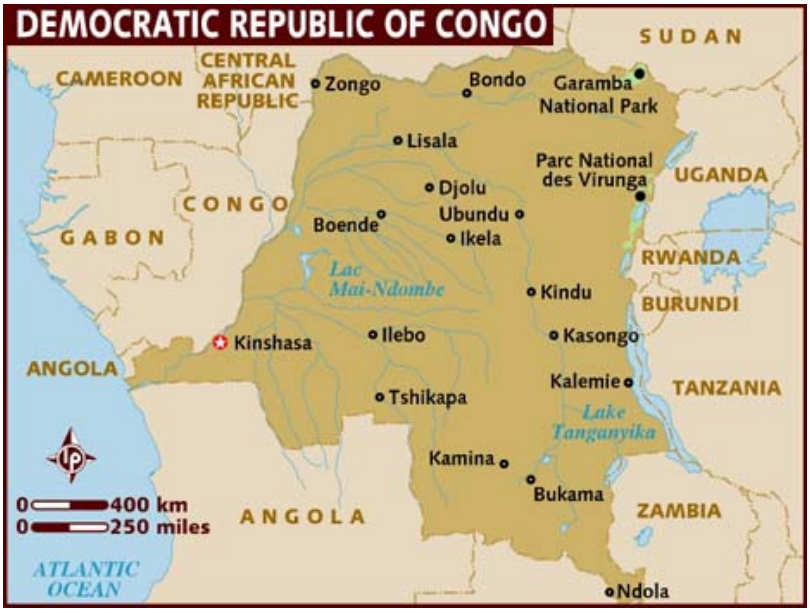
TERMINAL REVIEW OF THE UNEP/GEF ENABLING ACTIVITY 9453

"DEVELOPMENT OF MINAMATA INITIAL ASSESSMENT AND NATIONAL ACTION PLAN FOR ARTISANAL SMALL-SCALE GOLD MINING IN THE DEMOCRATIC REPUBLIC OF CONGO"



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About the Evaluation[1]

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluation

Brief Description: This report is a terminal evaluation of a United Nations Environment Programme (UNEP) Global Environment Facility (GEF) project implemented by UNEP and executed by the United Nations Training and Research (UNITAR) Chemicals and Waste Division. The main objective of the project is to facilitate the ratification and early implementation of the Minamata Convention by promoting the use of scientific and technical knowledge and tools by national stakeholders in the Democratic Republic of Congo (DRC). The project will also enable compliance of DRC to Article 7 (ASGM) of the Minamata Convention on Mercury. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and executing partners including the relevant agencies and stakeholders in the project country.

1. This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

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Project Identification table

Executing Agency:	UNITAR			
Sub-programme:	Chemicals and Health	Expected Accomplishment(s):	Minamata initial assessment and NAP for ASGM in the DRC	
UN Environment approval date:		POW 2016-17 Output(s):	(a)(1); (a)(3); (a)(5)	
GEF project ID:	9454	Project type:	EA	
GEF Operational Programme #:	2	Focal Area(s):	Mercury	
GEF approval date:	31 March 2016	GEF Strategic Priority:	Mercury	
Expected start date:	July 2016	Actual start date:	31 October 2016	
Planned completion date:	30 October 2018	Actual completion date:	March 2020	
Planned project budget at approval:	$ 1,000,000	Actual total expenditures reported as of June 2020:	$ 980,000	
GEF grant allocation:	$ 1,000,000	GEF grant expenditures reported as of June 2020	$ 980,000	
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co- financing:	n/a	
Expected Medium-Size Project/Full-Size Project co-financing:	n/a	Secured Medium-Size Project/Full- Size Project co-financing:	n/a	
First disbursement:	31 October 2016	Date of financial closure:	March 2020	
No. of revisions:	1	Date of last revision:	September 2019	
No. of Steering Committee meetings:	n/a	Date of last/next Steering Committee meeting:	Last:	Next:
Mid-term Review/ Evaluation *(planned date):*	n/a	Mid-term Review/ Evaluation (actual date):	n/a	
Terminal Review *(planned date):*	January 2020	Terminal Review (actual date):	March 2020	
Coverage - Country(ies):	Democratic Republic of Congo	Coverage - Region(s):	Africa	
Dates of previous project phases:	n/a	Status of future project phases:	n/a	

Executive Summary

Evaluation overview

1. This review is the output of the Terminal Review process of the **enabling activity** (EA) entitled "Development of Minamata Initial Assessment (MIA) and National Action Plan (NAP) for Artisanal and Small-scale Gold Mining (ASGM) in the Democratic Republic of Congo (DRC)", executed by UNITAR and co-executed with the Congolese Environment Agency (Agence Congolaise de l'Environnement). The UN Environment Programme (UNEP)/ Global Environment Facility (GEF) total budget was $1,000,000 and in-kind co-financing from the national government.

2. The objective of the MIA and NAP project was to facilitate the ratification and early implementation of the Minamata Convention by the use of scientific and technical knowledge and tools by national stakeholders, thereby setting a baseline of data about the presence of mercury in different environmental media through the inventory of emissions and releases. The assessment also aimed to reinforce the national coordination mechanism on chemicals management, as it is currently operational in the country, by ensuring specific mercury considerations are also addressed without duplicating efforts. The DRC benefitted from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the ASGM sector. The ASGM NAP would be a roadmap for DRC to comply with article 7 of the Minamata Convention. The sharing of experiences and lessons learned throughout the project was also expected to be an important contribution to other countries with similar socio-economic profile within the region.

3. The project covering both MIA and NAP development in the DRC had six components: Component 1: National information exchange, capacity building and knowledge generation, Component 2: Strengthening of Coordination Mechanism and organization of process, Component 3: Assessment of the national infrastructure and capacity for the management of mercury, including national legislation, Component 4: Development of a mercury inventory, a national overview of the ASGM sector, and strategies to identify and assess mercury-contaminated sites, Component 5: Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury Component 6: Preparation, validation, and endorsement of MIA and NAP at national level, implementation of awareness raising activities, and dissemination at national level.

Review Methodology

4. The review analyzed project documentation, country-produced assessment reports, and carried out interviews via telephone, in person, electronic/on-line surveys with relevant persons of the project executing agency (UNITAR), the MIA technical officer, the reviewer of the NAP global component, the DRC national project coordinators and project stakeholders in consultation with the task manager.

Summary of Evaluation Criteria, Assessment and Ratings

Criterion	Rating

A. Strategic Relevance	**Highly satisfactory**
1. Alignment to UN Environment MTS and POW	HS
2. Alignment to GEF/Donor strategic priorities	HS
3. Relevance to regional, sub-regional and national environmental priorities	HS
4. Complementarity with existing interventions	HS
B. Quality of Project Design	**Highly satisfactory**
C. Nature of External Context	**Favourable**
D. Effectiveness	**Satisfactory**
1. Achievement of outputs	S
2. Achievement of direct outcomes	S
3. Likelihood of impact	Likely
E. Financial Management	**Satisfactory**
1.Completeness of project financial information	S
2.Communication between finance and project management staff	S
3.Compliance with UN Environment standards and procedures	S
F. Efficiency	**Satisfactory**
G. Monitoring and Reporting	**Satisfactory**
1. Monitoring design and budgeting	S
2. Monitoring of project implementation	S
3.Project reporting	Complete
H. Sustainability	**Moderately Likely**
1. Socio-political sustainability	L
2. Financial sustainability	ML
3. Institutional sustainability	ML
I. Factors Affecting Performance	**Satisfactory**
2. Quality of project management and supervision	S
3. Stakeholders participation and cooperation	HS
4. Responsiveness to human rights and gender equity	S
5. Country ownership and driven-ness	S
6. Communication and public awareness	S
Overall Project Rating	**Satisfactory**

Key Findings, Lessons Learned and Recommendations

5. The MIA and NAP project would facilitate the DRC ratification and early implementation of the Minamata Convention of Mercury by providing key stakeholders with the scientific and technical knowledge and tools. The enabling project is satisfactory overall with the delivery of key outputs (completed MIA and ASGM NAP, assessment of contaminated sites, strengthening of the National Coordination Committee, awareness and communication) that would benefit the DRC in its ratification and implementation of the Minamata Convention and its sound management of chemicals/mercury and waste.

~~6.~~ The **project design** was **satisfactory**, linking the project to UNEP's Medium-Term Strategy and

Programme of Work, as well as to GEF 5 Strategic Priorities. Relevance to national priorities and needs was highlighted especially in the ASGM sector. It highlighted the links to the country's priorities as embodied in the DRC's UN Development Assistance Framework (UNDAF) pillars 1 (governance), 2 (inclusive green growth and job creation) and 5 (stabilization and consolidation of peace) and the Ministry of Environment's Priority Action Plan especially on chemicals and waste. The project document provided very good background on the DRC's institutional framework and capacities, mercury activities and ASGM sector, existing coordination mechanisms and recognized the external context of a presidential election and presence of armed conflicts in ASGM sites. The **strategic relevance** places the project in the context of UNEP's mandate and GEF's priorities as well as the national priorities and is **satisfactory**

7. The strengths of the design include the strategic relevance, stakeholder analysis, background on DRC mercury and ASGM activities, the governance and supervision arrangements, and the risk identification and social safeguards. The governance and supervision arrangements clearly identified how the project was to be executed and monitored, sharing and defining stakeholder roles and responsibilities, to encourage sound implementation. The financial planning was sound and did not display any deficiencies, and the funding was budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage were well prepared, reasonable and transparent, contributing to its sustainability and overall success. Moreover, the project had a clear Theory of Change presented in narrative form. Stakeholder analysis was robust at the design phase where all relevant government agencies, civil society and mining communities to be engaged were identified. This facilitated a sense of national ownership of the project. Moreover, the very active national coordinators (MIA and NAP) were all motivated and driven to deliver the outcomes. Gender and human rights were highlighted in the project document.

8. In terms of consideration for **external factors** that might affect the project, the project document mentioned political instability and armed conflict in the mining sites that made the project **moderately favourable**.

~~9.~~ The project is **satisfactory for effectiveness,** despite the administrative delays. The delays were due to political instability and armed conflict in ASGM areas, and to allow more time to conduct national consultations/validation, to finalize the reports on challenges and opportunities as well as in drafting the final MIA and NAP. The extension however did not affect the delivery of project outputs. The project made use of existing national coordination mechanism on the sound management of chemicals and waste contributing to its **efficiency**.

10. The project was granted extension upon request of the EA to the IA , and the project was able to deliver the outputs that led to the desired outputs with the following results: The National Coordination Committee was enhanced, and all stakeholders were engaged including civil society via the Stakeholder Advisory Group. The project delivered on the assessment of national infrastructure capacity on mercury management, including relevant national legislations and multilateral environment agreements on chemicals and waste where DRC is signatory. Mercury inventory results were also delivered.

11. Achievement of outcomes and outputs is satisfactory and could be attributed directly to the project which is "enabling" in nature, to the good quality of project design, management and supervision, stakeholders' participation, communication and public awareness. Responsiveness to human rights and gender equity was highlighted in the ASGM NAP. With the delivery of the Democratic Republic of Congo's MIA and submission of the ASGM NAP to the Minamata Convention secretariat, **the likelihood of impact is moderately likely.**

12. The project ensured **sustainability** by engaging local consultants from the academe on how to do mercury inventories. While socio-political and institutional sustainability is likely, financial sustainability after project completion would be moderately likely. There is a need for a regional framework to ensure the project's sustainability by encouraging countries in the subregion (South Africa Development Community) to share data, experiences, and information (such as private sector engagement) to ensure financial sustainability.

13. The project's **strengths** have been the good quality project design, preparation and readiness, stakeholder participation, cooperation and partnerships, smooth collaboration among the government agencies and stakeholders (especially the mining community) in the DRC that delivered on the outputs in both MIA and NAP. There was also regular communication between the executing agency (UNITAR) and the co-executing partner (Congolese Environment Agency) as well as with the implementing agency (UNEP) addressing issues and concerns during implementation. The selection of the appropriate project national coordinators for the MIA and NAP, both from the national government and academe was also considered a strength of the project.

14. This close working relationship among stakeholders in DRC is currently sustained by a "National Chemicals Management on Mercury" that includes government agencies, local government authorities, civil society, academe, local mining communities. This group continues to communicate and meet regularly. The stakeholder analysis at the design phase was thorough and is highly satisfactory, as it includes relevant stakeholders including their interest/influence and their potential role done in consultation with the national government. The robust stakeholder analysis in the design phase facilitated the engagement in project execution. Country ownership and drivenness was evident during project execution.

15. In terms of the process and quality of delivering the MIA and NAP, the project benefitted from a series of reviews by both the EA and the IA "peer reviewers". Furthermore, the GEF ASGM global component also provided valuable review input into the final products.

16. The project's **weaknesses** have been mainly the time management and delays in reporting and delivery that resulted in delays of fund release from IA to EA. While the change in government was anticipated in the project design, a more realistic project timeframe should have been set. The magnitude of the country, differentiating it from other, smaller countries, was not also factored in the design, which also caused delays in project execution in the ASGM sites.

