EXECUTIVE SUMMARY

MID-TERM EVALUATION REPORT

Mid-term evaluation of the UNDP/GEF Project: «Standards and Labels for Promoting Energy Efficiency in the Russian Federation».

UNDP project:

Focus Area: Environment

Priority Area: Sustainable Energy

Project Number: 00070781



# Executive summary

## Brief description of project

The project document for “Standards and Labels for Promoting Energy Efficiency in Russia” (herein referred to as the Project) was signed on June 2010. The timeframe for project implementation is 2010-2014. The financing shall be provided in the form of Award accounting for USD 7,810,000. The Federal Ministry of Education and Science of the Russian Federation is to be the executing agency for this Project.

The Project commenced operations in April 2010 with the Project kick-off workshop. The Objective of the project is to reduce electricity consumption and, therefore, СО2 emissions due to the use of energy efficient products for community services, industrial and public buildings, and domestically. As per the past international experience, developing and implementing the energy efficiency labeling standards helps reduce significantly power consumption at minimum costs.

In order to reach this Objective 4 Outcomes were defined:

* 1. Outcome 1. Improve the national and regional legislation and regulatory environment and build up the institutional capacity to implement a comprehensive program for implementation and wide use of energy efficiency standards and labeling
  2. Outcome 2. Develop sets of standards for energy efficiency labeling and other regulatory documents, and public procurement models; establish the controlling and enforcement mechanisms, render assistance in developing the advanced systems and infrastructure for control over the respective execution and certification following the best international practice
  3. Outcome 3. Support for manufacturers and other supply chains agents; establish public-private partnerships; sign voluntary agreements; and have approved the joint strategies for improving energy efficient products competitiveness and their general availability
  4. Outcome 4. Raise awareness and provide access to information for the target group of equipment end users and purchasers, including household and commercial consumers

This report contains the main findings of the Mid-Term Evaluation (hereinafter: MTE) that was carried out of the project along the UNDP guidelines for outcome evaluation methodologies as provided in the UNDP Handbook on Monitoring and Evaluation for Results.

For the purposes of this report, the period of April 2010 until April 2013 will be taken into account.

## Context and purpose of the evaluation

### Context

The project started in May 2010 and is due to be completed in May 2015 and as of the total of 5 years for project implementation 3 years have already passed the overall results achieved up to date and the perspective for the remaining 2 years require evaluation.

### Purpose

The evaluation is being conducted to provide a comprehensive and systematic appraisal of the performance of the project by assessing its project design, process of implementation, achievements vis-à-vis project objectives endorsed by the GEF including any agreed changes in the activities during project implementation which resulted from previous project evaluations. The purpose of the evaluation is to make recommendations to strengthen the project over the remaining 2 years and 40% of the project duration.

## Main conclusions, recommendations and lessons learned

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| --- | --- |
| * Project Component or Objective | **Rating** |
| **Ratings of Relevance, Efficiency and Effectiveness\***  (6 - Highly Satisfactory, 5 - Satisfactory, 4 - Marginally Satisfactory, 3 - Marginally Unsatisfactory, 2 - Unsatisfactory, 1 - Highly Unsatisfactory) | |
| **Project Formulation** | |
| **Overall Project Formulation (Relevance)** | 5 |
| 1. Conceptualization/design | 4 |
| 1. Stakeholder participation | 4 |
| **Project Implementation** | |
| **Implementation Approach (Efficiency)** |  |
| 1. Use of the logical framework | 4 |
| 1. Adaptive management | 4 |
| 1. Use/establishment of information technologies | 4 |
| 1. Operational relationships between the institutions involved | 4 |
| 1. Technical capacities | 4 |
| **Monitoring and Evaluation** | 4 |
| **Stakeholder Participation** | 4 |
| 1. Production and dissemination of information | 4 |
| 1. Local resource users and NGOs participation | 4 |
| 1. Establishment of partnerships | 4 |
| 1. Involvement and support of governmental institutions | 4 |
| **Project Results** | |
| **Overall Achievement of Objective and Outcomes (Effectiveness)** |  |
| 1. Objective | NA |
| 1. Outcome 1 | 4 |
| 1. Outcome 2 | 4 |
| 1. Outcome 3 | 4 |
| 1. Outcome 4 | 4 |
| **Sustainability Ratings\*\***   * (4 - Likely, 3 - Moderately Likely, 2 - Moderately Unlikely, 1 - Unlikely) | |
| **Sustainability** |  |
| 1. Financial sustainability | 4 |
| 1. Institutional sustainability | 3 |
| 1. Socio-economic sustainability | 3 |
| 1. Ecological sustainability | 3 |
| **Overall Project Achievement and Impact** | **4** |

### Main conclusions

The overall impression of the project is that the project rates as MS.

The project rates S in terms of:

* Financial administration
* Project administration
* Execution of task related to developing regulations, standards and legislation.

The project rates MS in terms of:

* Procurement procedures
* Effectiveness of execution of activities in terms of tangibility of results (for example training, awareness raising, PR have received attention during a very short time frame of the project, a clear design for a S&L scheme, a real internet resource, and so on.)
* Impact of activities and outputs
* Stakeholder involvement
* PR

The main areas of improvement:

1. The general idea and design of the project is Satisfactory. However, the formulation of project strategy and design as described in the project’s Prodoc and Logframe can be updated to the demands of today. The project strategy as described in the Logframe and as worked out in the different activities could benefit from improvement. The Objective and Outcomes can stay the same but the Outputs and Activities need a substantive revision. Moreover, project implementation (See comments to the logframe and examples further in this MTE). At the least the Project Manager should reformulate the project tasks in practical terms and agree that with UNDP country and Bratislava office. In several instances the Project Manager couldn’t explain what the meaning of certain outcomes, outputs and activities in the Logframe were. Fore example activity 1.3.3. mentions the “Establishment of a group of adherents to the EE S&L program of the Moscow municipality. Participants in this group will adopt a voluntary obligation to submit their products to EE testing and to exhibit an EE label in their products. The Project Manager mentioned that nobody understands what this activity means. MTE advises to clarify. (further examples provided further in this MTE).
2. The project can improve its reporting skills and practices. When the MTE asked simple questions like: “what is the project about” or “what are the main achievements of the project” or “what is the essence of outcome 2” the project team immediately refers to produced and filed documents. In order for the project to have a bigger effect the project team needs to focus more at presenting the essence and the successes of the project in a more concise, practical and attractive way. Many of the reports submitted for evaluation have no file names, no reference numbers, no Tables of Content, no summaries and so on. This should be improved in the future.
3. Relatively small size of the project team and weakness of the project management
   1. There is the overall attitude that the project team consists of the subcontractors as well. This is not correct. Most of the work is done by independent contractors. These contractors have other jobs and responsibilities and are not employed by the project. A clear distinction should be made between the actual project team and the individual contractors. With the project team consisting of a project manager, senior specialist and an assistant the team has no other option than to outsource most of the activities to independent contractors. These independent contractors cannot really be considered as part of the project team. All the contractors have other primary jobs, sources of income and responsibilities. Consequently there is little capacity building within the team and a resulting dependence of contractors. There is only one project team member doing some legal and technical work. Compared to other projects this is not much. The MTE gave no reason to assume that any of the contractors did not perform or did not work in good faith. Nevertheless, contractors have a singular focus at the particular task contracted and are less concerned with achieving the overall outcomes and the objective of the project. As a result, the project as a whole lacks consistence, coherence and substance. Project management should provide more leadership, vision and technical skills instead of a strong focus at procurement and formal fulfillment of requirements.
   2. The project management and project team consider that the overall project implementation is Satisfactory. The MTE has not been able to discern any proof of self-criticism by the project team or project manager neither has the MTE been provided with any information concerning areas in which the project team and project manager might improve. There is an aggressively defensive attitude towards any criticism. This would be a worrying sign in any organization.

