 2019, October 2020, June 2021)
2. Quarterly Progress Report (1) (First Quarter 2021)
3. Communications (CleanTech Innovation Digest)
4. Minutes of the PSC Meetings (5) (Jan 2019, Feb 2020, Oct 2020, Jan 2021, May 2021)
5. Project Report (2019-2020)
6. Working Group Meeting Reports (2) (Feb 2020, Feb 2020)
7. Work Plans (3) (Jan-Dec 2019, Jan-Dec 2020, Jan-Nov 2021)
8. Project Document (ProDoc) (1) (August 2018)
9. Policy Workshop Reports (2) (2020, 2020)
10. Training Reports (Oct 2019, Oct 2020,
11. Booklets (2) (2019, 2020) and Manuals (6) (some 2019, some undated)
12. Letters of Co-financing (6)

7.12 List of Interviewees

Organisation	Name of representative	Position	Contacts
Ministry of Environment and Natural Resources	Ms. Olena Miskun	Operational GEF Focal Point, Ministry of Environmental Protection and Natural Resources of Ukraine	miskun@mepr.gov.ua
Ministry of Strategic Industries of Ukraine (a new ministry established in 2020)	Prof. Oleksandr Bondar	Coordinator for cooperation with UNIDO in the Ministry for Strategic Industries of Ukraine, Adviser to the Vice Prime Minister of Ukraine-Minister for Strategic Industries of Ukraine	ukraine.focalpoint@gmail.com +38 067 465 78 65
The State Finance Institution for Innovations (SFII)	Mr. Volodymyr Stavnyuk	Chairman of the Board of the State Finance Institution for Innovation	vvstavnyuk@gmail.com +38 050 370 36 24
The State Agency on Energy Efficiency and Energy Saving (SAEE)	Mr. Kostiantyn Gura	Acting Chairman of the State Agency on Energy Efficiency and Energy Saving of Ukraine	kostiantyn.gura@gmail.com +38 063 979 93 33
The National Academy of Sciences of Ukraine (NASU)	Prof. Kudrya S.O.	Corresponding Member of NASU, Director of the Institute of Renewable Energy of the National Academy of Sciences of Ukraine	sa.kudria@gmail.com +38 067 465 66 68

Donbas State Pedagogical University	Ms. Tatiana Shulyk	Associate professor of the Department of Mathematics and Informatics of State	schulik111@gmail.com +38 095 715 72 04
Kherson National Technical University	(Ms) Prof. Halyna Savina	Vice-Rector for Research and International Relations	savinagalina28@gmail.com +38 067 551 61 38
Sumy State University	Mr. Andriy Piven	coordinator of Startup Center "New Generation"	a.piven@sumdu.edu.ua +38 099 619 96 15
Vasyl Stefanyk Precarpathian National University	(Ms) Prof. Valentyna Yakubiv	Vice-rector of Science	yakubiv.valentyna@pnu.edu.ua +38 096 586 04 11
Petro Mohyla Black Sea National University	Ms. Anna Aleksieieva	Executive secretary of Admissions Committee	anna.aleksieieva86@gmail.com +38 097 732 58 64
GREENCOOL	Mr. Volodymyr Grynko		v.green.com@gmail.com +38 050 480 79 49
Uf.Bee	Ms. Alona Prenkovska		ideas@uf.in.ua +38 066 962 15 46
SaveEcoBot	Mr. Pavlo Tkachenko		kazantip@gmail.com +38 067 612 18 73
UNIDO – Vienna	Olga Rataj		
UNIDO – Vienna	Alaeldin Sayed Ali Mohamed		
UNIDO - Kyiv	Igor Kyrylchuk		
UNIDO - Kyiv	Mykola Kobets		
UNIDO - Kyiv	Kateryna Pernota		
UNIDO - Kyiv	Tetyana Mazayeva		

7.13 Summary of the Project and Financial Data, Evaluation Matrix

7.13.1 Project Factsheet

Project Title	The Global Cleantech Innovation Programme for SMEs
UNIDO ERP ID and/or project No.	160246
GEF project ID	9811
Region	Ukraine
Country/-ies	Europe
GEF focal area(s) and operational programme	Climate Change
GEF implementing agency(ies)	UNIDO
GEF executing partner(s)	Ministry of Ecology and Natural Resources, Ministry of Economic Development, Trade and Agriculture of Ukraine, State Finance Institution for Innovation
Project size (FSP, MSP, EA)	MSP
Project CEO endorsement / Approval date	14 th August 2018
Project implementation start date (first PAD issuance date)	1 st Januar 2019

Expected implementation end date (indicated in CEO endorsement/Approval document)	28 th November 2021
Revised expected implementation end date	December 2022
Actual implementation end date	N/A
GEF project grant (excluding PPG, in USD)	USD 1,502,875
GEF PPG (in USD)	USD 50, 000
UNIDO co-financing (in USD)	USD 12,200,000
Total co-financing at GEF CEO endorsement (in USD)	USD 12,200,000
Expected materialized co-financing at project completion (in USD)	N/A
Materialized co-financing at mid-term review completion (in USD)	N/A
Total project cost (excluding PPG and agency support cost, in USD; i.e., GEF project grant + total co-financing at CEO endorsement)	USD 13,702,875
Mid-term review date	March 2021

7.13.2 Project Budget

Project Component	Project outcomes	GEF grant amount	Co-financing	Total
		<i>(excl. PPG) (in USD)</i>	<i>(in USD)</i>	<i>(in USD)</i>
1. National cleantech platform to promote clean technology innovations for global environment benefits and green jobs in Ukraine	1.1. National level platform/coordinating mechanism established to promote clean technology innovations and entrepreneurship 1.2. Clean technology entrepreneurs identified, coached and promoted during and beyond the GCIP Accelerator	650,000	9,800,000	10,450,000
2. Building national capacity to support and promote clean energy technology innovations	2.1. National institutional capacity built to support and organize the GCIP Accelerator during and beyond the project duration	500,000	1,400,000	1,900,000
3. Policy and regulatory framework strengthened to promote and support clean energy innovations. Startups, and SMEs	3.1. Policy and framework strengthened to promote and support clean energy innovations. Startups, and SMEs	145,795	450,000	595,795
4. Monitoring and Evaluation	4.1. Adequate monitoring of all project indicators together with regular evaluations to ensure successful project implementation	75,000	150,000	225,000
Project Management Cost (PMC)		132,080	400,000	532,080
Total Project Cost		1,502,875	12,200,000	13,702,875

7.13.3 Evaluation Matrix

Evaluation Matrix

Questions Related to:	Lines of inquiries, verifiers, indicators	Primary Means of verification (method)	Data source and location of data collection
Project Design	Has the project been designed well including consultation with stakeholders in project planning and use of M&E	Document review, Interviews	UNIDO, Vienna and PMU, Remote Stakeholder Consultation
Project Relevance	Does the project fit the context of Ukraine?	Document Review	UNIDO, Vienna and PMU
Effectiveness	Comparison of current product quality with baseline conditions	Interviews, observations (if possible)	Remote Stakeholder Consultation, UNIDO, Vienna
Efficiency	Has the money spent been worth it?	Documents (progress reports), Observation (if possible), Interviews	Remote Stakeholder Consultation, UNIDO, Vienna, PMU
Sustainability	Will the benefits of the project continue even after the support from UNIDO is ended?	Documents, Observation (if possible), Interviews	Remote Stakeholder Consultation, UNIDO, Vienna, PMU
Monitoring and Evaluation	Has the project been designed and implemented based on the sound M&E principles?	Documents and Interviews	UNIDO, Vienna and PMU, Remote Stakeholder Consultation