17. The **gender and socio-economic dimensions and links to poverty alleviation** were highlighted in the project document, however there was no sex-disaggregated data in the in the MIA. According to one respondent, the inventory survey did not consider gender thus no sex disaggregated data was available. Nevertheless, gender considerations, ie, on the role of women were highlighted in the ASGM NAP. Reference was made on the vulnerable populations at risk (women, youth, and children) in the ASGM NAP. The links to human rights or its effect on indigenous people is also highlighted in ASGM NAPs.

18. Overall, this enabling project was able to deliver on the outputs and outcomes, with the support of the able executing agencies and the implementing agency Task Manager.

19. Lessons Learned

Lesson 1: Engaging the EA and national EA as well as key stakeholders at the project design stage will ensure better understanding of the project outputs and outcome. These pre-contract meetings could facilitate a sense of ownership and enable addressing country specific needs for project execution. The project was designed by the IA as a standard "enabling" project but would have benefited from consultation or pre-implementation meetings with the EA and national co-executing partners to address country -specific needs such as having a realistic project timeframe given the political instability and armed conflict in the DRC. The Executing Agency must hold pre-implementation information/expectation setting sessions with the country. It is important to engage the EA and stakeholders in the project design stage to have a sense of ownership of the project upfront.

Lesson 2: Specifying activity and monitoring timelines in contracts/agreements between the IA and EA and with the partner executing agency (national EA) will avoid project extensions and ensure timely delivery of outputs. Conduct of simultaneous activities could be considered. This will avoid project extensions and ensure timely delivery of outputs.

Lesson 3: Gender dimensions of chemicals/mercury should be included in the assessment. While the gender and the role of women was highlighted in the MIA and ASGM NAP, there was no emphasis in obtaining sex- aggregated data in the MIA.

Lesson 4: The political instability with several dates of the local elections as well as armed conflicts in ASGM areas caused delays in the project and a more realistic timeframe would benefit the project.

Lesson 5: The magnitude of the country should be considered in the design of the project. Delays of project execution were also due to the time required for the project team to reach the project sites.

Lesson 6: Constant and regular communication between the project IA and EA addressing issues and concerns throughout execution contributes to positive delivery of outputs. The smooth collaboration among the government agencies and stakeholders (especially the mining community) in DRC delivered on the outputs in both MIA and NAP. The selection of the appropriate project national coordinators for the MIA and NAP, both from the national government and academe also contributed to output delivery.

Lesson 7: Project sustainability could be ensured by having socio-political and institutional sustainability such as in the case of the DRC. The DRC needs to engage with other countries in the subregion (Southern Africa Development Community) and agree on a common approach towards financial sustainability such as by engaging the private sector.

20. Recommendations

Taking into account the scope of the evaluation and based on the main findings, conclusions and lessons learned, the recommendations that follow are addressed to UNEP as Implementing Agency UNITAR as executing agency, and to national coordinators to help in the implementation and execution of future projects of similar nature, I,e, "enabling projects" dealing with initial assessments and drafting of national action plans, as well as for countries with a similar socio-economic- political background.

At the design or pre-implementation phase of the project,

Recommendation 1 for the IA and EA: The EA and its executing partner (in this case the national

government) needs to be in contact at the project design stage or before project implementation in order to share expectations and express needs such as consideration for external factors (political instability and presence of armed conflict) . The EA, its executing partner and stakeholders need to be engaged in the project design stage to have a sense of ownership of the project upfront

Recommendation 2 for the IA EA, and national project coordinators: In contracts and agreements, the activity and reporting timelines which has implications in fund release must be clearly specified. Simultaneous activities by task teams that contribute to efficiency could be considered**.** Timely reporting from project coordinators to the EA and consequently to the IA will enable immediate fund release. This will avoid project extensions and ensure timely delivery of projects**.**

Recommendation 3 for IA and EA: Gender, socio-economic (indigenous population) and legal (human rights) experts must be engaged early on in the MIA and NAP. Costing for such experts must be included in project budget.

Recommendation 4 for IA and EA: Political instability such as national elections and armed conflicts should be factored in the timeline of projects. A more realistic timeframe would benefit the project.

Recommendation 5 for IA and EA: The magnitude of the country should be considered in the timeline of project delivery.

Project forecasts both for substantial and financial aspects need to consider recommendations 4 and 5.

During project execution phase,

Recommendation 6 for the IA, EA, and national project coordinators: Constant and regular communication must be maintained between the IA and EA and national coordinators to address issues that may arise during project execution. Designation of the appropriate national coordinators (with track record of delivery) could ensure delivery of project outputs and outcome.

Post-project phase

Recommendation 7 for the IA, EA and national project coordinators: Countries in the subregion (Southern Africa) should be encouraged to share data, experiences, and lessons learned that could be source of information for financial sustainability. Funding for the national implementation plan is not part of this "enabling" project. Subregional collaboration and sharing of data an experience would be valuable and could be facilitated by UNEP and UNITAR which have both carried out similar projects in other countries in the sub-region.

I: Introduction

21. This report presents the terminal review of the **enabling** activity project entitled "Development of Minamata Initial Assessment and National Action Plan for Artisanal Small-scale Gold Mining in the Democratic Republic of Congo (DRC)". The objective of the project is to facilitate the ratification and early implementation of the Minamata Convention by promoting the use of scientific and technical knowledge and tools by national stakeholders in DRC. The undertaking of a MIA is the first step towards ratification and early implementation the Minamata Convention on Mercury; the objective of which is to protect human health and the environment from anthropogenic emissions and releases of

mercury and its compounds. DRC will benefit from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the ASGM sector. DRC will also be in compliance with the article 7 (ASGM) of the Minamata Convention. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries within region.

22. On 25 February 2016, the SAICM national focal point in DRC notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within DRC. On 05 Mars 2016 the GEF Operational Focal Point of DRC endorsed the development of a Minamata Initial Assessment and a ASGM National Action Plan in DRC with UNEP as Implementing Agency. On 10 March 2016 the Minister of Environment and Sustainable Development of DRC sent a letter to the UNEP Executive Director and the GEF Chief Executive Officer informing that although the country had not yet signed the Minamata Convention, DRC was taking meaningful steps to ratify the Convention.

23. The project aimed at early ratification and implementation of the Minamata Convention on Mercury was endorsed by the GEF CEO in March 2016, with an initial planned duration of 24 months, from the first disbursement of funds in October 2016. The project is aligned with the DRC UN Development Assistance Framework (UNDAF) -now known as UN Sustainable Development Cooperation Framework- environmental priorities/outcomes" in particular on Pillar 1 – governance and development of institutions pillar 2 – inclusive growth and job creation and pillar 5 – stabilization and consolidation of peace. The project is also aligned with UNEP's Programme of Work (PoW) 2016-2017 through its expected accomplishment A. under "the Chemicals and Waste Subprogramme", by increasing the country's capacity to manage chemicals and waste and by increasing collaboration between the secretariats of chemicals and waste related multilateral environmental agreements.

24. The project experienced a delay in the disbursement of funds in the early stages of the project, but this did not affect the overall completion of project activities. A project revision was requested and approved in September 2019 due to delays brought about by political instability such as postponement of local elections and the presence of armed conflict in eastern DRC , as well as to allow more time for national consultations and delivery of the MIA and NAP. The DRC project was implemented by the United Nations Environment Programme (UNEP), with funding from the Global Environment Fund (GEF) and executed by the United Nations Training and Research (UNITAR), that has extensive experience on chemicals and waste management, in particular on mercury management, following the signing of the Convention. The Congolese Environment Agency (Agence Congolaise de l'Environnement) was the project co-executing agency, enabling ownership of the project since its inception. In June 2020, 98% ($ 980,000) of the total ($ 1,000,000) UNEP/GEF budget has been disbursed. This final review is addressed to the government and stakeholders of DRC, the executing agency, the implementing agency and other countries or agencies that could benefit from the experience of initial assessments of the Minamata Convention and in drafting their ASGM National Action Plan.

II. The Review

25. The review was carried out from February to April 2020 by an independent consultant, Desiree M. Narvaez, under the supervision of Ludovic Bernaudat, Task Manager of the GEF team at the Chemicals and Health Branch of the Economy Division of UNEP.

26. The review has two main objectives, first to provide evidence of results to meet accountability requirements, and second to identify lessons of operational relevance for future project formulation on the regional level, and for the ratification and early implementation of the Minamata Convention. This is to be done through promoting operational improvement, learning and knowledge sharing between national stakeholders. To be effective, the review had a particular focus on how and why the results of the project were achieved, beyond displaying what the results were. Therefore, the evaluator aimed to differentiate between what would happen in the absence of the project and what happened as a result of the project.

27. The review had aimed to be as participatory as possible, and the evaluator was in contact with the Minamata and ASGM focal points of the DRC. It was not possible to arrange travel to DRC due to lack of time and funding, therefore most of the interviews were conducted via telephone and correspondence by email and on-line survey. Interviews were done with the Director of the Congolese Environment Agency, respective DRC coordinators for MIA and NAP, executing agency (UNITAR), with the technical experts on the MIA and NAP, and with the staff of the global component (component 1). The report of the peer reviewer of the ASGM National Action Plan was also reviewed. On-line survey was sent to key stakeholders in the DRC.

28. The interviews, the desk review of all available project documentation and the online questionnaire were the main methods used in verifying the outcomes and outputs of the project components. Confidentiality was maintained by not divulging names nor information to other interviewees. At least 10 stakeholders were invited to the interviews and on-line survey, but only 3 responded to the on-line survey, and 3 national stakeholders were interviewed. The EA was interviewed on several occasions. Throughout the review process and in the compilation of the Final Review Report, efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made. The performance of the project was evaluated in terms of relevance, effectiveness and efficiency, as well as its actual and potential outcomes and impacts and their sustainability. It also consisted of a likelihood of impact assessment, identifying intended and unintended effects. The factors and processes affecting project performance were also assessed, relating to preparation and readiness, quality of management and supervision, stakeholder participation, public awareness, country ownership and responsiveness to human rights and gender equity. Finally, the project financing and the monitoring and evaluation systems were reviewed. All findings in this report are based on referenced evidence, and the sources were crossed checked to the extent possible. The review also makes reference to the DRC Minamata Initial Assessment (MIA) and the ASGM National Action Plan (NAP) available at the time of review.

29. Key strategic questions on the project such as ratification of the Minamata Convention, country awareness of its obligations under the Convention, delivery of outcomes in a cost-effective manner as well as articulation of the NAP are included in the Conclusions section of this report.

III. The Project

Context

30. The project is an **enabling activity** in nature, and the process of the MIA and the ASGM NAP were developed as a standardized process in order to be applicable to any country. The project was designed

to assess the situation with regard to the levels of mercury in the DRC and was therefore a baseline establishing project to be considered as the basis for future projects relating to mercury management.

31. The main objective of the project was to facilitate the ratification and early implementation of the Minamata Convention by promoting the use of scientific and technical knowledge and tools by national stakeholders in the DRC. The undertaking of an MIA is the first step towards implementing the Minamata Convention on Mercury; the objective of which is to protect human health and the environment from anthropogenic emissions and releases of mercury and its compounds. DRC will benefit from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the ASGM sector. DRC has not yet signed the Convention. However, DRC has notified the Secretariat that is taking meaningful steps to ratify the Convention. DRC has also actively participated in all the Intergovernmental Negotiating Committees and the First Francophone Africa workshop in Dakar, Senegal, from 9 to 11 July 2014, in support for the ratification and early implementation of the Minamata Convention. DRC will also benefit from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the ASGM sector. DRC will also be in compliance with the article 7 (ASGM) of the Minamata Convention. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries within the region.

Background of the Democratic Republic of Congo

32. The Democratic Republic of Congo (DRC) is the largest country in sub-Saharan Africa. In the African continent, it is currently the second largest after Algeria and before Sudan. DRC shares its borders with nine countries. The country is bordered to the north by the Central African Republic and southern Sudan, to the east by Uganda, Rwanda, Burundi and Tanzania, to the south by Zambia and Angola, and finally to the west by the Republic of Congo, the Angolan enclave of Cabinda and the Atlantic coast. This implies that distances within the country are significant, which represents one of the major constraints of project execution at the national level.

33. The Congolese population has been estimated at 92,724,919 inhabitants in 2018, distributed among the country's major cities. It is the third largest population in the continent after Nigeria and Ethiopia. Seventy percent (70%)of the population lives in rural areas. Moreover, the DRC is the least urbanized country in Central Africa. With its ten million inhabitants, the city of Kinshasa is the main urban centre of the sub-region. As the population of the DRC grows, and its economy is slowly transforming towards industrialization; the stress of the environment and natural resources is increasing, and the issue of mercury management is becoming a priority. In particular, ASGM, primary metal production, combustion of fossil fuel and biomass, and mercury products and waste management, are the main sources of mercury emissions and releases to the environment.