* 1. Project management focuses at activities, outputs, outcomes and objective in this order. Ideally project management would focus first at the overall objective, then at the Outcomes and only after that at the outputs and activities. In the various interviews the interviewees have confirmed the impression that the project team focuses too much at procedures and formalities as a result of which a strong focus at concrete results. Many of the activities carried out and results have an ad-hoc character. One gets the impression that often the “bigger picture” of the project is forgotten and that project management gets lost in administrative details and individual tasks.

1. The project team and project management lacks communication, PR and networking capacities. A PR specialist has been contracted to work one day a week for the project and has been active since May 2013. The MTE has a positive impression of this PR specialist but questions whether one day a week is enough.
2. Procurement procedures are considered to be too cumbersome by project contractors and project management. The MTE advises to raise the ceiling of the amount up to which no tenders need to be held and to simplify procurement procedures in general.
3. Project Coherence is low. The project concerns equipment types that are subject to mandatory S&L and types that are subject to voluntary S&L. Mandatory and voluntary S&L schemes require different approaches. First of all the project needs to draft concise and clear action plans for both voluntary and mandatory equipment types (Plan M and Plan V). Plans M and V should describe what needs to be in place to fulfill Outcome 1 and the overall Objective of the project as stated in the logframe. Then Plans M and V should describe what the total of actions is that should be taken in general to fulfill the Outcome 1. After that Plans M and V should describe what interventions/actions out of this total of actions the project will engage in. After that the workplans should be made, the remaining budget should be contributed to the various activities and the actions should be fitted in the proper places in the logframe and agreed with the necessary bodies. This is what a normal basic constructive approach to the project should be instead of just simply focusing at individual project activities. Such an approach would also have the added benefit that the project team and project manager would have more success in communicating to the outside world what they are actually doing.

1. The project misses a strong lobbying function. When documents are submitted to the different institutions someone should lobby for those documents to be adopted. The MTE advises to strengthen the lobbying function of the project.

### Main achievements of the project after 3 years under implementation are:

1. It hasn’t been possible for this MTE to establish the amount of the reduction of GHG emissions as a result of a market transformation towards more energy efficient building equipment and appliances resulting from the project’s interventions. The MTE hasn’t seen convincing documentary evidence. The MTE was informed that the project organized and held two works (research reports) through all the stages (ToR drafting, tender launch, selection, supervision of work, acceptance of results by working groups, etc.) to assess CO2 emissions reduction over the period 2009 – 2011. The CO2 emissions that were supposedly reduced in that period the project considers as its achievement. However, most of the legislative, training and PR/awareness raising work of the project was done in the second half of 2011 with the results having an impact at best towards the end of 2011. The MTE therefore poses the question to which the observed CO2 emissions reductions were actually a result of the project or simply a result of changing conditions in the market.

On the MTE’s question what project interventions actually caused an increase in the sales of EE equipment the following reply was given by the Project Manager:  
“The Project is not supposed to sell refrigerators. The Project is oriented to create conditions and environment for promotion of EE products through various activities (legal framework, normative base, GOST standards, awareness raising, training, etc.). That is why this impossible to estimate How many EE refrigerators were bought as a result of the project's interventions. This task would be reasonable for a salesman who stands on a market place selling refrigerators.”  
  
And this is exactly the point that the MTE raises. How can CO2 emission reduction be attributed to the project over the time period 2009-2011 when most of the project’s interventions such as work pertaining to legal framework, normative base, GOST standards, awareness raising, training, etc. was only carried out at best towards the second half and end of 2011?

1. The MTE could not come to the conclusion that an institutional, legal and regulatory basis has been established and that the capacity of the national authorities has been built to facilitate introduction and wide-spread application of energy efficiency S&L schemes and their testing at least in one pilot region. Documents have been prepared and submitted to the Moscow City Government and are under consideration. PM could not answer when the documents will be adopted. PM stated that this deliverable is supposed to be achieved by the end of the project. To MTE question how the S&L Scheme can be replicated to a second pilot region if it will only be established in the Moscow City by the end of the project no answer was given. Part of the selected equipment types are subject to mandatory S&L and part to voluntary S&L. MTE advises to set up different implementation plans for the voluntary and mandatory S&L schemes.
2. The NICB / Steering Committee was established but it is meeting only once per calendar year. (Output 1.1). Moreover, various parties taking part in the NICB are also subcontractors to the project and members of the Working Groups which may create governance problems.
3. The project was presented or represented at various seminars 9 times. 1 round table was organized, 1 seminar was organized and 1 meeting with press and experts was organized. There is room for improvement in this area. (Output 1.1)
4. Activity 1.1.4 mentions the “comprehensive monitoring and evaluation program”. On MTE question what this is exactly the PM answered: “I can only guess and do not know. It is a strange formulation. The Prodoc is not clear everywhere. It was written in 2008 and now we can only guess what the person had in mind”. MTE advises to clarify this.
5. Activity 1.1.5. mentions: “Ensure replication of EE S&L schemes in at least one additional pilot region beyond Moscow. Nizhny Novgorod region has been selected for replication. Following completion of initial piloting phase with the Moscow city Government additional regions for replication might be identified.” An agreement was signed with representatives of the Nizhniy Novgorod region for the inclusion of NN oblast in the project as a second pilot region. Apart from the agreement the MTE hasn’t been able to discern any effective actions.
6. Good results were achieved under Output 1.2. Various analyses of legal acts, proposals for amendments and draft legislation have been produced by the project.
7. Under Output 1.3 drafts of administrative acts have been developed but the MTE has not seen any indication of the acts being actually adopted by the Moscow City Government. Also the MTE has seen no results of the implementation – in consultation and cooperation with equipment manufacturers and other stakeholders – of the voluntary EE S&L program in the Moscow municipality, based on and in line with the EE S&L scheme developed under Output 2.1.
8. The MTE has seen no ready designed National S&L schemes for selected power-consuming products. Neither has the MTE seen the emergence of a full cycle verification and enforcement capacity for their implementation based on international best practices.
9. Under Output 2.1 impressive results have been achieved where it concerns the development and adoption of testing and labeling standards. 5 standards have been developed and adopted in 2011. 3 standards have been developed in 2012 and are awaiting adoption and 2 more standards are planned to be developed in 2013.
10. Output 2.2 speaks of a system of compliance testing and certification. Some methods on compliance testing have been drafted. Some work with testing laboratories has been completed.
11. Output 2.3 describes the development of Procurement models for energy efficient equipment. Substantial work has been done towards fulfillment of this Output but the MTE hasn’t been able to discern any complete procurement models for all the selected equipment types.
12. The enhanced interest and strengthened capacity of the local manufacturers and other supply-chain stakeholders to comply with the new EE standards and to bring energy efficiency models to the market at competitive and for the majority of the population affordable prices may have been achieved but this important work requires continuous attention.
13. The Training, Technical Assistance and Awareness Raising of Output 3.1 have almost solely received attention in the time period in between 12.08.2011 and 25.12.2011. MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project.
14. The Working Groups of Output 3.2 have been established but it has been difficult to determine their concrete effect.
15. Output 3.3 prescribes that voluntary agreements on product labeling and incorporation of energy efficiency in the market strategy of manufacturers and other supply-chain stakeholders need to be signed. Two such agreements were signed.
16. Work was done towards the achievement of Output 3.4. It would be good to know to what extent the reports made by organizations such as Ratek, Insolar and Termek actually ended up being used by the manufacturers, distributors, developers and banks.
17. The level to which awareness was enhanced and to which access to non-partial information of residential and commercial clients concerning energy efficiency of targeted appliances can be increased by having a proper Training, Technical Assistance and Awareness Raising plan for the remainder of the project duration.
18. Output 4.1 defines the creation of a “Market monitoring mechanism” to produce updated information on the sales of the target appliances by energy classes. The MTE has not received information about the existence of such a mechanism.
19. The Internet-based information clearinghouse mentioned in Output 4.2 is at this moment a relatively simple website. [www.label-ee.ru](http://www.label-ee.ru). The MTE regards the website to have been established but it wouldn’t go as far as to label it an “information clearinghouse”. As a simple website the site [www.label-ee.ru](http://www.label-ee.ru) is just about passable.
20. Meaningful work was done towards Output 4.3 (Regional awareness campaign for household consumers) but the activities mainly took place during a 4 month period in 2011 and were largely focused at school kids. Much more work will need to be done to come to a satisfactory fulfillment of this Output.
21. Some activities have been carried out under Output 4.4 (Information campaign for large commercial buyers) but the effectiveness of the information campaign is still a question to the MTE and more work will need to be done to come to a satisfactory fulfillment of this Output..
22. Under Output 4.5 sales personnel for household appliances and technical building equipment should be trained. Some trainings have taken place but qualitative and quantitative data hasn’t been received by the MTE yet and effectiveness of the trainings is still a question.