34. The DRC is rich in natural and mineral resources with 1100 listed minerals and precious metals including diamond, copper and cobalt . For decades, the extractives industry /mining has been a major source of livelihood with mining activities are both formal and informal and has led to armed conflict and presence of militia in mining communities. Mercury can be found as a trace element in several deposits and can also be used in the extraction of some minerals. The economy of the DRC is essentially based on the extractive industries, which are closely dependent on world prices and international economic dynamics.

Map 1: Map of ASGM sites in the Democratic Republic of the Congo

35. Internal conflicts and the ensuing humanitarian crisis are emerging as real challenges for both the government and international donors. The DRC is one of the poorest countries in the world, among the lowest on the Human Development Index, and violence is frequent, especially in the east of the country.

36. Mining activities are the major cause of deforestation land degradation, ecosystem degradation and air pollution. Typical impacts include soil erosion, siltation and contamination of river basins/tidal creeks and displacements of communities. Heavy siltation of riverbeds and tidal creeks reduce coastal coral, cause flooding and other social impacts. Other environmental challenges are climate change, loss of biodiversity, lack of urban planning, and management of waste.

Institutional, political, and governance structure

37. DRC is committed to support global action in the protection of the environment and of human health. It has demonstrated political will as a signatory in Chemicals and Waste Conventions (Basel, Rotterdam, Stockholm , Bamako, Vienna Conventions) and in other Environmental Conventions (Biodiversity, Framework Convention on Climate Change) .

38. The background section of the project document takes into consideration the DRC's current state of environmental framework, legal framework, institutional capacity and national priorities. It also includes how the project could contribute to its UN Development Assistance Framework (UNDAF) – now called UN Sustainability Development Assistance Framework- Pillar 1 – governance and development of institution. The project also contributes to the UNDAF's pillar 2 – inclusive growth and

job creation - that aims to enable the private sector to lead an accelerated generation of sustainable, inclusive and decent employment. The project also contributes to the UNDAF's pillar 5 – stabilization and consolidation of peace. The Government of DRC prioritizes peace stabilization and consolidation. In support of these national priorities and the commitments the project will contribute to peace building in conflict-sensitive areas through strategic programming and implementation.

39. The DRC through the Ministry of Environment Nature Conservation and Tourism, has updated in 2011 the Forests and Nature Conservation National Programme, now renamed Environment, Forests, Water and Biodiversity National Programme (by its French acronym, PNEFEB), incorporating other areas of activity (Sanitation, Water Resources and Climate Change). This programme establishes the main strategies and measures to be planned or implemented by DRC to protect the environment and sustainably manage the national renewable natural resources, with a view to reducing poverty of Congolese people and to fulfil its international commitments and national expectations. It also provides relevant information to achieve the objectives of the international conventions. The PNEFEB is inspired by the Government Priority Action Programme (PAP), which places special emphasis on the mid-term economic and social stabilization and reinvigoration programme, in order to alleviate poverty and stop continuous deterioration of the living conditions of the Congolese people.

40. The Mining Code and the Mining Regulation regulates the Mining Industry. There is an environmental review and permitting process for mining projects whereby exploitation permits are subject to prior approval of an environmental impact study (EIS) and an environmental management plan (EMP).

41. The Minamata Initial Assessment chapter 1 points to DRC as s a State governed by the rule of law and is currently governed by the Constitution of 18 February 2006, as amended by Act No. 11/002 of 20 January 2002. The DRC is an independent, sovereign, united and indivisible, social, democratic and secular State governed by the rule of law, with a semi- presidential regime. It is currently governed by the Constitution of 18 February 2006, as amended by Act No. 11/002 of 20 January 2002. It is governed by the President of the Republic, Parliament Body, and the Judiciary.

42. The project document states that the national legal and institutional capacity has been severely hampered during the decade long civil war period. Capacities of public institutions steadily declined during this period. Government ministries, like most other public institutions in DRC, lost their capacity for action on the ground and were not coordinated nationally. Today there is an enormous challenge to develop the capacity of public institutions to match the requirements and expectations in a peace-time DRC.

43. The federal ministries and many major public institutions have an established presence in the 26 provinces. The governance structure is envisaging that the overall coordination as well as legal and policy preparatory work is done at the ministry level and the actual on-the ground activities are coordinated at sub-regional level.

SPECIFIC ACTIONS ON MERCURY MANAGEMENT IN DRC

44. Five baseline studies on the gold supply chains of the Democratic Republic of Congo (DRC) have been conducted. These field studies conducted in DRC assessed awareness and implementation of the Recommendation of the Council on Due Diligence Guidance for Responsible Supply Chains of Minerals from Conflict-Affected and High Risk Areas (OECD 2013: 7). It also assessed the constraints and challenges to its implementation and made recommendations to enable its further implementation.

45. These studies have focused on DRC's Katanga and South Kivu provinces, and Orientale Province, a huge area in northeast DRC's where the country's industrial gold mining began over a century ago. Gold

mining in the Orientale province's Ituri District was until not long ago a major source of conflict financing. While both the conflict and the conflict-financing have subsided in the province in recent years, most artisanal gold mining and trade in Orientale remains unknown.

46. The Centre of Evaluation, Expertise and Certification (Centre d'Evaluation, d'Expertise et de Certification des substances minérales précieuses et semi-précieuses - CEEC) is the multi-stakeholder body that issues the International Conference on the Great Lakes Region (ICGLR) certificates . Only gold with ICGLR certificates may legally be exported from DRC. So far, however, no artisanal gold mines in Orientale province have been inspected or validated; therefore, there is no information on their operations.

ASGM

47. DRC has the largest artisanal mining workforce in the world - around two million people. The lack of controls has led to land degradation and pollution. Its untapped mineral reserves are of global importance and are estimated to be worth US$24 trillion. Around 15 tons of mercury are used annually in DRC's artisanal gold mining operations, making it the second largest source of mercury emissions in Africa[2].

48. There is a need to overcome the considerable environmental liabilities of a century of mining - with immediate action to remediate mining pollution 'hotspots' in Katanga. The introduction of new mining techniques and the formalization of the artisanal mining sector will contribute to reduce the continued mining pollution.

49. During the implementation of the project, the Congolese Environment Agency as co-executing agency, constituted multi-stakeholder committees to execute the project and to help raise awareness among the government officials as well as the private sector and civil society.

50. Politically, despite the armed conflicts in the Eastern part of the DRC which contributed to delay in project delivery, project coordinators were committed to deliver project outputs which indicated high level of engagement from government institutions. The project highlights the socioeconomic benefits such as the benefits of the project on the poor in DRC ASGM communities and describes how vulnerable and at-risk populations in DRC could be identified. The project also considers gender especially the socio-economic role of women in ASGM activities and the biological risk to women especially during pregnancy. The project specifies opportunities for women participation in national coordinating committees especially in the NAP. However, availability of sex-disaggregated data in the MIA needs to be improved.

Pictures 1 and 2: ASGM in the DRC

[2] http://www.unep.org/newscentre/Default.aspx?DocumentID=2656&ArticleID=8890

Results Framework: Objectives and Components

51. The MIA assessed the country's baseline conditions in terms of presence of mercury in the environment, as well as the existing legislative and institutional frameworks. The assessment included the identification of all mercury sources and releases using UNEP's Toolkit levels 1 and 2, setting a baseline that allowed for future monitoring of progress in the implementation of the Convention. The assessment also aimed to reinforce the national coordination mechanism on chemicals management, as it is currently operational in the country, by ensuring that specific mercury considerations are also addressed without duplicating efforts. The AGSM NAP in the DRC would present a roadmap on how DRC will be able to comply with Article 07 of the Minamata Convention.

52. The project had six outcomes, organized in six major components. Each component had its own expected outcome and outputs with specific activities to achieve the desired output and outcome.

Component 1: National information exchange, capacity building and knowledge generation
Expected Outcome:
Enhanced communication, support and training facilitate the development of the MIA and NAP and build the basis for future cooperation for the NAP implementation.

Expected Output:
Technical support and global coordination provided ensuring capacity building, information exchange, consistent and comparable MIAs and NAPs and the identification of lessons learned and good practices at national level.

Component 2: Strengthening of Coordination Mechanism and organisation of process
Expected Outcome:
DRC made full use of enhanced existing structures and information available dealing with mercury management to guide ratification and early implementation of the Minamata Convention.

Expected Output:
Technical support provided to strengthen the National Coordination Mechanism and organization of process for MIA and NAP development.

Component 3: Assessment of the national infrastructure and capacity for the management of mercury, including national legislation
Expected Outcome:
Full understanding of comprehensive information on current infrastructure and regulation for mercury management enabled the DRC to develop a sound roadmap for the ratification and early implementation of the Minamata Convention.

Expected Output:
Assessment prepared on the national infrastructure and capacity for the management of mercury, including national legislation.

Component 4: Development of a mercury inventory, a national overview of the ASGM sector, and strategies to identify and assess mercury-contaminated sites
Expected Outcome:
Enhanced understanding of mercury sources and releases facilitated the development of national priority actions.

Expected Output:
Mercury inventory developed and strategies to identify and assess mercury contaminated sites.

Component 5: Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury
Expected Outcome:
Improved understanding of national needs and gaps in mercury management and monitoring enabled a better identification of future activities.

Expected Output:
Technical support provided for identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury.

Component 6: Preparation, validation and endorsement of MIA and NAP, implementation of awareness raising activities and dissemination of results at the national level
Expected Outcome:
DRC key stakeholders made full use of the MIA and related assessments and the NAP for the ASGM sector leading to the ratification and early implementation of the Minamata Convention on Mercury.

Expected Output:
Technical support provided for preparation and validation of National MIA report, the NAP for the ASGM sector, and implementation of awareness raising activities and dissemination of results.

Milestones/Key Dates in Project Design and Implementation

53. Project GEF CEO endorsement: 31 March 2016

    Actual start on 1 October 2016 was due to delays in administrative processes in both the implementing agency and the executing agency. In addition, the national government Congolese Environment Agency (Agence Congolaise de l'Environnement) as co-executing agency had to do internal institutional arrangements to start the project.

54. Mid-term Evaluation (MTE) date: Because of the scale and nature of the project as an Enabling Activity, the project document does not require an MTE, therefore the monitoring and evaluation plan consists only of the quarterly financial reports and bi-annual progress reports from the executing agency, the independent financial audit and the independent terminal review. Project extensions: The Project Cooperation Agreement (PCA) extension was signed in September 2019, allowing the contract to remain in force until March2020.

    Project completion date: Planned for August 2018, Actual completion date: March 2020

Implementation Arrangements

55. UNEP acted as the UN implementing agency for this project, with financing from the GEF in accordance with Article 13 on the financial mechanism of the Minamata Convention; included in the GEF V Focal Area Strategy document under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, specifically under outcome 3.1 to build country capacity to effectively manage

mercury in priority sectors. UNITAR is the executing agency and the Congolese Environment Agency (Agence Congolaise de l'Environnement) was the co-executing partner. UNITAR has track record in delivering projects on the management of chemicals and mercury in particular. Bi-annual progress and quarterly financial reports have been submitted by UNITAR to the UNEP/GEF task manager. The project agreement requires a financial audit to be carried out by an independent audit entity, under the responsibility of the executing agency.

Project Financing

56. Table1. Original, revised and actual expenditure project budget and expenditure ratio by component

Component	Original budget	Revised budget	Expenditure as per the final expenditure report	Expenditure ratio (actual/revised)
Component 1	$53,000	$53,000	$ 53,000	1
Component 2	$84,500	$85,620	$ 72,620	0.84
Component 3	$93,500	$95,620	$ 95,6220	1
Component 4	$468,500	$458,170	$ 458,170	1
Component 5	$69,500	$71,420	$ 76,524	1.07
Component 6	$110,100	$115,270	$ 130,888	1,14
Project Management	$90,900	$90,900	$ 93,178	1.03
M&E	$30,000	$30,000	$ 0	0
Total	$1,000,000	$1,000,000	$ 980,000	0.98

The balance of 20,000 USD will be used for the project terminal evaluation fees.

Project partners

57. The key project partners were:

- UN Institute for Training and Research (UNITAR) as the executing agency
- UN Environment Programme (UNEP) as the implementing agency
- Congolese Environment Agency (Agence Congolaise de l'Environnement) as a co-executing national partner
- The GEF as a financing partner
- The Minamata Convention secretariat; joint BRS secretariats
- Global Mercury Partnership

Stakeholders Analysis

58. The project document provided intensive analysis of project stakeholders. Project stakeholders (Ministries, Departments, Agencies, industry, mining associations, civil society) are well defined in the ProDoc and in the MIA and ASGM NAP and will be elaborated in the later part of this review. Among the stakeholders identified in the ProDoc are Ministries and government agencies in charge of chemicals management, human health and safety; Representatives of industry and industrial associations, which can provide with data and information related to processes and products that use and contain mercury; and civil society organizations. The relevant Ministries (Environment, Health, Foreign Affairs, Mines and Natural Resources, Finance and Economic Development, Labour, Justice, Trade and Industry,), miners, indigenous groups, private sector/large mining representatives, civil society were identified together with their roles.