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| Item to be assessed | Achievements | Comments |
| Objective / Outcome / Output / Activity |  |  |
| Objective: The objective of the project is the reduction of GHG emissions by facilitating market transformation towards more energy efficient building equipment and appliances. | Calculations have been submitted. | Calculations are based on research carried out over the period 2009-2011 whereas the project’s activities largely commenced in the second half of 2011. It is not proven to the MTE that CO2 emission reductions were achieved by facilitation by the project of market transformation towards more energy efficient building equipment and appliances. MTE advises to carry out additional calculations covering the period 2011-2013.  Mildly Satisfactory |
| Outcome 1: An institutional, legal and regulatory basis established and the capacity of the national authorities built to facilitate introduction and wide-spread application of energy efficiency S&L schemes and their testing at least in one pilot region during the implementation of the project. | Documents have been prepared and submitted to the Moscow City Government and are under consideration. The MTE hasn’t been able to discern whether the institutional, legal and regulatory basis has been established and whether the capacity of the national authorities to facilitate introduction and wide-spread application of energy efficiency S&L schemes and their testing was built in at least one pilot region during the implementation of the project. | The project should differentiate between voluntary and mandatory schemes according to the different equipment types that the project deals with. This would greatly increase the clarity and transparency of the project. Mildly Satisfactory |
| Output 1.1: National interagency coordination body | The NICB has been established. | MTE questions how effective the NICB can be if it meets only once a year. The MTE also advises to hold bi-annual meetings. Mildly Satisfactory |
| 1.1.1. Establish the National Interagency Coordination Body (NICB). | The NICB has been established and has met 4 times since the inception of the project. | Satisfactory |
| 1.1.2. Confirm the detailed agenda of the activities to be developed under the project, including the detailed work plan, seeking consensus among the members of the National Interagency Coordination Body. | The detailed agenda has been confirmed. | Satisfactory |
| 1.1.3. Organise seminars and round-tables for decision makers of ministries, government agencies, legislators and other policy makers. | The project was presented or represented at various seminars 8 times. 2 round tables were organized, 1 seminar was organized and 1 meeting with press and experts was organized. | The MTE considers that for a 3 year time period this is the minimal result that might have been expected. MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. Mildly Satisfactory |
| 1.1.4. Supervise the implementation of a comprehensive monitoring and evaluation program to track the progress and provide feedback for the improvement/adjustment of the EE S&L instruments implemented. Direct and indirect global environmental benefits (reduction of CO2 emissions) will be assessed and reported, under the overall responsibility of the NICB (see also output 4.1). | ZAO "SKM" sent a letter "Improving normative legal regulation in the field of infoware for events devoted to energy conservation and improving energy efficiency in the field of household equipment and engineering building equipment register formation and maintenance" for the year 2012 to the Ministry of Energy. OOO "GFK-Russia" "Monitoring of energy consumption and GHG emissions estimates for selected household equipment for 2009-2011". OOO "Ensis Technologies" made a report called "Monitoring of of energy consumption and GHG emissions estimates for selected engineering building equipment for 2009-2011" | Work has doubtlessly been done under this activity but one cannot speak of a “Supervision of the implementation of a comprehensive monitoring and evaluation program to track the progress and the provision of feedback for the improvement/adjustment of the EE S&L instruments implemented.  Two reports on GHG emissions reductions have been made but these seem to be general calculations of the hypothetic emissions reduction potential and not the emissions caused by the project as they refer to the period 2009-2011. Mildly Satisfactory. |
| 1.1.5. Ensure replication of EE S&L schemes in at least one additional pilot region beyond Moscow. Nizhny Novgorod region has been selected for replication. Following completion of initial piloting phase with the Moscow city Government additional regions for replication might be identified. | An agreement was signed with representatives of the Nizhniy Novgorod region for the inclusion of NN oblast in the project as a second pilot region. | Apart from the agreement the MTE hasn’t been able to discern any effective actions. Mildly Satisfactory |
| Output 1.2: Provisions for EE S&L under national law |  | According to the project team 80% of the work under output 1.2 has been completed. The MTE has discerned that indeed considerable work was done under this output. For purposes of communication of project results and PR it would be good if a concise and clear overview was made of the project’s achievements in this field. Satisfactory |
| 1.2.1. Prepare proposals for the amendment of the Federal Law on Technical Regulation, or pertinent Government resolutions (see output 2.1), in order to allow the adoption of mandatory energy efficiency labeling and minimum efficiency performance standards (MEPS) at the federal level. | Proposals and amendments were prepared, submitted and accepted for FZ#261. The following FZs have been ammended: "On technical regulations # 261-FZ of 23.11.2009," of 30.12.2009 N 384-FZ, of 30.12.2009 N 385-FZ, of 28.09.2010 N 243-FZ, of 21.07.2011 N 255-FZ, of 30.11.2011 N 347-FZ, of 06.12.2011 N 409-FZ,of 28.07.2012 N 133-FZ). Absence of necessity for amending FZ#184 "On technical regulation" has been justified. | Satisfactory |
| 1.2.2. Review the stipulations that concern EE S&L in the new “Law on Energy Conservation and Energy Efficiency Improvement” and support development of the required secondary regulations. | Reviews were carried out and proposals for amendments were drafted. | Satisfactory |
| 1.2.3. Submit the legal proposals elaborated under activities 1.2.1 and 1.2.2 to the relevant federal ministries, to initiate the public discussion on the suggested amendments or regulations (involving interested ministries) and its submission to the State Duma and the Expert Committee for Technical Regulation of the Federal Government respectively. | The proposals were submitted. | Satisfactory. |
| Output 1.3: Adoption of the required administrative acts for the Moscow pilot region to implement the pilot program |  | Drafts of administrative acts have been developed but the MTE has not seen any indication of the acts being actually adopted by the Moscow City Government. Mildly Satisfactory. |
| 1.3.1. Adopt the required regulations for the Moscow pilot region to allow the implementation of a voluntary EE S&L scheme within the region, including the establishment of legal and administrative rules for such a program. | Regulations have been developed but no have been adopted yet. | This activity requires more attention during the remainder of the project. The project team should increase lobbying efforts vis a vis the Moscow City Government. Mildly Satisfactory |
| 1.3.2. Implement – in consultation and cooperation with equipment manufacturers and other stakeholders – a voluntary EE S&L program in the Moscow municipality (pilot region), based on and in line with the EE S&L scheme developed under Output 2.1. |  | The MTE has seen no results of the implementation – in consultation and cooperation with equipment manufacturers and other stakeholders – of the voluntary EE S&L program in the Moscow municipality, based on and in line with the EE S&L scheme developed under Output 2.1. Mildly Satisfactory |
| 1.3.3. Establish a group of adherents to the EE S&L program of the Moscow municipality. Participants in this group will adopt a voluntary obligation to submit their products to EE testing and to exhibit an EE label in their products. | No result. | The Project Manager mentioned that nobody understands what this activity means. MTE advises to clarify. Mildly Unsatisfactory |
| 1.3.4. Develop and implement EE labeling and minimum energy performance requirements for appliances and technical building equipment purchased under public procurement activities. | EE labeling and minimum energy performance requirements for appliances and technical building equipment purchased under public procurement activities were partially developed but the MTE has seen no signs of their implementation. | The activity states develop and implement. As far as the development is concerned work has been done (according to the project team 80%) but the part relating to implementation requires more attention. Satisfactory. |
| 1.3.5. Prepare a model for replicating local regulatory and public procurement schemes to other Russian regions and implement targeted replication in at least one region (Nizhny Novgorod region). | Agreement has been signed. | The MTE has not been able to clarify what exactly will be replicated as regulatory and public procurement schemes have not yet been implemented in the first pilot region. Mildly Satisfactory |
| Outcome 2: National S&L schemes for selected power-consuming products are designed and proposed and the verification and enforcement capacity for their implementation based on international best practices built. | The project has submitted a number of documents, standards, by laws and legislative acts. This Outcome is still under implementation. | The MTE has seen no indications of National S&L schemes for selected power-consuming products having been designed and proposed. Neither has the MTE discerned the implementation of verification and enforcement capacity for their implementation based on international best practices. Mildly Satisfactory |
| Output 2.1: Energy efficiency testing and labeling standards | The results under this output are impressive where it concerns the development and adoption of testing and labeling standards. 5 standards have been developed and adopted in 2011. 3 standards have been developed in 2012 and are awaiting adoption and 2 more standards are planned to be developed in 2013. | Satisfactory. |