Changes in Design during Implementation

60. The project's budget was revised upon the extension request received in September 2019 from the executing agency and the co-executing national partner. A revision to the work plan also accompanied the project extension, and it consisted of planning for a regional and national lesson learnt workshops and to allow completion of the writing and document of the MIA and NAP.

IV: Theory of Change of the Project

61. A reconstructed Theory of Change (ToC) shown in Figure 1 below was prepared based on project documentation and reviewed with project staff during the review process. It demonstrates the logical sequence of intended results from immediate outputs and intended outcomes, feeding into the longer-term impact. Not all project activities were included in the ToC reconstruction diagram. Due to the nature and scope of this project, there is one major pathway of outcomes to impact identified, along with one intermediate state.

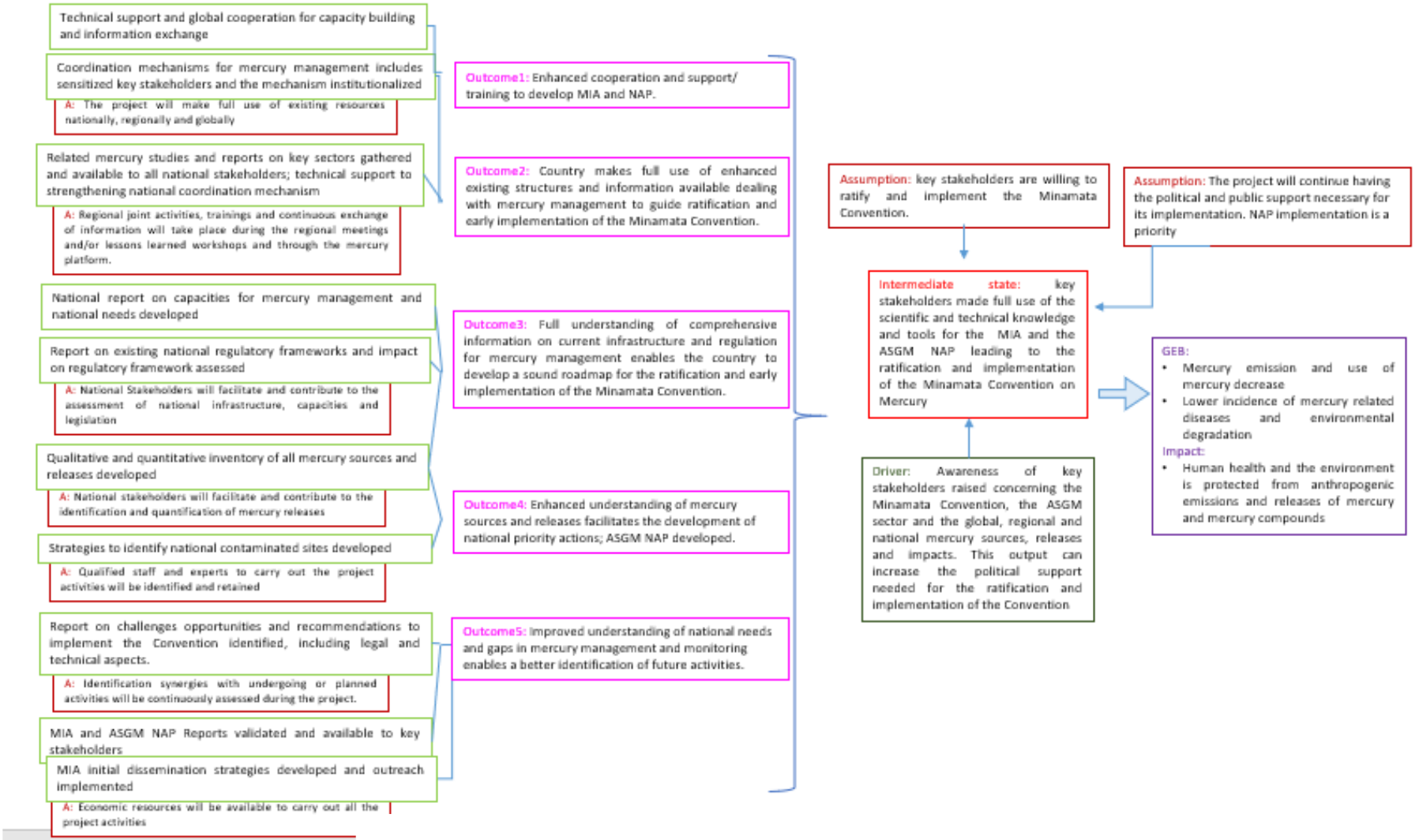
62. Impact pathway 1 - Data Collection and Establishment of Baseline Institutional Framework: From outcomes 1, 2, 3,4,5, and 6 to project intermediate state. The fulfilment of the project intermediate state requires the success of all six main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic: In order for the country to be able to ratify and implement the Minamata Convention and comply with article 7 on ASGM, it must first assess and enhance its existing information and capacities on ASGM (Outcome1), then it must have a complete understanding and baseline assessment of its institutional, regulatory/legal and mercury management capacities for MIA (Outcome2), as well as a full understanding of its mercury capacities in order to draft is MIA and NAP (Outcome 3) . These three outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit levels 1 and 2 and ASGM sector leading to enhanced understanding of mercury releases and emissions (Outcome 4), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps. An improved understanding of national needs and gaps in mercury management and monitoring enabled a better identification of future activities (Outcome 5). Consequentially, at this stage, the project has reached the intermediate state (referred to as Outcome 6 in the project document) at which all relevant stakeholders have the necessary information through the MIA and NAP report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and stop mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially leads to the implementation of the Minamata Convention and compliance to article 07 on ASGM, which directly supports the project's global environmental

benefits of reduced mercury emissions and releases and decrease in mercury related diseases and environmental degradation. A key assumption is that key stakeholders are willing to ratify the Minamata Convention. An important driver is the heightened awareness on mercury sources especially in the ASGM sector, releases, emissions and impacts. Ultimately, human health and the environment is protected from the anthropogenic releases and emissions of mercury and mercury compounds.

63. The diagram below shows the outputs (green boxes) leading to the project outcomes (purple boxes) ultimately leading to the impact (violet). The assumptions made at the design stage (Labelled A boxes in red) are also identified. These assumptions are essential for the likelihood of realization of the intended outcome and impacts, and the most general and overarching assumptions are not linked to individual outputs, but rather to the intermediate state.

64.

Figure 1: Theory of Change (re-constructed)



V. Review Findings

66. This chapter will answer the questions raised in the review terms of reference; as well as those raised in the evaluation criteria matrix presented in the inception report for consistency. It will present factual findings and evidence, and will analyze and interpret them as objectively as possible, then will provide a rating for each review criterion.

A. Strategic Relevance

UNEP's Mandate and Programme of Work

67. The project was very much aligned with UNEP's Medium-Term Strategy, and Programme of Work (POW) 2014-17 under the Chemicals and Waste (CW) Subprogramme. The DRC MIA and NAP contributes to UNEP's expected accomplishment A on the sound management of chemicals and waste. "Work under the sub- programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury". In line with the strategy, the project increases the capacity of the DRC to manage chemicals and waste and increases collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project very relevant and in line with UNEP's mandate.

The GEF Strategic Objectives

68. The project is also under GEF strategic priority and focal area on chemicals and waste. Mercury is a priority chemical under the chemicals and waste focal area strategy under both GEF V and GEF VI : under GEF V, it is addressed as a part of the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors; while under GEF VI, it is addressed as a part of the Chemicals and Waste Focal Area Strategy, CW1, program 2: Support enabling activities and promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring. It details the funding mechanism, also identified by the Minamata Convention Article 13. The outcomes of the project are crosscutting and contribute to fulfilling other CW objectives under GEF VI. and to the GEF. Overall, the project is an initial and essential step towards ratification and early implementation of the Minamata Convention. Its outcomes contribute towards the sustainable development goals. The baseline information in various areas will be useful for the design of databased environmental policies, but also legal, social, economic and developmental policies and strategies to be developed.

National and Regional Priorities

69. The project is very much aligned with the DRC UN Development Assistance Framework (UNDAF) -now known as UN Sustainable Development Cooperation Framework- environmental priorities/outcomes in particular on Pillar 1 – governance and development of institutions pillar 2 – inclusive growth and job creation and pillar 5 – stabilization and consolidation of peace.

70. The DRC through the Ministry of Environment Nature Conservation and Tourism, has updated in 2011 the Forests and Nature Conservation National Programme, now renamed Environment, Forests, Water and Biodiversity National Programme (by its French acronym, PNEFEB), incorporating other areas of activity

(Sanitation, Water Resources and Climate Change). This programme establishes the main strategies and measures to be planned or implemented by DRC to protect the environment and sustainably manage the national renewable natural resources, with a view to reducing poverty of Congolese people and to fulfill its international commitments and national expectations. It also provides relevant information to achieve the objectives of the international conventions. The PNEFEB is inspired by the Government Priority Action Programme (PAP), which places special emphasis on the mid-term economic and social stabilization and reinvigoration programme, in order to alleviate poverty and stop continuous deterioration of the living conditions of the Congolese people. The MIA and NAP certainly contributes to the Government Priority Action Programme of the Ministry of Environment.

71. Furthermore, during project execution, a complimentary review and update of the Stockholm Convention national implementation plan also took place which facilitated the MIA. The project EA and national coordinators ensured complementarity of the MIA and NAP with the Stockholm Convention where the same key stakeholders participated.

72. The project is therefore highly relevant to global, regional, and national priorities. It very much aligns with UNEPs' Medium-term strategy and programme of work (2014-2017) expected accomplishments and the GEF's strategy on chemicals and waste as well as the DRC's Government Priority Action Programme.

    Rating for strategic relevance: Highly satisfactory.

B. Quality of Project Design

73. As per the inception report: The project design is highly satisfactory overall. It takes into consideration the current state of environmental frameworks, legal framework, institutional capacity and national priorities. The project document (ProDoc) states that despite that the DRC has not yet signed the Minamata Convention, DRC has notified the Secretariat that is taking meaningful steps to ratify the Convention. DRC notified the secretariat about the significant use of mercury in the ASGM sector, thus the project covers both MIA and NAP. DRC will benefit from new and updated information about the mercury situation in the country and from increased capacity in managing the risks of mercury, in particular from the ASGM sector. The project will contribute to the achievement of the country's National Strategic Development Plan (PNSD) 2019-2023.

74. The aim of the project is to collect data on the level of mercury pollution present in different environmental sector in the DRC in order to identify the priority issues and gaps in knowledge that need to be filled for the implementation of the Minamata Convention, while building on and strengthening any already existing chemicals management mechanism, structure or communication network. To accomplish this objective, a resilient and well-thought project design to trigger change that will affect how the DRC manages chemicals, in particular mercury and its waste.

75. The strengths of the project design include the strategic relevance, stakeholder analysis, background on DRC mercury and ASGM activities, the governance and supervision arrangements, and the risk identification and social safeguards. The strategic relevance places the project in the context of UNEP's mandate and GEF's priorities. The governance and supervision arrangements clearly identify how the project is to be executed and monitored, sharing and defining stakeholder roles and responsibilities, to encourage sound implementation. The financial planning is sound and does not display any deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage are well prepared, reasonable and transparent,

contributing to its sustainability and overall success. Moreover, the project has a clear Theory of Change presented in narrative form.

76. Stakeholder analysis was robust where all relevant government agencies, civil society and mining communities to be engaged was identified. This facilitated a sense of national ownership of the project. Moreover, the very active national coordinators (MIA and NAP) were all motivated and driven to deliver the outcomes.

77. The project document (ProDoc) made mention of the links to human rights and its effect on indigenous people as well as the socio-economic benefits. The project would positively impact poor populations, who are disproportionately affected by the impacts of environmental and health hazards. The project design also describes how vulnerable and at-risk populations in DRC could be identified, citing poor populations living near gold mines; as well as workers in those sectors who are considered particularly vulnerable and at risk of contamination. The ProDoc also states that it can assist DRC to clearly identify areas of improvement, starting at the local, and community levels and complemented with national policies. Through the inventory process, and the mapping of key mercury pollution sources, the project would define at-risk populations across DRC. Project activities would also involve consultation with at-risk communities with the aim of increasing understanding about the risks of mercury exposure such as workers associations and medical associations, and poor communities living in close proximity to industry facilities and contaminated sites.

78. Gender was factored in the project design especially in many ASGM areas on the biological risk of women where women perform tasks such as pouring the mercury into the ball-mills or mixing the mercury in panning, and burning the amalgam, often with their children or infants nearby. The project would ensure that there are opportunities for women to contribute to, and benefit from, the project outcomes. The ProDoc states that the EA will work with national coordinators to ensure women are well represented on national coordinating committees, and that consultation with at-risk communities targets both women and men. The project coordinator would also ensure that always when possible, data collected in the framework of this project would be disaggregated by sex and age. The NAP for the ASGM sector would fully incorporate the gender dimensions identified in the national overview of the ASGM sector and foster gender equality. Further the ProDoc states that the project will advocate for a national regulatory framework targeting the protection of these vulnerable groups. Through these vulnerable groups, the project will also sensitize the general population about the risks of mercury.