| 2.1.1. Develop test procedures for the selected household appliances and technical building equipment/systems to be published as GOST-standards, following the usual procedures for the elaboration and publication of technical standards (as defined by the International Organization for Standardization). The proposed test procedures will be based on international, in particular ISO/IEC standards. | Proposals on elaboration of interstate standards possessing requirements to EE of household refrigerated equipment and household automative washing mashines were elaborated.  "Elaboration of GOST R ""Energy efficiency.  Glandless standalone circulators and glandless circulators integrated in products.  Informing of consumers about energy efficiency of glandless circulators"". "  Elaboration of GOST R "Energy Efficiency. Household refrigerated devices. Projecting taking into account environmental impact".  Elaboration of GOST R "Energy Efficiency. Household wasing machines. Projecting taking into account environmental impact". | Satisfactory |
| 2.1.2. Continue and refine the market assessments realized in the preparatory phase of the project, with the objective to establish an order of priority and time frame for the inclusion of additional household and technical building equipment in the EE S&L program. | The project team describes the results of this activity as: { Marketing studies to assess market condition (undertaken at a Project preparation stage), as well as to identify priority and terms for inclusion of additional kinds of household and building engineering equipment into the EE S&L Program.} | The MTE could not form a clear picture about the actual work carried out under this activity because: 1. the project team talks about studies (undertaken at a project preparation stage) and 2. as verification sources the same two reports are mentioned as under outcome 1 (i.e. OOO "GFK-Russia" "Monitoring of energy consumption and GHG emissions estimates for selected household equipment for 2009-2011". OOO "Ensis Technologies" made a report called "Monitoring of of energy consumption and GHG emissions estimates for selected engineering building equipment for 2009-2011). Mildly Satisfactory |
| 2.1.3. Develop energy efficiency labels for the selected household appliances and technical building equipment. Label design will be based on surveys among consumers and manufacturers and take into consideration existing labeling schemes, including the EU-label for household appliances and labeling schemes proposed by European manufacturers for building equipment. All relevant stakeholders will be consulted in this process. | Labels for refrigerators and washing machines have been developed but they have not yet been approved. Labels for technical building equipment have not yet been developed. | Still considerable work needs to be done in this area. Mildly Satisfactory |
| 2.1.4. Develop official GOST-standards (new and revised) or equivalent normative documents for energy efficiency labeling of the selected household appliances and technical building equipment. | One GOST R standard was developed and adopted for household washing machines and analogous ones. | If one standard is sufficient to fulfill this activity for the time being then the MTE has no further questions regarding this activity. Mildly Satisfactory |
| Output 2.2: System of compliance testing and certification | See below | Important work has been done under this Output but the MTE hasn’t been able to discern an established “system” of compliance testing and certification. Mildly Satisfactory |
| 2.2.1. Implementing voluntary certification schemes for energy efficiency compliance testing, based on the test procedures (GOST-standards) prepared under activity 2.1.1, compatible with the federal system of compliance certification and registered by the Federal Agency for Technical Regulation and Metrology. The voluntary certification schemes shall be applied by associations of equipment manufacturers and suppliers, under the guidance of the Ministry of Education and Science. | A “methodics draft” on declaring product compliance to EE requirements and labeling product in accordance to indicators was elaborated. Methodics draft was submitted to Rosstandard for approval in 2011. The MTE has seen no proof of the voluntary certification schemes actually being applied by associations of equipment manufacturers and suppliers. | More focus needs to be given to the actual Implementation of the voluntary certification schemes. Mildly Satisfactory. |
| 2.2.2. Reviewing certified test laboratories, in particular ROSTEST laboratories and manufacturers' own manufacturers, and proposing improvements, if necessary. | This has been done. | Satisfactory |
| 2.2.3. Supporting selected certified ROSTEST testing laboratories working with building engineering equipment and appliances; and establishing a test laboratory for household appliance efficiency by OJSC Mosenergosbyt. The laboratory of OJSC Mosenergosbyt will be accredited under the rules of the Federal Agency on Technical Regulation and Metrology, operate on a commercial basis (like ROSTEST laboratories) and focus on the pilot region (Moscow municipality). | The project reports that an agreement on support actions for a test laboratory of OAO "KZH "Biryusa" (Krasnoyarsk) on equipping it with necessary for testing commercial refrigerated equipment units was reached. Rostest did not need any assistance and Mosenergosbyt did not wish to work with the project under this activity as it does not plan to establish a laboratory. | Some work was done under this activity but it seems diverted from the formulation of the original activity. Mildly Satisfactory. |
| Output 2.3: Procurement models for energy efficient equipment |  | Substantial work has been done towards fulfillment of this Output but the MTE hasn’t been able to discern any complete procurement models for all the selected equipment types. Mildly Satisfactory |
| 2.3.1. Develop guidelines, including minimum energy performance standards, for the procurement of technical building equipment and systems (HVAC, industrial air conditioners and fans, pumps), following the technical standards developed under activity 2.1.1 and the energy efficiency labels developed under activity 2.1.3. | Leading principles for engineering building equipment procurement (including minimal EE requirements to engineering equipment, engineering systems, buildings and constructions) were elaborated. Materials were used by ZAO "SKM" when fulfilling work "Elaboration of legislative and other normative acts drafts of Moscow City, including Moscow Government and authorised Moscow executive bodies acts in the field of EE S&L application". Recommendations on placing orders for engineering building equipment and household equipment with regards to their energy efficiency. Materials were submitted to Moscow City Government. Technical guidance to EE labeling systems of buildings, constructions, including engineering systems and equipment was elaborated. | There is a question with regard to the fact that activity 2.3.1 is supposed to be partly based on the output of activity 2.1.3. Activity 2.3.1 deals with technical building equipment whereas 2.1.3 is executed for household equipment. Mildly Satisfactory. |
| Outcome 3: Enhanced interest and strengthened capacity of the local manufacturers and other supply-chain stakeholders to comply with the new EE standards and to bring energy efficiency models to the market at competitive and for the majority of the population affordable prices. | It is hard to assess how many and exactly which local manufacturers and other supply chain stakeholders have an enhanced interest to comply with the new EE standards and to bring EE models to the market at competitive and affordable prices. | The project should better communicate qualitative and quantitative information on the manufacturers and supply chain stakeholders that testify of an enhanced interest and strengthened capacity as a result of the project’s intervention. Mildly Satisfactory |
| Output 3.1: Awareness raising, training and technical support for local manufacturers on product and production technologies |  | This entire output was executed in between 12.08.2011 and 25.12.2011. The same documents are referred to as verification sources for the activities 3.1.1, 3.1.2, 3.1.3, 3.1.4 and 3.1.5. Although it is difficult now, two years later, to ascertain the quality and effect of output 3.1, the fact that awareness raising, training and TA was done in a 5 month time period instead of along the entire duration of the project raises some questions. Mildly Satisfactory |
| 3.1.1. Carry out a survey among manufacturers of household appliances and technical building equipment, in order to identify needs for training and technical assistance in energy efficiency product design. | Surveys were carried out in 2011. | The MTE advises to update the surveys as the relevance of the survey results 2 years later is low. Mildly Satisfactory |
| 3.1.2. Carry out a survey among manufacturers of household appliances and technical building equipment, in order to identify needs for technical assistance in the adaption of production facilities (in combination with activity 3.1.1). |
| 3.1.3. Organise training events and provide technical assistance to local manufacturers of household appliances and technical building equipment, focusing on: energy efficient product design, technical standards, equipment testing and cost. Training events and technical assistance will include transfer of experiences with EE S&L programs by foreign and multi-national appliance and equipment manufacturers. | Trainings were carried out. | Trainings were carried out in a 5 month time period in 2011. Ideally training would be an ongoing component of the project and not a one off event. MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. |
| 3.1.4. Provide technical assistance to local manufacturers of household appliances and technical building equipment with regard to the adaptation of their production facilities due to the production of new, energy efficient models. | Technical Assistance was provided judging by the reports. | TA was carried out in a 5 month time period in 2011. Ideally TA would be an ongoing component of the project and not a one off event. MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. |
| 3.1.5. Provide technical assistance to local manufacturer with regard to the upgrading of their test laboratories, as necessary. | Technical Assistance was provided judging by the reports. | MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. |
| Output 3.2: Working group to elaborate public-private partnerships | No result discovered by the MTE. | PM states that the term PPP is not relevant for this project. PM considers that the WGs and the NICB can be considered as PPPs. Mildly Unsatisfactory |