79. According to the gender rating scale in "Evaluation on Gender Mainstreaming in the GEF", by the Independent Evaluation Office of the GEF, this project can be qualified as **1 = gender partially mainstreamed: 1 =** Gender is reflected in the context, implementation, logframe, or the budget.

80. While the ProDoc mentions that the MIA and NAP will be done in the 26 provinces of DRC, no mention was made about how the magnitude of the country that could influence project delivery.

Rating for project design : Highly Satisfactory

81. ***C . Nature of External Context***

82. In terms of consideration for external factors that might affect the project, there was clear mention of likelihood of conflict, which could be due to the internal armed conflict and militia groups in ASGM sites, and a decade of civil war, that could affect project delivery. The presidential election that took place in

2018 was anticipated in the project, hence the risk of political change was predicted. The ProDoc indicated high level commitment from government institutions so the risk was low. Due to the short timeframe and nature of the project, it is understandable that the likelihood of natural disasters was not be detailed.

83. Considering the unique circumstances in the DRC and the potential political stalemate that could arise due to the upcoming national Presidential elections, specialized peace agencies such as the United Nations Organization Stabilization Mission in the Democratic Republic of the Congo (MONUSCO) and UNEP Post-Conflict and Disaster Management Branch (UNEP PCDMB), in particular were consulted and included in the institutional coordination arrangements.

Rating of nature of external context: Favourable

D. Effectiveness

Achievement of outputs

84. Table 2: The core outputs of the project contributing to the outcomes:

Output	Outcome
Creation of a National Coordination Mechanism Committee allowing information exchange, capacity building and knowledge generation for mercury management on a national and regional level.	Outcome 1: Enhanced cooperation and support/training to develop the MIA and NAP
An assessment of national infrastructure and capacity for the management of mercury, and ASGM, including national legislation	Outcome 3: Full understanding of comprehensive information on current infrastructure and regulation enables the country to develop a roadmap to ratification and implementation of the Convention
A mercury inventory of emissions and releases, developed using the UNEP toolkit	Outcome 4 : Enhanced understanding of mercury sources and releases facilitate the development of national priority actions including ASGM
Strategies to identify and assess mercury contaminated sites including ASGM sites	Outcome 4 : Enhanced understanding of mercury sources and releases facilitate the development of national priority actions including ASGM
MIA report with an optional implementation, ASGM NAP, awareness-raising and result-dissemination materials	Outcome 5: Improved understanding of national needs and gaps in mercury management and monitoring enables a better understanding of future activities

85. Review of the project documentation, the deliverables and consultation with the available stakeholders confirmed that the outputs delivered are of sufficient quality and will be useful to stakeholders overall.

Project Outputs:

National coordination mechanism committee (NCM)

86. DRC strengthened an existing multi-stakeholder committee, dealing with chemicals management to coordinate and provide guidance on the progress made in the project. A list of committee members is included in Annex D. The NCM included representatives from health, environment, labour, finance, mining and energy and planning sectors, as well as non-governmental organizations including the national chemical industry association, and civil society organizations. This National Mercury Committee is made up of intersectoral and multidisciplinary members. Its activities are coordinated by the Director General of the Congolese Environment Agency. The following stakeholders are involved: delegates from the various ministries involved in chemicals management, including the Ministries of Environment, Health, Industry, Mines, Agriculture in particular, as well as delegates from the various state services dealing with chemicals issues. Universities, the Office Congolais de Contrôle (OCC), the Directorate General of Customs and Excise (services in charge of consumption taxes) - DGDA, and civil society are also involved. These services each play a role in the regulation, marketing and use of chemicals, particularly mercury.

87. A Stakeholder Advisory Group (SAG) was also established with members of civil society with experience and knowledge in the national mercury uses and releases, particularly from the ASGM sector. The NCM engaged with the SAG in actual project execution. On-line surveys revealed that members were highly satisfied with their participation in the NCM. Stakeholder interviews and outcomes from the on-line survey confirm that overall the committee served its purpose and provided sufficient participation

Assessment of national infrastructure capacity for management of mercury, including ASGM

88. The national capacity and infrastructure assessment were submitted as part of chapter IV of the MIA report, completed in March 2020 and produced by the co-executing agencies UNITAR and the Congo Environment Agency. The quality of the report is satisfactory. It has an extensive analysis of government structures (Environment, Mining, Health and Sanitation, Education, Labour, Trade, Customs). It describes all relevant laws in DRC that are relevant to mercury management. Chapter IV also outlines the political structure whereby governance is devolved to the provinces. It details the stakeholders, such as academe, non-governmental institutions, private sector stakeholders or other concerned parties. The description of the existing governmental infrastructure is highly satisfactory and important to understand the legislative and socio-economic governance.

89. The chapter describes the directives on chemicals, waste and the use of plant protection products (phytosanitary products), the mining code and its regulations, which include a ban on the use of mercury in ASGM. This evaluation also identified the Labour Code and health policy, in particular, which recommend the provision of adequate safety measures in the workplace and access to appropriate health care.The assessment of legislation in Chapter IV of the MIA is thus satisfactory , as it utilized the NRDC checklist as per the IOMC MIA guidelines. The legislative process is also described. In both MIA and NAP, DRC's commitment to support global action in protecting human health is evidenced by being a Party to several environmental and Chemicals and Waste multilateral environmental agreements.

90. Chapter IV of the MIA describes the institutional arrangements in the DRC and Ministries that are relevant to national mercury management namely: Ministries of Environment and Sustainable Development, health, Interior, Foreign Trade, Industry, Communications and Media, Mines, Agriculture, Small and Medium Enterprises, Gender, Child and Family, Scientific Research, Rural Development. Despite the political will in aligning mercury and ASGM to its national development goals, DRC needs to enhance assessments and its technical capacities to implement the Minamata Convention and will therefore need to develop more comprehensive chemicals/mercury assessment and management capacities and a National Action Plan on ASGM to comply with article 07.

Mercury inventory using the UNEP Toolkit

91. DRC delivered a comprehensive inventory of mercury sources of inputs, emissions and release using levels 1 and 2 of the UNEP inventory toolkits. The inventory is complete, and its quality was reviewed by the expert who elaborated on the toolkit. One survey respondent highlighted the need to visit mercury plants and production units instead of desk study using locally published data assuming that primary data collection is better than secondary data. This output has been evaluated independently and therefore its completion and timely delivery are the only factors that can be rated by the evaluator for this terminal review.

Assessment of contaminated sites

92. The inventory results indicated a section on contaminated sites in DRC that includes a protocol of assessment, sampling and analysis as well as suggestions for "Cooperation in developing strategies and implementing activities to identify, assess, prioritize, manage and, where appropriate, remediate contaminated sites". The MIA chapter also describes the population at risk from exposure to contaminated sites. The NAP reveals the contaminated sites due to ASGM activities with a map of these sites provided. The National Action Plan (NAP) for ASGM will prioritize the development of strategies and guidelines for the identification and assessment of contaminated sites in the country.

Minamata Initial Assessment report

93. The report was one core deliverable, submitted by DRC Congolese Environment Agency and UNITAR in March 2020. The report is satisfactory and has the two outputs described above (inventory and assessment of legislative framework), as well as a chapter on identifying populations at risk and the gender dimension , and a chapter on awareness raising and existing training and education opportunities of target groups and professionals, according to the IOMC MIA guidelines.

94. *Implementation plan*: The implementation plan is not an MIA requirement, but it is considered good practice, and further demonstrates ownership and the country's engagement in the early implementation process. DRC's MIA has a Chapter on its implementation plan that includes its priority areas of action with concrete timelines, deliverables and resource requirements. The MIA also describes mainstreaming mercury in the national priorities of the DRC.

ASGM National Action Plan

95. The ASGM NAP is the other core deliverable in this project which is also satisfactory. It has the relevant chapters on ASGM overview, vision, goal and objectives, and an implementation strategy including ASGM formalization, as well as a concrete workplan. This output has been evaluated independently through a peer review process and therefore its completion and timely delivery are the only factors that can be rated by the evaluator for this terminal review. One survey respondent said that the validation workshop for both MIA and NAP is the "crowning glory" of the project.

Awareness raising materials

96. Chapter 5 of the MIA outlines awareness raising activities in the DRC that includes several training sessions for government officials, civil society, and the private sector. It has identified its communication/outreach strategy on public education and information dissemination.

97. The project delivered successfully on project outputs that led to the project outcomes. Success factors are the preparedness and quality of project design, the high stakeholder engagement, the close working relationship between the EA and the national project coordinators, and the good quality of project management with technical backstopping from UNEP as implementing agency.

Achievement of Outcomes

98. The successful delivery of outputs led to the delivery of outcomes as per table 2 above.

99. As per the ToC reconstructed for the purpose of this evaluation, there is one impact pathway for the scale of this project. Impact pathway 1 - Data Collection and Establishment of Baseline Institutional Framework: From outcomes 1, 2, 3,4,5, and 6 to project objective. The fulfilment of the project objective requires the success of all six main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic: In order for the country to be able to ratify the Minamata Convention and comply with article 7 on ASGM, it must first assess and enhance its existing information and capacities on ASGM (Outcome1), then it must have a complete understanding and baseline assessment of its institutional, regulatory/legal and mercury management capacities for MIA (Outcome2), as well as a full understanding of its mercury capacities in order to draft is MIA and NAP (Outcome 3) . These three outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit levels 1 and 2 and ASGM sector leading to enhanced understanding of mercury releases and emissions (Outcome 4), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps. and an improved understanding of national needs and gaps in mercury management and monitoring enabled a better identification of future activities (Outcome 5). Consequentially, at this stage, the project has reached the intermediate state (referred to as Outcome 6 in the project document) at which all relevant stakeholders have the necessary information through the MIA and NAP report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and stop mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially leads to the ratification and early implementation of the Minamata Convention and compliance to article 07 on ASGM, which directly supports the project's global environmental benefits of reduced mercury emissions and releases and decrease in mercury related diseases and environmental degradation. A key assumption is that key stakeholders are willing to ratify the Minamata Convention. An important driver is the heightened awareness on mercury sources, releases, emissions and impacts. Ultimately, human health and the environment is protected from the anthropogenic releases and emissions of mercury and mercury compounds.

100. Achievement of outcomes could be attributed directly to the project which is "enabling" in naure, to the good quality of project design, management and supervision, stakeholders' participation, communication and public awareness. While sex disaggregated data was missing, responsiveness to human rights and gender equity was highlighted in both the MIA and ASGM NAP.

101. It can be concluded that the project has fulfilled both outputs and outcomes and is therefore at the intermediate stage. The project will help in the DRC's ratification and implementation of the Convention and its ASGM NAP will serve as the roadmap towards complying with Article 07 (ASGM) of the Convention.

Likelihood of Impact

102. The positive results of this project are as follows: Knowledge of the baseline situation in relation to mercury presence in the environment and mercury management strategies in the country; awareness raising among stakeholders and policymakers about the mercury and ASGM situation ; elaboration and dissemination of an action plan towards the implementation of the Minamata Convention and elaboration of an ASGM NAP. All of these are a direct result of the project outcomes discussed and highlighted in Figure 1 and in the above section. With the delivery of the outcomes, Sierra Leone will be able to ratify the Minamata Convention and comply with article 7 (ASGM). Overall, the project will likely deliver a positive impact of protecting human health and the environment from the anthropogenic effects of mercury.

103. One unintended positive result was observed by the executing agency: coordination across tasks teams of the National Coordination Committees has created more awareness on the subject of mercury, and chemicals management in general, among many ministries that would not necessarily have been sensitized to the issue. Also, raising awareness on the interlinkages between production, imports, the waste management and the chemicals management sector among various ministries could also be an unintentional positive impact. No unintended negative impacts have been observed by the evaluator or by the stakeholders consulted.

104. In terms of catalysed change, and because of the nature and scale of the project, it is not expected that it will produce any behavioural changes yet. It is expected that stakeholders will utilise all the data gathered in this project when implementing the implementation plan elaborated in the MIA and NAP reports. In terms of institutional change, the National Coordination Mechanism is strengthened through the various meetings, workshops and training opportunities. Stakeholders have confirmed that the networks, task teams and structures established during the implementation of the project will remain in place and become the basis for further action. The mechanism seems robust enough to continue working towards the long-term impact of eliminating mercury emissions and releases in the country. As for replication, the project design is conducive to replication. Ideally, the design would be adjusted and adapted to the national situation of the country; however, given the “enabling” nature of the project, it is only after the completion of the project and with enough data gathered that the country background could be obtained.

105. While gender is embedded in the project design, one aspect to be considered in replication would be to include sex disaggregated data and/or socio- economic analysis as a specific component of the MIA project.