| 3.2.1. Establish a formal structure of communication and cooperation (working group), including the mentioned private sector participants, the entity in charge of managing the project (Ministry of Education and Science), selected members of the Inter-agency Coordination Body, the "group of adherence" to the program, the Moscow city government and OJSC Mosenergosbyt, and other interested local governments. | Three Working Groups have been created: 1) Technical projecting and analysis of standards and labels schemes, tests for compliance and project implementation; 2) Working Group on normative base development and Moscow pilot program’s implementation; 3) Working Group on strengthening “supply” link in supply chain, marketing and population’s awareness rising. | The MTE has questions about the effective work carried out by the Working Groups as based upon the current information available the working groups seem to have a largely formal and ceremonial function. From the project website it becomes clear that WGs have only met twice in 2011. Mildly Unsatisfactory |
| 3.2.2. Elaborate and set up public-private partnerships to promote the adoption of schemes to promote EE S&L and marketing and sales of energy efficient appliances and equipment. | As a result of this activity the project team wrote: “Participation in the Steering Committee meeting of the EBRD project "Energy Efficient Equipment in Russia"”. | This is not a satisfactory result. Moreover, the most recent participation of the project team in the last Steering Committee meeting of the EBRD project led to complaints about aggressive and dominant behavior of the UNDP project team member present. Unsatisfactory |
| Output 3.3: Voluntary agreements on product labeling and incorporation of energy efficiency in the market strategy of manufacturers and other supply-chain stakeholders | Two agreements were signed. | Some work has been done in the direction of this output but the lion share of the work still seems to lie ahead of the project team. Mildly Satisfactory |
| 3.3.1. Negotiate with manufactures and distributors of household appliances and technical building equipment voluntary agreements for equipment labeling at sales points and inclusion of energy efficiency information in product documentation. | Agreements have been signed with two domestic producers. | If two agreements are deemed to be sufficient result then the MTE has no further questions regarding this activity. Mildly Satisfactory |
| 3.3.2. Develop – in cooperation with manufactures, distributors and large commercial buyers of technical building equipment – guidelines for a system of energy efficiency indicators for new buildings, based on the energy efficiency of building construction and the technical systems covered by this project. | Guidelines for a system of energy efficiency indicators for new buildings, based on the energy efficiency of building construction and the technical systems covered by this project were elaborated. Elaborated materials were submitted to the Ministry of regional development of Russia. Materials were used by the Ministry of regional development when preparation of orders. | Standards of associations (AVOK) on labeling engineering and building equipment is going to be elaborated in 2013.  The project implementation table mentions: “Developed technical guidance for a system of energy efficiency of buildings and constructions, including engineering systems and equipment. Mildly Satisfactory. |
| Output 3.4: Public-private partnerships and joint strategies to make energy efficient products more competitive and affordable to the majority of the population | No PPPs were formed. | PM states that the term PPP is not relevant for this project. PM considers that the WGs and the NICB can be considered as PPPs. Mildly Unsatisfactory |
| 3.4.1. Discuss with both local and foreign manufacturers and distributors of household appliances possible product pricing strategies that encourage the purchase of energy efficient equipment by low and middle income consumers. | The project mentions that possible versions of a price strategy stimulating consumers with a low and average income to purchase EE devices were developed and that the strategy was discussed with Russian and foreign manufacturers and distributors of household equipment. | Mildly Satisfactory. |
| 3.4.2. Assist local manufacturers of household appliances and technical building equipment in the elaboration of business plans and marketing strategies for production and marketing of energy efficient products. | As a result of this activity the project team wrote: “Participation in the Steering Committee meeting of the EBRD project "Energy Efficient Equipment in Russia"”.  The project mentions the development of two business plans and marketing strategy elaboration methods and business plan draft for manufacturing of EE household equipment and engineering building equipment, business plan and marketing strategy for a pilot region were elaborated. | This is not a satisfactory result. Moreover, the most recent participation of the project team in the last Steering Committee meeting of the EBRD project led to complaints about aggressive and dominant behavior of the UNDP project team member present. Unsatisfactory.  After requests the MTE did not receive this business plans (dd 24.07.2013). MTE couldn’t find them on the CD with the project documentation. Apparently they are developed in the same period of in between 12.08.2011 and 25.12.2011 and are verified by the same Ratek and Insolar reports. It turns out that the period of in between 12.08.2011 and 25.12.2011 was one of the most productive periods of the project.  The MTE also didn’t receive information about the extent to which extent the local manufacturers and distributors received actual assistance going beyond the elaboration of a generic business plan (dd 24.07.2013). Unsatisfactory |
| 3.4.3. Assist local manufacturers and distributors of household appliances and technical building equipment in the preparation of promotional materials (folders, advertisements, TV-spots, etc.) for energy efficient products, as well as promotional events, e.g. at sales outlets. | Proposals on eliminating barriers for increasing sales of EE equipment. Proposals on increasing sales of EE products mechanisms, including consumer credits and improving interest of manufacturers were elaborated. Specific proposals on promotion of EE equipment by means of advertisement (advertizing campaign strategy, recommendations on advertisement materials elaboration, examples of ToRs on advertisement b-rolls). Elaborated materials were tested during a sample PR action in a Moscow Trade Mall. Materials were published in magazines "Remont i service electronnoy techniki" and "Pokupaem ot A do Ya".  Also PR actions in 8 malls were held. | Again the lion share of the work in this activity was done in the period of in between 12.08.2011 and 25.12.2011. The MTE did not see the, advertisements, TV-spots, etc. (dd 24.07.2013) MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. Mildly Satisfactory. |
| 3.4.4. Develop a system of preferential consumer credits (based on the existing consumer credit systems) for energy efficient appliances, in cooperation with all relevant stakeholders, including manufacturers and distributors of appliances and finance institutes. | Recommendations were done. | MTE suggests to increase efforts concerning the practical implementation of the recommendations as mentioned in the project implementation table. Mildly Satisfactory. |
| 3.4.5. Develop a system of incentives for large commercial buyers, including the use of "Economic development electricity tariffs (EDET)". | Proposals and system were developed. | Also this happened in the period of in between 12.08.2011 and 25.12.2011. Mildly Satisfactory |
| 3.4.6. Preparation of corporate procurement programs with project developers / general contractors for construction projects (residential and commercial buildings), using certified and labeled technical building equipment. | Corporate purchase programs reflecting significance of energy efficiency criteria and cost-effectiveness when selecting engineering building equipment were developed. | The MTE by 24.07.2013 did not receive information about which project developers / general contractors for construction projects (residential and commercial buildings), are using certified and labeled technical building equipment while applying the corporate procurement programs. Mildly Satisfactory |
| Outcome 4: Enhanced awareness and improved access to non-partial information of residential and commercial clients concerning energy efficiency of targeted appliances | Work has been done towards fulfillment of this outcome. | The MTE is currently of the opinion that the lion share of work towards fulfillment of this outcome still needs to be done. MTE suggests the drafting of a program for Training, Technical Assistance and Awareness Raising for the remaining duration of the project. Mildly Satisfactory |
| Output 4.1: Market monitoring mechanism to produce updated information on the sales of the target appliances by energy classes. | The MTE has not been able to identify a functioning market monitoring mechanism or the start of the creation of one. | The MTE by 24.07.2013 did not receive additional information on this item. Who is supposed to be the owner of this mechanism? Mildly Unsatisfactory. |
| 4.1.1. Finalize the strategy and required software for obtaining, storing and processing the required data at the adequate level of details, including at minimum, the annual sale of different appliances by energy classes and different product categories and sources of origin (local – imported). | Part of the results mentioned under this activity are formulated as: “Marketing studies to assess market condition (undertaken at a Project preparation stage), as well as to identify priority and terms for inclusion of additional kinds of household and building engineering equipment into the EE S&L Program.” | We already came across the exact same reports in 2.1.2 and under Outcome 1 (i.e. OOO "GFK-Russia" "Monitoring of energy consumption and GHG emissions estimates for selected household equipment for 2009-2011". OOO "Ensis Technologies" made a report called "Monitoring of of energy consumption and GHG emissions estimates for selected engineering building equipment for 2009-2011).  This means that work is done in 2013 based upon reports focusing at the period 2009-2011. Mildly Satisfactory |
| 4.1.2. Conclude agreements with the key private and public sector stakeholders to collect and regularly submit the project with the required data. | No result discovered by the MTE. | No result discovered by the MTE. Unsatisfactory |
| 4.1.3. Process and present the data for monitoring the impact of the adopted policies and voluntary schemes as well as the other promotional activities of the project. | No result discovered by the MTE. | No result discovered by the MTE. Unsatisfactory |
| Output 4.2: Internet-based information clearinghouse | www.label-ee.ru | It is a subjective opinion but the MTE deems the website to be far away from an ‘internet based information clearing house’. Moreover, many pages of the website are not functioning yet or have no content. Mildly Unsatisfactory |