Attainment of Objectives and Planned Results

106. The project findings and deliverables, in the form of the full MIA report and ASGM NAP and its executive summary, along with awareness raising materials, were made available to all relevant Ministries, Departments and Agencies in the DRC, as well as the Stakeholder Advisory Group. The national validation workshop that took place facilitated buy-in and support of the DRC MIA and NAP.

Compliance of Assumptions:

107. The Logical Framework of the project states that the following assumptions were made at the design stage:

108. “The project will make full use of existing resources nationally, regionally and globally. Regional joint activities, trainings and continuous exchange of information will take place during the regional meetings and/or lessons learned workshops through the mercury platform. Identification of common areas of work and synergies with undergoing or planned activities at the national and international level will be continuously assessed during the project;” According to project documentation and stakeholder feedback, this assumption holds.

109. “*The project will continue having the political and public support necessary for its implementation”* According to project documentation, the participating countries’ increased sense of ownership and the full engagement of stakeholders apparent from interviews and feedback provided to this evaluation, this assumption holds.

110. “*National Stakeholders will facilitate and contribute to the assessment of national infrastructure, capacities and legislation*” According to feedback from project management and all relevant stakeholders, this assumption holds as the participation levels of national stakeholders remains constant and engaged. Currently, national stakeholders have continued to communicate on national chemicals management via a what’sApp group.

111. “National stakeholders will facilitate and contribute to the identification and quantification of mercury releases;” As the MIA and NAP reports are finalized, this assumption holds.

112. “*Qualified staff and experts to carry out the project activities will be identified and retained*” All local consultants were competent, and the national coordination mechanism is composed of competent individuals, therefore this assumption holds.

113. “*Economic resources will be available to carry out all the project activities*” Financing from the GEF and in-kind co- financing from the government was made available for the project, and the activities were carried out, therefore this assumption holds. Although the delivery and disbursement of funds was not always timely.

114. *Key stakeholders will make full use of the MIA related assessments to ratify and implement the Minamata convention*”. The project outputs in particular the MIA and ASGM NAP will facilitate implementation of the Convention in the DRC.

Rating for effectiveness: Satisfactory

E. Efficiency

115. The project was able to achieve its projected outputs despite the presidential election thus change in government and armed conflicts in ASGM area . It utilized and strengthened already existing chemicals management networks in various ministries, such as the National Implementation Plan (NIP) structures for the Stockholm Convention and produced baseline data reports where there were none.

116. There were delays in project delivery, mainly due to political instability, administrative delays, but the execution team was supportive, responsive and receptive to feedback. The administrative delays were essentially delays in payment from the IA to the EA which in turn were due to delays in reporting from the EA to IA and thus reduced efficiency. EA delays could be due to delays in actual project execution and one survey respondent said if replicated, he would divide the different participants into different teams

to simultaneously deal with different aspects of the inventory in order to be efficient. These delays could have been avoided by conducting simultaneous activities and being vigilant in reporting to enable immediate fund release.

117. The delays were also due to the magnitude of the country, where transport from Kinshasa to the eastern part of DRC to conduct ASGM assessment was time consuming. The project team had to have security in place, given the presence of armed conflicts in ASGM sites.

118. The project was cost effective, and at this final terminal review , all funds have been spent. The extension had no considerable impact on project efficiency or delivery.

Rating for efficiency: Satisfactory.

F. Financial Management

119. The complete and regular quarterly financial reports provide sufficient detail into how well the executing agency managed funds. There was constant communication between the financial and project management staff. The project utilized 980,000 USD of the 1,000,000 USD total budget or 98 % which is highly satisfactory. The remaining 20,000 USD is intended for the terminal evaluation fees. The final financial report is attached as Annex B.

120. There are no financial irregularities to be reported on based on project documentation. Stakeholder feedback did not raise any issues relating to financial irregularities.

Rating for financial management: Satisfactory

G. Monitoring and Reporting

121. The monitoring and reporting mechanism consisted of bi-annual progress reports submitted by UNITAR to the UNEP task manager, who provided regular feedback on these reports. This was carried out via email, Skype, or during UNEP staff missions to the meetings where the government representatives were also present. Feedback highlighted the excellent relationship between the EA (UNITAR) and its co-executing agency (Congo Environment Agency) and the and the relevant Ministries and stakeholders.

122. All progress and financial reports to date are detailed, complete and accurate in relation to the project targets and indicators. The monitoring design and budgeting by the Task Manager is sufficient for this project. Monitoring implementation and project reporting was done by the Task Manager. Regular reporting from UNEP as implementing agency to the GEF as donor was done.

Rating for monitoring and reporting: Satisfactory

H. Sustainability

123. In relation to the assumptions made at the design stage, and as per the nature of the project which is enabling there are no social factors that have influenced the project progress toward its intended impacts Despite the change in government during the project, DRC has political will to implement its

implementation plan and priorities as well as its ASGM NAP. Any type of political instability can effectively influence and threaten progress on the road to implementation. However, the feedback provided for the evaluation reflects a satisfactory level of country ownership to allow for the next steps to be sustained. It must be noted that this is more a reflection on the country's efforts to fully implement the Minamata Convention, which will be a lengthy process, but it is not the subject of this evaluation. This project has achieved its direct outcome, which is paving the way for other projects and activities to be undertaken in the field of mercury management, especially on ASGM.

124. It was challenging for the evaluator to contact all tertiary stakeholders, such as academic institutions and NGOs due to time constraints and lack of response from those contacted. However, all national co-executing partners interviewed have agreed that their relationship with the executing agency, UNITAR, was instrumental to project completion. UNITAR has a roster of experts whom it can deploy to countries and train on the inventories and has internal capacity to review MIA and NAP reports and deliver quality results.

125. The implementation of the MIA plan and action in carrying out the priority activities will depend on National Coordination Committee and its multiple stakeholders. It will also depend on the engagement of the national project teams in continuing to take the lead and introducing the appropriate policies, regulations and decisions, informed by the MIA and ASGM NAP project results. The DRC has sustained its National Coordination on Mercury/multistakeholder group on mercury. The civil society group- called the Stakeholder Advisory Group as of this writing is still active and could be potentially sustained.

126. The involvement of intergovernmental organizations is important for the sustainability of the project and of the implementation of the Convention. The DRC will need useful recommendations (experts, international consultants, examples of successful projects to model upon in the region, etc.) from experienced partners for sustainability in the future.

127. Based on its MIA and ASGM NAP ,the DRC is requesting a huge amount to fund its MIA implementation plan and ASGM NAP. The country needs to find new ways of an integrated approach of financing such as by engaging the private sector.

Rating for sustainability: Moderately likely

I. Factors and processes affecting project performance

Preparation and readiness

128. The project experienced delays due to the presidential election and change of government that was anticipated in the project. Another cause of delay was the late reporting that led to delays in fund release from IA to EA. The project was extended though at no cost in September 2019 in order to complete activities and related reporting. It was managed efficiently and effectively, with reported regular communication between UNITAR and UNEP. The national co-executing partner provided positive feedback about the quality and quantity of communication.

Rating for project implementation and management: Satisfactory.

Quality of project implementation and execution

129. Both the IA (UNEP) and EA (UNITAR) had satisfactory performance in the project. The IA provided continuous follow up and backstopping to the EA and the EA in turn was very supportive of DRC's national coordinators and stakeholders on the ground. The IA played a role in the delivery of component 1 and the EA played a role in linking the project components.

130. Due to delays in project execution, the IA approved the project extension of the EA which responded to delays caused by the change in government .

Stakeholder participation, cooperation and partnerships

131. The degree of effectiveness of collaboration between stakeholders is satisfactory drawing on a very robust stakeholder analysis from the start of the project. The engagement of academe as local consultants facilitated delivery of the inventories. The Project Document (ProDoc) listed all relevant stakeholders who were engaged in project execution. Due to travel limitations and the challenges in reaching all stakeholders in the DRC, interviews and an on-line survey developed by the evaluator was used to gauge stakeholder participation. On the basis of survey outcomes, the evaluator interviewed DRC national project coordinators and validated outcomes of the survey. The majority of the stakeholders contacted are key players in the execution of the project and have all participated actively in the production and review of the deliverables. Overall, all respondents felt sufficiently involved in the implementation, but most expressed dissatisfaction at the lack of consultation at the design stage. This sentiment was validated by the executing agency, stressing the DRC was not engaged at the design stage and prior to approval. The stakeholders felt they were not sufficiently informed on the nature of the project and what was expected as a result. Nevertheless, throughout the project, stakeholders felt they had an active role in actual execution and were actively engaged in the committee meetings and its decision-making process.

Rating for stakeholder participation, cooperation and partnerships: Highly Satisfactory

Responsiveness to Human Rights and Gender Equity

132. The project strongly considers human rights and gender equity in both MIA and NAP. Both reports point to the role of women in the NCM, and in ASGM where women are considered a vulnerable population. Human rights are also elaborated in the ASGM NAP where respect of human rights and dignity are highlighted.

Rating for responsiveness to human rights and gender equity: Satisfactory

Country ownership and driven-ness

133. The DRC displays a sufficient level of country ownership, engaging practically all relevant government agencies in the process of producing an MIA and ASGM NAP in DRC, based on responses to the surveys conducted. This ownership is also reflected in the gender and socio-economic considerations in both MIA and NAP.

134. However, it may not be able to deliver on its MIA implementation plan and ASGM NAP without the proper financing mechanism and support of international organizations. The DRC would also benefit from sharing of data and experiences in the subregion to obtain information on financial sustainability.

Rating for country ownership and driven-ness: Satisfactory

Communication and public awareness

135. The DRC developed an outreach/communication strategy and awareness materials from trainings conducted but was not available at the time of review. Materials developed under the ASGM NAP are satisfactory. Awareness raising and public awareness are continuous efforts that should be underlying all upcoming projects relating to the Minamata Convention. One survey respondent said, “thanks to this project, a synergy has been created between the NGOs and the project coordination and frequent meetings are organized to exchange experiences”.

Rating for communication and public awareness: Satisfactory

Rating for factors affecting performance: Satisfactory

VI: Conclusions, Lessons Learned and Recommendations

i. Conclusions

136. Without the MIA project, it would be challenging for the Democratic Republic of Congo to ratify and implement the Minamata Convention. The data, inventories and information on mercury and its compounds are very useful for the country to implement and comply with its obligations under the Convention. The ASGM NAP is useful as the country's roadmap to comply with article 7 (ASGM). With the MIA and NAP, DRC was enabled to collect data on the quantity of mercury in each of its environment media (air, water, land) and to quantify the amounts of mercury containing products imported illegally, and disposed of informally, by different sectors and industries (medical equipment, batteries, dental amalgam, ASGM) in order to devise appropriate action plans and to identify tailored priorities on the road towards implementation. Using the necessary scientific and technical knowledge and tools, the project delivered complete MIA and ASGM NAP implementation plan that allows mercury to be mainstreamed in the country's priorities. The MIA and NAP created sufficient awareness on mercury and its compounds at the national level. The MIA and NAP underwent sufficient review by national stakeholders and national/local consultants as well as global technical experts in a cost-effective manner.

137. The project design was satisfactory, linking the project to UNEP's Medium-Term Strategy and Programme of Work, as well as to GEF 5 Strategic Priorities. The strategic relevance places the project in the context of UNEP's mandate and GEF's priorities. Relevance to national priorities and needs was highlighted especially in the ASGM sector. It highlighted the links to the country's priorities as embodied in the DRC's UN Development Assistance Framework (UNDAF) and legislative framework especially on chemicals and waste. The project document provided very good background on the DRC's institutional framework and capacities, mercury activities and ASGM sector, existing coordination mechanisms and recognized the external context of a presidential election and presence of armed conflicts in ASGM sites..

138. The strengths of the design include the strategic relevance, stakeholder analysis, background on DRC mercury and ASGM activities, the governance and supervision arrangements, and the risk identification and social safeguards. The governance and supervision arrangements clearly identify how the project is to be executed and monitored, sharing and defining stakeholder roles and responsibilities, to encourage sound implementation. The financial planning is sound and does not display any deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage are well prepared, reasonable and transparent, contributing to its sustainability and overall success. Moreover, the project has a clear Theory of Change presented in narrative form. Stakeholder analysis was robust at the design phase where all relevant government agencies, civil society and mining communities to be engaged were identified. This facilitated a sense of national ownership of the project . Moreover, the very active national coordinators (MIA and NAP) were all motivated and driven to deliver the outcomes. Gender and human rights were highlighted in the project document.

139. The project design also mentions the nature of external context where clear mention of likelihood of conflict, which can be due to the internal armed conflict and militia groups in ASGM sites, and a decade of civil war, that could affect project delivery. The nature of external context was favourable. The presidential election was anticipated, but despite this, the country still experienced political instability

with the change of dates in the elections that caused a delay in project delivery. This led to a request for project extension.

140. The project had administrative delays and project extension was requested; hence forecasts (substantial and financial) should be managed better in order to improve efficiency. Also, it is essential for the Executing Agency and national co-executing partners to hold pre-contract meetings in order to set expectations and ensure full understanding of the project expected outcome and outputs. Early contracts between the Executing Agency and National Co-Executing partners should be in place to ensure timely compliance and delivery of outputs. These delays could also have been avoided by conducting simultaneous activities and being vigilant in reporting to enable immediate fund release. The no-cost extension however did not affect the delivery of project outputs.

141. Despite the project delays, the project was able to deliver the outputs that led to the desired outcomes: The existing National Coordination Mechanism Committee was enhanced, and all stakeholders were engaged including civil society via the Stakeholder Advisory Group. The project delivered on the assessment of national infrastructure capacity on mercury management, including relevant national legislations and multilateral environment agreements where DRC is signatory.

142. As for the mercury inventory in the MIA and NAP, there were challenges in obtaining reliable data on energy consumption, products and waste from the relevant Ministries likewise caused delays in project execution. Data collection was not centralized since the DRC has decentralized government, devolved in 26 provinces. There was difficulty in obtaining mercury in product such as in skin whitening creams and cosmetics. It is important to note that the default factors used in the Toolkit for developing the inventory may overestimate some categories and conversely underestimate others. This may explain the percentage of primary metal production in relation to other categories which, normally, are very important for the country. Then the level 2 inventory was carried out using the level 2 of the Toolkit. Since DRC does not yet have country-specific input and output factors, the default factors proposed by the spreadsheet of the inventory level 2 were used. According to one respondent, he would have preferred to go to the field and obtain the data himself rather than rely on a desk study. He adds that it would be better to divide project into teams for simultaneous data collection. This would however imply more project funds for MIA field visits. The quality of the MIA and NAP as concrete outputs is good, and also includes an implementation plan which is optional in this project. Awareness raising materials and the communication strategy are also of good quality.

143. Achievement of outcomes could be attributed directly to the project which is “enabling” in nature, to the good quality of project design, management and supervision, stakeholders’ participation, communication and public awareness. Responsiveness to human rights and gender equity was highlighted in the ASGM NAP.

144. A project revision was done in terms of extending the project timeline to allow more time to conduct national consultations/validation and for the EA to finalize the reports on challenges and opportunities as well as in drafting the final MIA and NAP. A more realistic timeframe would benefit future projects.

145. The project ensured sustainability by engaging local consultants from the academe on how to do mercury inventories. While socio-political and institutional sustainability is likely, financial sustainability after project completion would be moderately unlikely. There is a need for a regional framework to ensure the project’s sustainability by encouraging countries in the subregion (West Africa) to share data, experiences, and information to ensure financial sustainability such as by engaging the private sector.

146. The project's strengths have been the quality of project design, preparation and readiness, stakeholder participation, cooperation and partnerships, smooth collaboration among the government agencies and stakeholders (especially the mining community) in the DRC that delivered on the outputs in both MIA and NAP. There was also regular communication between the executing agency (UNITAR) and the co-executing partner (Congo Environment Agency) as well as with the implementing agency (UNEP) addressing issues and concerns during implementation. The selection of the appropriate project national coordinators for the MIA and NAP , both from the national government and academe was also considered a strength of the project.

147. This close working relationship among stakeholders in DRC is currently sustained by a "National Chemicals Management on Mercury" that includes government agencies, local government authorities, civil society, academe, local mining communities. This group continues to communicate and meet regularly . The robust stakeholder analysis at the design phase was thorough and is highly satisfactory, as it includes relevant stakeholders including their interest/influence and their potential role done in consultation with the national government. This facilitated stakeholder engagement in project execution. Country ownership and drivenness was evident during project execution.

148. In terms of the process and quality of delivering the MIA and NAP, the project benefitted by a series of reviews by both the EA and the IA "peer reviewers". Furthermore, the GEF ASGM global component also provided valuable review input into the final products.

149. The project's weaknesses have been mainly the completion against the original, proposed timeframe and delays in reporting and delivery that resulted in delays of fund release from IA to EA. There was also delay due to the change in government brought about by the presidential election. While this was anticipated in the project design, a more realistic project timeframe should have been set. The magnitude of the country was not also factored in the design, which also caused delays in transport to the ASGM sites. Simultaneous activities by task teams may also ensure efficiency in enabling projects in the future.

150. The gender and socio-economic dimensions and links to poverty alleviation was highlighted in the project document, however there was no sex-disaggregated data in the in the MIA. According to one survey respondent, the inventory survey did not consider gender thus no sex disaggregated data was available. Nevertheless, gender considerations were highlighted in the ASGM NAP. Reference was made on the vulnerable populations at risk (women, youth, and children) in the ASGM NAP. The links to human rights or its effect on indigenous people is highlighted in ASGM NAPs.

151. Overall, this enabling project was able to deliver on the outputs and outcomes, with the support of the able executing agencies and the implementing agency Task Manager. The DRC is on its road to ratifying and implementing the Minamata Convention, ultimately protecting human health and the environment from the toxic effects of mercury.

152. ii. Lessons Learned:

Lesson 1: Engaging the EA and national EA as well as key stakeholders at the project design stage will ensure better understanding of the project outputs and outcome. These pre-contract meetings could facilitate a sense of ownership and enable addressing country specific needs for project execution. The

project was designed by the IA as a standard "enabling" project but would have benefited from consultation or pre-implementation meetings with the EA and national co-executing partners to address country -specific needs such as having a realistic project timeframe given the political instability and armed conflict in the DRC. The Executing Agency must hold pre-implementation information/expectation setting sessions with the country. It is important to engage the EA and stakeholders in the project design stage to have a sense of ownership of the project upfront.

Lesson 2: Specifying activity and monitoring timelines in contracts/agreements between the IA and EA and with the partner executing agency (national EA) will avoid project extensions and ensure timely delivery of outputs.. Conduct of simultaneous activities could be considered. This will avoid project extensions and ensure timely delivery of outputs.

Lesson 3: Gender dimensions of chemicals/mercury should be included in the assessment. While the gender and the role of women was highlighted in the MIA and ASGM NAP, there was no emphasis in obtaining sex- aggregated data in the MIA.

Lesson 4: The political instability with several dates of the local elections as well as armed conflicts in ASGM areas caused delays in the project and a more realistic timeframe would benefit the project.

Lesson 5: The magnitude of the country should be considered in the design of the project. Delays of project execution were also due to the time required for the project team to reach the project sites.

153. III Recommendations:

154. Taking into account the scope of the evaluation and based on the main findings, conclusions and lessons learned, the recommendations that follow are addressed to UNEP as Implementing Agency, UNITAR as executing agency, and to national coordinators to help in the implementation and execution of future projects of similar nature, I,e, "enabling projects" dealing with initial assessments and drafting of national action plans, as well as for countries with a similar socio-economic- political background.

At the design or pre-implementation phase of the project,

Recommendation 1 for the IA and EA: The EA and its executing partner (in this case the national government) needs to be in contact at the project design stage or before project implementation in order to share expectations and express needs such as consideration for external factors (political instability and presence of armed conflict) . The EA, its executing partner and stakeholders need to be engaged in the project design stage to have a sense of ownership of the project upfront.

Recommendation 2 for the IA EA, and national project coordinators: In contracts and agreements, the activity and reporting timelines which has implications in fund release must be clearly specified. Simultaneous activities by task teams that contribute to efficiency could be considered**.** Timely reporting from project coordinators to the EA and consequently to the IA will enable immediate fund release. This will avoid project extensions and ensure timely delivery of projects**.**

Recommendation 3 for IA and EA: Gender, socio-economic (indigenous population) and legal (human rights) experts must be engaged early on in the MIA and NAP. Costing for such experts must be included in project budget.

Recommendation 4 for IA and EA: Political instability such as national elections and armed conflicts should be factored in the timeline of projects. . A more realistic timeframe would benefit the project.

Recommendation 5 for IA and EA: The magnitude of the country should be considered in the timeline of project delivery.

Project forecasts both for substantial and financial aspects need to consider recommendations 4 and 5.

During project execution phase,

Recommendation 6 for the IA, EA, and national project coordinators: Constant and regular communication must be maintained between the IA and EA and national coordinators to address issues that may arise during project execution. Designation of the appropriate national coordinators (with track record of delivery) could ensure delivery of project outputs and outcome.

Post-project phase

Recommendation 7 for the IA, EA and national project coordinators: Countries in the subregion (Southern Africa) should be encouraged to share data, experiences, and lessons learned that could be source of information for financial sustainability. Funding for the national implementation plan is not part of this "enabling" project. Subregional collaboration and sharing of data an experiences would be valuable and could be facilitated by UNEP and UNITAR which have both carried out similar projects in other countries in the sub-region.

Annex A: Assessment of Quality of Project Design Template

TEMPLATE FOR THE ASSESSMENT OF PROJECT DESIGN QUALITY (PDQ)

2. Key sources of information for completing this assessment include the approved project document (ProDoc), the Project Review Committee (PRC) review sheet, the project logical framework or Theory of Change (TOC) at design stage and, where appropriate, a revised project design following a Mid-Term Evaluation/Review. (For GEF projects the GEFSEC reviews sheet and UNEP response sheet should also be reviewed).

3. Unless otherwise marked, 'Section Rating'[2] refers to the question: *In the project design documents, how satisfactorily is the criteria addressed?* Satisfactoriness refers to both the completeness and quality of the content. The section ratings should be aggregated, using the weightings described below, to determine an overall rating for the Quality of Project Design. During the course of the evaluation the overall project design quality rating should be entered in the final evaluation ratings table under Item B. Quality of Project Design.

A.	**Nature of the External Context**[3]		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating (see footnotes 2 & 3) - Highly Unfavourable to Highly Favourable**
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	Yes	There is mention of likelihood of armed conflicts in eastern DRC and the presidential election, ie, change of government was anticipated.	**2**
		ii)Ongoing/high likelihood of natural disaster?	No	There is no mention of likelihood of natural disasters, as it is unlikely they will affect the implementation of the project.	
		iii)Ongoing/high likelihood of change in national government?	No	There is no mention of likelihood of change in national government	
B.	**Project Preparation**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**

2	Does the project document entail a clear and adequate problem analysis?		Yes	Yes, the ProDoc clearly states the need for a national assessement of mercury capacities (institutional and regulatory) to develop an MIA and NAP in the DRC.	**5**
3	Does the project document entail a clear and adequate situation analysis?		Yes	Yes, the ProDoc presents an adequate situation analysis.	
4	Does the project document include a clear and adequate stakeholder analysis?		Yes	Yes, the ProDoc has a thorough stakeholder analysis.	
5	*If yes to Q4:* Does the project document provide a description of stakeholder consultation during project design process? *(If yes, were any key groups overlooked: government, private sector, civil society and those who will potentially be negatively affected)*		Yes	The stakeholder consultation process is well described.	
6	Does the project document identify concerns with respect to human rights, including in relation to differntiated gender needs and sustainable development?	i)Sustainable development in terms of integrated approach to human/natural systems	N/A	This project aims to gather data in order to have a baseline for presence of Hg, therefore it will not affect human/natural systems.	
		ii)Gender	Yes	Yes, the project document specifies that opportunities for women will be present by ensuring that they are well represented in national coordinating committees.	
		iii)Indigenous peoples	Yes	This project engagement of indigenous peoples living in ASGM areas.	