| 4.2.1. Develop an internet-based portal that provides - in a user friendly way - information on efficiency ratings and other related information on targeted household appliances and technical building equipment. | www.label-ee.ru | The MTE would advise to make an independent assessment of the website in order to see if the site provides - in a user friendly way - information on efficiency ratings and other related information on targeted household appliances and technical building equipment.  This MTE would question the level of ‘user friendliness’. Mildly Unsatisfactory |
| 4.2.2. Include and regularly update the information presented in the web, in particular energy performance data obtained from certified tests. | www.label-ee.ru | The MTE by 24.07.2013 did not receive the energy performance data obtained from certified tests. |
| 4.2.3. Promote consumer awareness about the internet-based information clearinghouse (in the framework of the activities under outputs 4.2 and 4.3). Websites of stakeholders should provide links to the information clearinghouse. | The project reports to this activity as: “References to Internet-portal www.label-ee.ru have been included into information placed on business cards of the project staff, project staff presentations, project information materials and on web-sites of interested organisations, on UNDP web-site, web-site of Implementation Organisation "RUSDEM-EE".” | The MTE by 24.07.2013 did not receive qualitative and quantitative date on consumer awareness and websites of stakeholders who provide links to the website. Mildly Unsatisfactory. |
| Output 4.3: Regional awareness campaign for household consumers | A number of activities were carried out under this output. | The lion share of the activities under this output were carried out in, again, the period 25.08 2011 - 22.11. 2011. The MTE questions the effectiveness of a 4-month regional awareness campaign. Ideally, an awareness campaign would be something meriting attention during the entire project duration. Only 2 interviews given by the project manager and the PR campaigns in the earlier mentioned 8 malls have taken place at a more recent date (various dates in 2012).  As verification sources in most cases one report of Intekhenergo MRS is mentioned. The MTE would like to see a report or reference from Mosenergosbyt in relation to all the activities mentioned in this output (and preferably in relation to all the activities and outputs where Mosenergosbyt was the recipient or partner). Mildly Satisfactory. |
| 4.3.1. Develop, in cooperation with the Government of the Moscow pilot region and Mosenergosbyt, a regional awareness campaign for household consumers, based on market surveys. | Analysis of real situation in the field of public awareness efforts in work with household consumers as exemplified by OAO "Mosenergosbyt" was carried out. On the base of the conducted analysis a regional program was elaborated, including methodic and didactic materials, training methods and programs on improving energy efficiency of devices for two age-grades. Elaborated materials were submitted to Moscow City Government. | By 24.07.2013 the MTE did not receive answers on the following questions: MTE would like to know if the regional awareness campaign was only focused at the target group of “two age grades”. Please also explain what are the “two age grades”. The materials were submitted to the Moscow City Government. What was done with the materials afterwards?  What was done for the target audience of household consumers? Mildly Satisfactory |
| 4.3.2. Assistance to OJSC Mosenergosbyt in further developing their "Energy Efficiency Consultative Centre" as a customers information centre, exhibiting energy efficient appliances and providing information on energy efficient appliances and practices, including telephone and internet based services. | Barriers for improving efficiency of PR actions and consumers outreach activities in the field of usage of energy efficient equipment were identified. Assistance on further development of "energy efficiency consultative centre" was rendered to OAO "Mosenergysbyt". A collaborative program of "Energy Efficiency Consultative Centre" and the Project activities on EE S&L promotion were elaborated. Assistance on organizing information desks on informing consumers about energy efficient equipment and staff training was rendered. Methodical and information materials on EE labels were elaborated and shared among information service staff. | Mildly Satisfactory |
| 4.3.3. Develop didactic material on appliance energy efficiency and energy efficient practices for residential consumers and for students of primary and secondary education. | Marketing survey for identifying informattion needs of household consumers and pupils was carried out. Didactic materials on EE household equipment and methods of energy efficiency improvement were elaborated regarding two groups of equipment: refrigerators and freezers and washing machines; and regarding two age-groups: elementary primary school and senior school. | Mildly Satisfactory |
| 4.3.4. Organise information and training events on household energy efficiency for the general public and for students of primary and secondary education, including competitions on energy saving ideas and performance. | Educantional methodics was developed. Composition of trainees was identified. Showcase educational events on EE in household were carried out for 120 pupils and 10 teachers and for adults.  Project manager was inerviewed by UN Radio regarding role fo S&L for Promoting of EE products to the Russian market and about the contribution of the UNDP Project  Project manager was interviewed by the Radio "Voice of Russia" regarding problems of EE promotion in Russia and about the activities and achievements of the project.  RP actions of EE equipemnt organised and held in 8 big trade molls. Results of these actions are analysed, recommendations for similar actions developed and delivered to RATEK Association members | Mildly Satisfactory |
| 4.3.5. Assist district offices of Mosenergosbyt and sales outlets in setting up consumer information units/desks on energy efficient equipment. | Places for setting up consumer information units/desks on energy efficient equipment were selected. 5 information groups were creared in district offices of OAO "Mosenergosbyt" and in equipment sales points. Methodical materials for enquirry offices staff were developed and shares among enquirry offices staff. | Mildly Satisfactory |
| Output 4.4: Information campaign for large commercial buyers | Some activities have been carried out under this output. | Mildly Satisfactory |
| 4.4.1. Carry out market research among large commercial buyers of technical building equipment, in order to identify information needs. | Market research among large commercial buyers of engineering building equipment was carried out. Information needs of large commercial buyers were identified. | Mildly Satisfactory |
| 4.4.2. Develop, in cooperation with manufacturers and distributors of technical building equipment, technical documentation regarding the energy efficiency characteristics and options of products, focusing on the voluntary EE labeling scheme of the Moscow city government (activity 1.3.2). | Concept of technical documentation regarding energy efficiency parameters for engineering equipment, engineering systems, buildings and constructions was elaborated. The concept is aimed at Moscow legislative acts and normative and methodical acts ammendment. Materials were used when work implementation by ZAO SKM (See next line).  Recommendations on voluntary usage of EE labeling of engineering building equipment and household appliance were elaborated. (See Recommendations on placing orders for engineering building equipment and household energy consumung equipment with respect of its energy efficiency by ZAO SKM). Materials were submitted to Moscow City Government. | The MTE doesn’t understand to what extent this activity supports the fulfillment of the output 4.4. |
| 4.4.3. Organise information and training events for large commercial buyers and their purchasing officers. | Methodics on information campaign for large projecting organisations, including norms of heat and electricity consumption by buildings, taking into account Russian region peculiarities, was elaborated. Selection approaches in project solutions with usage of EE engineering equipment were proposed. Program on information and educational events on engineering equipment and building energy efficiency for large commercial buyers was elaborated. Training was carried out.  Information materials and methodologies were elaborated and a training session for large commercial buyers and purchase department staff was carried out. Methodologies and training materials delivered to The center for International Industrial cooperation UNIDO in Russia.  Informational an methodological materials developed. Training delivered to trade personnel of big commercial buyers of technical building equipment and to other groups of interested parties. Materials delivered to .... | The MTE by 24.07.2013 did not receive qualitative and quantitative information on the trainings provided within this activity. How many people were trained, what were their functions, they represented which organizations, etc. Also protocols confirming receipt of the training would be appreciated. To whom were the training materials delivered? MTE advises to make this clear and communicate it to the stakeholders. Mildly Satisfactory. |
| Output 4.5: Trained sales personnel for household appliances and technical building equipment | Some trainings have taken place but qualitative and quantitative data hasn’t been received by the MTE yet. | Mildly Satisfactory |
| 4.5.1. Provide training on energy efficient products to sales personnel of household appliances and technical building systems. | Program, methodical and information materials for conducting trainings were elaborated. Trainings in amount of 14-20 hours were conducted for 59 workers of engineering building equipment sales departments from 6 organisations. Information materials and methodologies were elaborated and a training session for large comercial buyers and purchase department staff was carried out. Methodologies and training materials delivered to ...... | The MTE by 24.07.2013 did not receive qualitative and quantitative information on the trainings provided within this activity. How many people were trained, what were their functions, they represented which organizations, etc. Also protocols confirming receipt of the training would be appreciated. To whom were the training materials delivered? MTE advises to make this clear and communicate it to the stakeholders. Mildly Satisfactory. |

### Recommendations

1. Set clear Goals, Objectives and Activities in parallel and in accordance with the logframe. Clarify and simplify the project’s Goals, Objectives, Outcomes and activities without being detrimental to the Objective and Outcomes. Adjust the activities and outputs of the project design with the aim to make the project/logframe design more logical, strategically more relevant and more understandable.  
     
   As an example: Activity 1.1.4 mentions the “comprehensive monitoring and evaluation program”. On MTE question what this is exactly the PM answered: “I can only guess and do not know. It is a strange formulation. The Prodoc is not clear everywhere. It was written in 2008 and now we can only guess what the person had in mind”.  
     
   Another example: How does Activity 4.4.2. “Develop, in cooperation with manufacturers and distributors of technical building equipment, technical documentation regarding the energy efficiency characteristics and options of products, focusing on the voluntary EE labeling scheme of the Moscow city government (activity 1.3.2)” relate to Output 4.4 “Information campaign for large commercial buyers”.
2. Part of the selected equipment types are subject to mandatory S&L and part to voluntary S&L. MTE advises to set up different implementation plans for the voluntary and mandatory S&L schemes.
3. Calculations of CO2 emission reduction are based on research carried out over the period 2009-2011 whereas the project’s activities largely commenced in the second half of 2011. It is not proven to the MTE that CO2 emission reductions were achieved by facilitation by the project of market transformation towards more energy efficient building equipment and appliances. MTE advises to carry out additional calculations covering the period 2011-2013.
4. The project concerns equipment types that are subject to mandatory S&L and types that are subject to voluntary S&L. Mandatory and voluntary S&L schemes require different approaches. First of all the project needs to draft concise and clear action plans for both voluntary and mandatory equipment types (Plan M and Plan V). Plans M and V should describe what needs to be in place to fulfill Outcome 1 and the overall Objective of the project as stated in the logframe. Then Plans M and V should describe what the total of actions is that should be taken in general to fulfill the Outcome 1. After that Plans M and V should describe what interventions/actions out of this total of actions the project will engage in. After that the workplans should be made, the remaining budget should be contributed to the various activities and the actions should be fitted in the proper places in the logframe and agreed with the necessary bodies. This is what a normal basic constructive approach to the project should be instead of just simply focusing at individual project activities. Such an approach would also have the added benefit that the project team and project manager would have more success in communicating to the outside world what they are actually doing.
5. Increase engagement of the stakeholders and engage on a continuous basis. Stakeholder engagement is not a one-off or ad-hoc activity but something that needs to be done during the entire project duration.
6. It is difficult to decrease the complexity of Russian legislation and regulations. Engage only in those legislative or regulative activities where actual effect can be realistically expected. Beyond that, design the EE S&L in such a way that it can function within existing legislative boundaries and reality;
7. Bring in foreign experts (like the people from CLASP or VTT or TNO) who have actual experience in designing and implementing EE S&L schemes to improve the logframe and function as long term project advisors. This MTE lists a number of suggestions in paragraph 4.0.3.b.
8. Complement continuous stakeholder engagement with continuous stakeholder training.
9. Enforce the project team and project management with additional project team members. A senior advisor to the project manager, a PR specialist and internal project analyst/consultant as soon as possible. Bring in communication, PR and networking capacity.
10. Create monthly M&E moments as the project needs more oversight and hands-on management. Set clear goals for the project team and project management and focus at clear deliverables and verify whether actual results achieved are supporting achievement of the outcomes and the final Objective. Teach the project team to manage by and focus on priorities. It is up to the project team and UNDP responsible organs to decide who should do this.
11. Bi-annual MTE type of reviews. Evaluate the results achieved more regularly and more critically. Set clear quarterly targets and deliverables for project team and project manager.
12. Start with a good strategic overview and implementation plan that describes in detail all the steps needed for establishing an EE S&L scheme.
13. Increase focus on capacity building inside the project team and increase attention to sustainability of capacity built outside the team.
14. Extend the project from May 2015 to December 2016. This would give a remaining three and a half years for the project’s implementation.
15. Rework the budget line items so that sufficient funds become available for hiring additional staff, bringing in foreign experts and moving to proper offices.
16. Develop a replication approach foreseeing to establish knowledge transfer, expansion of demonstration projects or capacity building and training.
17. MTE also questions how effective the NICB can be if it meets only once a year. The MTE also advises to hold bi-annual meetings.
18. A project like this should be approached in a structured way. It requires work on the international level of the Customs Union. It requires co-ordination with:
    1. Ministries of Economic Development,
    2. Ministry of Regional Development,
    3. Ministry of Industry and Trade,
    4. Ministry of Energy,
    5. Rosstandart
    6. Government of Moscow
    7. Government of Nizhniy Novgorod.