C.	Strategic Relevance		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
7	Is the project document clear in terms of its alignment and relevance to:	i) UNEP MTS and PoW	No	The project document needs to highlight its relevance to UNEP MTS and POW.	**4**
		iii) UNEP/GEF/Donor strategic priorities (incl Bali Strategic Plan and South South Cooperation)	Yes	The project document mentions its alignment to the GEF priority area of chemicals and waste.	
		ii) Regional, sub-regional and national environmental priorities?	Yes	The project document provides an adequate and clear description of alignment and relevance to the DRC's national priorities, current activities and UNDAF priorities.	
		iv) Complementarity with other interventions	Yes	Yes, there is mention of how this project complements other initiatives by UNEP/GEF in SL	
D.	**Intended Results and Causality**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
8	Is there a clearly presented Theory of Change?		Yes		**5**
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in		Yes		

	either the lograme or the TOC?				
10	Are impact drivers and assumptions clearly described for each key causal pathway?		Yes	There is only one main causal pathway ; all descriptions are clear.	
11	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		No	Not in the ToC but this is implied and clarified in a different section of the project document.	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		Yes	If there are no delays in delivery of all activities, the timeframe is realistic for undertaking the activities.	
E.	**Logical Framework and Monitoring**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
13	Does the logical framework:	i)Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes		**5**
		ii)Have 'SMART' indicators for outputs?	Yes		
		ii)Have 'SMART' indicators for outcomes?	Yes		
14	Is there baseline information in relation to key performance indicators?		Yes		

15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		Yes		
16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		Yes	Yes, sufficient assuming there are no delays or errors. Perhaps accounting for errors and delays would be useful in the future.	
17	Have responsibilities for monitoring activities been made clear?		Yes		
18	Has a budget been allocated for monitoring project progress?		Yes		
19	Is the workplan clear, adequate and realistic? *(eg. Adequate time between capacity building and take up etc)*		Yes	Timing realistic assuming all disbursments and no administrative delays occur.	
F.	**Governance and Supervision Arrangements**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
20	Is the project governance and supervision model comprehensive, clear and appropriate? *(Steering Committee, partner consultations etc.)*		Yes	Yes, the PSC's role and implementation arrangements/supervision is clear. The exact composition of the PSC is not in the project document but provided by UNEP TM.	**5**
21	Are roles and responsibilities within UNEP clearly defined?		Yes	As Implementing agency, UNEP is responsible for overall supervision, monitoring and evaluation, and	

				overarching technical support and advice.	
G.	**Partnerships**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
22	Have the capacities of partners been adequately assessed?		Yes		**5**
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?		Yes		
H.	**Learning, Communication and Outreach**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
24	Does the project have a clear and adequate knowledge management approach?		Yes	The project aims to collect data in order to establish a baseline for the presence of mercury in the environment as well as information on the ASGM sector. It relies on a toolkit provided and revised by UNEP, guidance document on NAP development and an established MIA and NAP report template.	**5**
25	Has the project identified appropriate methods for communication with key stakeholders during the project life? *(If yes, do the plans build on an analysis of existing communication channels*		Yes	The project includes an element/component of knowledge management and sharing, via national meetings and training sessions and webinars. At the national level, will convene a national coordination mechanism that will meet and communicate regularly. there is also two	

	and networks used by key stakeholders?)			other levels of communication: Country to EA (UNITAR), and EA to UNEP, both respectively reporting semi-annually.	
26	Are plans in place for dissemination of results and lesson sharing at the end of the project? If yes, do they build on an analysis of existing communication channels and networks ?		Yes	Yes, The Mercury Platform provides a virtual communication channel, in addition to sharing reports with the GEF and the Minamata Convention secretariat (and thus their website) virtually. Practically: national inception meetings and project closure meetings are planned in order to share results and lessons learnt.	
I.	**Financial Planning / Budgeting**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
27	Are the budgets / financial planning adequate at design stage? (coherence of the budget, do figures add up etc.)		Yes	Yes, the financial audit should cover this, but the figures add up for initial and revised budgets.	**Satisfactory 5**
28	Is the resource mobilization strategy reasonable/realistic? *(If it is over-ambitious it may undermine the delivery of the project outcomes or if under-ambitious may lead to repeated no cost extensions)*		N/A	The project is financed via the Convention's mechanism: a GEF grant and in-kind contribution from the DRC.	

J	Efficiency		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
29	Has the project been appropriately designed in relation to the duration and/or levels of secured funding?		Yes		**4**
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?		Yes	The project considers existing partnerships at country level.	
31	Does the project document refer to any value for money strategies (ie increasing economy, efficiency and/or cost-effectiveness)?		Yes	The project document details a cost effectiveness analysis/strategy.	
32	Has the project been extended beyond its original end date? *(If yes, explore the reasons for delays and no-cost extensions during the evaluation)*		Yes	The project has been extended mainly due to delays in delivery, which in turn are caused by delays in disbursement of funds from GEF/UNEP. There was a significant delay in release of funds, around 8 months, which led to a need to extend the PCA in order to deliver results.	

K.	Risk identification and Social Safeguards		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
33	Are risks appropriately identified in both the ToC/logic framework and the risk table? *(If no, include key assumptions in reconstructed TOC)*		Yes	The risk assessment is implicitly included in the ProDoc.	**5**
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate*? (consider unintended impacts)*		N/A	The project's aim is to provide a baseline for mercury data and information in the country, therefore it will have no negative impacts on the environmental, social, and economic dimensions. The NAP's action plan elements are also developed so as to consider the diverse socio-economic impacts of assessing the informal gold mining sector, being careful not to create negative impacts	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? *(including in relation to project management)*		N/A	The project's aim is to provide a baseline for information on mercury in the country, therefore it will have no negative environmental footprint. For the NAP's considerations of alternative mining strategies, negative or unintended consequences are considered.	
L.	**Sustainability / Replication and Catalytic Effects**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
36	Was there a credible sustainability strategy at design stage?		Yes	The combination of assumptions, risk assessment and the scoping nature of the project, provides for a credible sustainability strategy at the design stage.	**5**

37	Does the project design include an appropriate exit strategy?		No	This does not apply due to the nature of the Enabling Activity.	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?		Yes	This does not apply due to the nature of the project as a scoping and baseline establishing activity. The project does promote a sustainable communication channel nationally via the national coordination mechanism	
39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?		Yes	Clearly stated in section B of the prodoc.	
M.	**Identified Project Design Weaknesses/Gaps**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
40	Were there any major issues not flagged by PRC?		No		**5**
41	What were the main issues raised by PRC that were not addressed?		N/A		
N	**UNEP Gender Marker Score**	**SCORE**		**Comments**	**No Rating**

42	What is the Gender Marker Score applied by UN Environment during project approval? (This applies for projects approved from 2017 onwards) **0 = gender blind:** Gender relevance is evident but not at all reflected in the project document. **1 = gender partially mainstreamed:** Gender is reflected in the context, implementation, logframe, or the budget. **2a = gender well mainstreamed throughout:** Gender is reflected in the context, implementation, logframe, and the budget. **2b = targeted action on gender:** (to advance gender equity): the principle purpose of the project is to advance gender equality. **n/a = gender is not considered applicable:** A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender	1	Yes	It is specified that the project is to ensure opportunities for women to participate contribute to and benefit from the project outcomes. Meetings specify gender disaggregated data. Gender is reflected in the context, implementation, and budget	

	is considered not applicable.				

NOTES

1 For Terminal Evaluations/Reviews where a revised version of the project was approved based on a Mid-Term Evaluation/Review, then the revised project design forms the basis of this assessment.

2 A number rating 1-6 is used for each section: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

3 For 'Nature of External Context' the 6-point rating scale is changed to: Highly Favourable = 1, Favourable = 2, Moderately Favourable = 3, Moderately Unfavourable = 4, Unfavourable = 5 and Highly Unfavourable = 6.
(Note that this is a reversed scale)

Annex B: Final Financial Report

HALF YEARLY EXPENDITURE STATEMENT and UNLIQUIDATED OBLIGATIONS REPORT (US$)													
Project title:		Development of the Minamata Initial Assessment and the National Action Plan for Artisanal and Small Scale Gold Mining in the Democratic Republic of Congo (DRC)											
Project number:		GEF Project ID 9453; 2017/MIA_NAP DRC TARCW022											
Project implementing agency/organization:		UN Environment											
Project implementation period:		From:	**31.10.2016**		to:	**30.03.2020**							
Reporting period:		From:	**01.01.2020**		to:	**30.03.2020**							
UNEP Budget Line		UNEP approved budget				Actual expenditure incurred*							
		Total project **(n.b. as per new budget)** budget	Current YEAR budget 2019	Expenditure for current Q1-2020	Outstanding advances from IPs for 2020/Pre-financing for current YEAR 2020	Total expenditures for current YEAR 2020	Cumulative expenditures for previous YEAR 2019	Cummulative expenditures for previous YEAR 2018	Cummulative expenditures for previous YEAR 2017	Cummulative expenditures for previous YEAR 2016	Total cummulative expenditures to date	Cummulative unspent balance to-date	
		A	B	C	D	E=C+D	F	G	H	I	J=E+F+G+H+I	K=A-J	
1100	**Project**												

	personnel						-				-	-	
1101	Project coordinator	50,900				-	3,200	1,478	28,250	20,250	53,178	(2,278)	
1102	Project assistant	20,000				-	3,250		10,000	6,750	20,000	-	
1200	**Consultants**					-	-				-	-	
1201	National Consultants	229,100				-	104,824	56,300	70,776		231,900	(2,800)	
1202	International consultants	143,950		7,412		7,412	84,591	17,244	42,102		151,348	(7,398)	
1300	**Administrative support**					-	-				-	-	
1301	Project finance officer	20,000				-	13,400		6,600		20,000	-	
1600	**Travel on official business**					-	-				-	-	
1601	Travel project coordinator/ project staff	125,550		692		692	82,217		42,641		125,550	(0)	
2100	**Sub-contracts (UN entities)**					-	-				-	-	
2101	Mercury Global Partnership - UNEP*** **(see note below)**	50,000				-	-				-	50,000	
3200	**Group training**					-	-				-	-	
3201	Training on national inventory development	122,500		16,600		16,600	61,106		49,898		127,604	(5,104)	

3300	**Meetings/Conferences**					-	-				-	-	
3301	National project inception workshop	40,000				-	-		27,000		27,000	13,000	
3302	Final national lessons learned workshop	30,000		25,039		25,039	7,481				32,520	(2,520)	
3303	National Coordination Committee mtgs	77,000				-	59,900	600	18,600		79,100	(2,100)	
4100	**Expendable equipment**					-	-				-	-	
4101	Operational costs	26,000		-		-	4,021	14,619	6,346	1,014	26,000	0	
4200	**Non-expendable equipment**					-	-				-	-	
4201	Computer, fax, photocopier, projector	6,000				-	3,300		2,700		6,000	0	
4202	Software	3,000				-	-		3,800		3,800	(800)	
5200	**Reporting costs**					-	-				-	-	
5201	Summary reports, visualization and diffusion	13,000				-	13,000				13,000	-	
5202	Preparation of final report	10,000				-	10,000				10,000	-	
5300	**Sundry**					-	-				-	-	

5301	Communications (postage, bank transfer, etc)	3,000				-	435	600	1,940	25	3,000	-	
5500	**Evaluation**					-	-				-	-	
5501	Independent terminal evaluation***	20,000				-	-				-	20,000	
5502	Independent financial audit	10,000		-		-	-				-	10,000	
99	**GRAND TOTAL**	**1,000,000**	**-**	**49,743**	**-**	**49,743**	**450,724**	**90,841**	**310,652**	**28,039**	**930,000**	**70,000**	
****USD70,000 is maintained with UNEP for the development of guidance and global activities, which is impacted to this project and not managed by UNITAR*													
Note re. line 2101 - The spending of the UN Sub contract funds, budget line 2101, was communicated to us by the UN Environment Global Mercury Partnership".													
*The actual expenditures should be reported in accordance with the specific budget lines of the approved budget (Appendix 1) of the project document in Annex 1													
The appended schedule "Explanation for expenditures reported in quarterly expenditure statement" should also be completed													

EXPLANATION FOR EXPENDITURES REPORTED IN QUARTERLY EXPENDITURE STATEMENT			
From:		Total expenditure for Q1 2020	EXPLANATION
To:			
BL**	Budget Line description		
1100	Project personnel		Project coordination
1200	Consultants	7,412	
1300	Administrative support		Admin support for the project

1600	Travel on official business	692	
2100	Sub-contracts (UN entities)		
2200	Sub-contracts (supporting organizations)		
2300	Sub-contracts (for commercial purposes)		
3200	Group training	16,600	Contunued support for inventories, especially for level II work
3300	Meeting/Conference	25,039	Preparation costs for final workshop
4100	Operational costs		
4200	Non-expendable equipment		
4300	Premises		
5100	Operations and maintenance		
5200	Reporting		
5300	Sundry		
5400	Hospitality and entertainment		
5500	Evaluation	-	
99	**Total as per Expenditure Statement**	**49,743**	***equals total of column F***
**Budget Lines (BL) in this report shall be exactly as specified in the approved budget (Appendix 1) of the project.			

Name	Joel Thalla	Title:	Chief, Finance and Budget Section			Name of Project Manager:		Jorge Ocana					
	Duly authorized Official of Executing Agent	Date:	5 June 2020				Signature:					Date:	5 June 2020
Signature													

Annex C: List of documents consulted

GEF 2009. The ROtL Handbook: Towards Enhancing the Impacts of Environmental Projects GEF 2016. Report of the GEF to the 7th Session of the Intergovernmental Negotiating Committee on Mercury

GEF 2017. Independent Evaluation Office Chemicals and Waste Focal Area Study

UNDP 2011. Energy & Environment Practice – Gender Mainstreaming *Guidance Series* – Chemicals Management – "Chemicals and gender"

UN Environment 2014. Request for Persistent Organic Pollutants Enabling Activity: Development of Minamata Initial Assessment in Africa

UN Environment 2014. Project Cooperation Agreement for the MIA Project

UN Environment 2016. Evaluation Office: Guidance on the Structure and Contents of the Main Evaluation Report

UN Environment 2019. Terms of Reference for the Terminal Review of the UN Environment/Global Environment Facility project "Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in DRC"

UNEP 2020. "Defining the road ahead: Challenges and solutions for developing and implementing national action plans to reduce mercury use in artisanal small-scale gold mining"

UNEP Project document and logical framework (DRC)

Project evaluation inception report (March, 2020)

Project Bi-annual narrative reports and financial reports

UNEP medium term strategy and programme of work (2014- 2017)

GEF policies, strategies and programme pertaining to chemicals and waste

Annex D: List of key stakeholders (Please see separate document)

Annex E: Terms of Reference of the Terminal Review (Please see separate document)