Doing a project like this without involving all these parties would create risks for the sustainability of its results. The reason for the need of involving all these parties is that there is a large number of diverse matters that need to be resolved. These matters for example relate to:

* 1. harmonization of National Standards and Labels of the member states of the Custom Union,
  2. harmonization, co-ordination and development of the different schemes of voluntary certification that exist at this moment (answering questions such as who is the label operator, who gives the label, what are the independent laboratories),
  3. clarifying the instruments of stimulation of adoption of standards (for example tax incentives, subsidies, esco schemes related to labels),
  4. mandatory advertisement,
  5. EE standards and labels for buildings and EE management of buildings,
  6. establishment of an information system on EE equipment
  7. establishment of a register of EE labeled equipment,
  8. propaganda
  9. education initiatives,
  10. and so on.

This MTE strongly recommends that the project formulates a clear and coherent policy and approach towards tackling this myriad of diverse matters that the project will have to deal with. The knowledge on what to do may exist in the brains of the different experts and contractors but the project would greatly benefit from having this approach written out and discussed with the various stakeholders. Just pointing at the Prodoc and workplans will not be sufficient to come to a satisfactory completion of the project.

### Main interventions: Extension of project duration, Substantive revision of project strategy, Enforcement of project team and project management.

#### Extension of project duration

Project implementation seems to be delayed and the project is likely to require an extension beyond its planned lifetime of five years from May 2010 till May 2015 to for example December 2016. It is unlikely that within the remaining project duration the remaining budget of USD 5,448,741.49 will be spent and all the outcomes will be fulfilled in a satisfactory manner.

Reasons of delay are the slow project start, slow project procurement and moderately unsatisfactory project management for the entire duration of the project and small size of the project implementation team and poor working conditions.

Extension should be granted under the condition that all the recommendations mentioned in this report are implemented.

An extension granted under conditions of an enforced project team and project management and of a substantive revision of the approach to the project implementation strategy in close consultation with project stakeholders should contribute to a successful completion of the project.

#### Substantive revision

It is not guaranteed that the Activities lead to the desired Outputs and the Outputs lead to the desired Outcomes. As such, one may question to what extent the overall project Objective will be reached when maintaining the current project strategy.

The changes suggested during the inception phase were mainly of a textual nature and almost exclusively related to the Final Value Targets.

The current logframe may not provide the best project strategy for achieving the project objectives.

For an EE S&L scheme to be developed logically the following steps need to be taken. These steps can be divided into a PLANNING PHASE and an IMPLEMENTING PHASE.

The PLANNING PHASE should take about half a year. The IMPLEMENTING PHASE should take two to three years. An extension of the project with at least 18 months would be recommendable.

My recommendation would be to:

1. Do a substantive revision based upon a specialist inventory of the actual results achieved and an inventory of the work still needed to be done. This work should be led by an international CTA with a standards and labelling background.
2. Extend the duration of the project with at least one and a half years
3. Make a new three and-a-half-year work-plan (from now till end of 2016) in the case extension is granted or a two year workplan in case extension isn’t granted.
4. Change the logframe by adjusting the activities and outputs while leaving the outcomes and objective unchanged.

#### Enforcement of project team and project management

Ideally the project team and project management would be enforced with additional project team members. A part time international CTA with an S & L background, a senior advisor to the project manager, a PR specialist and internal project analyst/consultant should be considered. Project management needs to be improved.

Monthly M&E moments should be created and clear goals for the project team and project management should be set. The project team should also be steered towards focusing at clear deliverables and verification of whether actual results achieved are supporting achievement of the outcomes and the final Objective. The project team should be stimulated to manage by and focus on priorities.

Considering the current state of the project, reviews should be carried out at least yearly and preferably twice a year either internally by UNDP or by an international CTA. The results achieved should be evaluated more regularly and more critically. Clear quarterly targets and deliverables must be set for the project team and project manager.

It is essential to start with a good strategic overview and implementation plan that describes in detail all the steps needed for establishing an EE S&L scheme; a roadmap for an EE S&L scheme.

The formulation of the outputs of the project design / logframe should be made formulated in a clear and unequivocal manner.

Capacity building inside the project team should be increased and closer attention must be paid to sustainability of capacity built outside the team.

### Lessons learned

1. It is critical to make sure there is a dynamic, experienced Project Team and Project Manager in place with the right skills and experience
2. Agree beforehand on the frequency, form and channels for dissemination of the intermediate and final project results.
3. For increased relevance have regular and meaningful stakeholder consultations. This means going way beyond the rare meetings of the NICB/Steering Committee or working groups. Stakeholder consultation and networking means that one must first create a clear, concise and regularly updated information package and keeping the stakeholder community informed on a continuous basis.
4. When projects include the establishment of electronic and / or media platforms then these outputs should be planned in a detailed way with a clear description of expected results.
5. Procurement procedures for national and international specialists should be in conformity with current market conditions so that the required quality can be attracted and recruited. This comment particularly refers to the long duration of procurement processes and remunerations that are not market conform (for example UNDP rates and remunerations are about half of rates and remunerations at IFIs like EBRD and IFC).
6. In this project the working conditions in the office in use during the MTE are substandard. It wasn’t even possible to conduct a normal MTE at the Project’s offices as there is simply no space to work. Co-locating new projects in the offices where Executing Agencies (i.e. EED in the case of this project) or existing UNDP projects are located will increase effectiveness and budget efficiency.
7. Increased involvement of international experts, from the outset of the project, who bring state of the art know how, international best practices, approaches and methodologies to the project in an early stage of the project will increase the effectiveness of the project. It is better to bring in foreign specialist than send the project team members on international study tours and fact finding trips. A foreign specialist will have a bigger effect and wider dissemination effect.
8. Press and media monitoring should be an integral part of the project. Ideally a PR and communications manager should be responsible for this.
9. Project design should seriously consider the inputs of all stakeholders.
10. Project designs that involve changes in legislation should set modest targets. Legislative changes require ample time to implement, possibly outside the timeframe of the Project.
11. Preparations are required to source specialized consulting services. Preparations include provision of ToRs that are not too restrictive (to not exclude a large number of international consultants), and identifying consultants through referrals, previous contracts or internet searches.