



# TERMINAL REVIEW OF THE UNEP/GEF ENABLING ACTIVITY ID 9535

“DEVELOPMENT OF NATIONAL ACTION PLAN FOR ARTISANAL AND  
SMALL-SCALE GOLD MINING IN MONGOLIA”

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Table 1: Project Identification Table

<b>Executing Agency:</b>	Ministry of Environment and Tourism (MET) (formerly Ministry of Environment, Green Development and Tourism)		
<b>Sub-programme:</b>	Chemicals and Wastes	<b>Expected Accomplishment(s):</b>	PoW 2016-2017 - Subprogramme 5 chemicals and waste -  EA (a) countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.
<b>UN Environment approval date:</b>		<b>Programme of Work Output(s):</b>	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
<b>GEF project ID:</b>	9535	<b>Project type:</b>	EA
<b>GEF Operational Programme #:</b>	2	<b>Focal Area(s):</b>	C&W
<b>GEF approval date:</b>	05 July 2016	<b>GEF Strategic Priority:</b>	Mercury
<b>Expected start date:</b>	September 2016	<b>Actual start date:</b>	3 March 2017
<b>Planned completion date:</b>	September 2018	<b>Actual completion date:</b>	31 October 2019
<b>Planned project budget at approval:</b>	\$500,000	<b>Actual total expenditures reported as of 31 Dec 19:</b>	\$475,336
<b>GEF grant allocation:</b>	\$500,000	<b>GEF grant expenditures reported as of 31 Dec 19:</b>	\$475,336
<b>Project Preparation Grant - GEF financing:</b>	n/a	<b>Project Preparation Grant - co-financing:</b>	n/a
<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	n/a	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	n/a
<b>First disbursement:</b>	03 Mar 2017	<b>Date of financial closure:</b>	31 Dec 2019

<b>No. of revisions:</b>	1	<b>Date of last revision:</b>	13 March 2019	
<b>No. of Steering Committee meetings:</b>	n/a	<b>Date of last/next Steering Committee meeting:</b>	Last: n/a	Next: n/a
<b>Mid-term Review/ Evaluation (planned date):</b>	n/a	<b>Mid-term Review/ Evaluation (actual date):</b>	n/a	
<b>Terminal Review (planned date):</b>	Q1 2020	<b>Terminal Review (actual date):</b>	Q1 2020	
<b>Coverage - Country(ies):</b>	Mongolia	<b>Coverage - Region(s):</b>	Asia	
<b>Dates of previous project phases:</b>	n/a	<b>Status of future project phases:</b>	n/a	

## Executive Summary

This report is the Terminal Review of the enabling activity entitled “Development of National Action Plan for Artisanal and Small-Scale Gold Mining in Mongolia”. The project was implemented by the United Nations Environment Programme and executed by the Ministry of Environment and Tourism (MET) of Mongolia. Mongolia was eligible for GEF funding for the project in order to comply with Article 7 of the Minamata Convention. The budget of the project was of \$500,000 and no co-financing was allocated. The project was approved in July 2016 and implementation began in March 2017 with the first disbursement of cash advance. The project was successfully implemented with one extension and ended on 31 October 2019 (instead of 3 March 2019). By 31<sup>st</sup> December 2019, and as per the last expenditure report, the total cumulative expenditure to date (\$475,336) represents 95% of the total budget, leaving a total cumulative unspent balance to date (24,664) at 4.9% of the budget to cover the final evaluation.

The project objective was to protect human health and the environment from the risks posed by mercury emissions and releases in the artisanal and small scale gold mining sector in Mongolia through the development of a national action plan in compliance with Annex C of the Minamata Convention. To reach this objective, the project defined two components:

1. Global technical support for NAP development
2. Endorsement and submission of the National Action Plan to the Minamata Secretariat

The National Action Plan was officially endorsed by the Government of Mongolia with Resolution 317 in August 2019 and in accordance with the regulations on policy documents, relevant Ministries including MET and Ministry of Mining and Heavy Industry are obligated to develop a detailed implementation workplan as stated in the NAP. Currently draft workplan is under ongoing discussion among Ministries. The expected submission date of the NAP to the Minamata Convention Secretariat is within the first half of 2020.

This terminal review is based primarily on a desk review of project documents, outputs and reports, and complemented by responses on questionnaires with available stakeholders through email exchanges.

<b>Evaluation criteria</b>	<b>Rating</b>
<b>Strategic Relevance</b>	<b>Highly Satisfactory</b>
<i>Alignment to MTS and POW</i>	Highly Satisfactory
<i>Alignment to UNEP/GEF/Donor strategic priorities</i>	Highly Satisfactory
<i>Relevance to regional, sub-regional and national issues and needs</i>	Highly Satisfactory

<i>Complementarity with existing interventions</i>	Highly Satisfactory
<b>Quality of Project Design</b>	<b>Satisfactory</b>
<b>Nature of External Context</b>	<b>Highly Favourable</b>
<b>Effectiveness</b>	<b>Highly Satisfactory</b>
<i>Availability of outputs</i>	Highly Satisfactory
<i>Achievement of direct outcomes</i>	Highly Satisfactory
<i>Likelihood of impact</i>	Highly Likely
<b>Financial Management</b>	<b>Highly Satisfactory</b>
<i>Adherence to UNEP's policies and procedures</i>	Highly Satisfactory
<i>Completeness of project financial information</i>	Satisfactory
<i>Communication between finance and project management staff</i>	Highly Satisfactory
<b>Efficiency</b>	<b>Highly Satisfactory</b>
<b>Monitoring and Reporting</b>	<b>Satisfactory</b>
<i>Monitoring design and budgeting</i>	Satisfactory
<i>Monitoring of project implementation</i>	Satisfactory
<i>Project reporting</i>	Satisfactory
<b>Sustainability</b>	<b>Highly Likely</b>
<i>Socio-political sustainability</i>	Highly Likely
<i>Financial sustainability</i>	Highly Likely
<i>Institutional sustainability</i>	Highly Likely
<b>Factors Affecting Performance</b>	<b>Highly Satisfactory</b>
<i>Preparation and readiness</i>	Highly Satisfactory
<i>Quality of project management and supervision</i>	Highly Satisfactory
<i>Stakeholder participation and cooperation</i>	Highly Satisfactory
<i>Responsiveness to human rights and gender equity</i>	Satisfactory
<i>Environmental, social and economic safeguards</i>	Highly Satisfactory
<i>Country ownership and driven-ness</i>	Highly Satisfactory
<i>Communication and public awareness</i>	Highly Satisfactory

## Conclusions

The project has successfully reached its objective of developing a national action plan aiming to reduce mercury emissions and releases in the artisanal and small-scale gold mining sector.

The project was strategically relevant to UNEP's priorities and was complementary to previous and existing interventions in Mongolia, in its efforts to implement and comply with the Minamata Convention. It builds on the Minamata Initial Assessment (implemented by UNIDO) and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7.

The data gathering aspect of the project was successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM. The project design was realistic, and the time frame sufficient to develop and officially endorse the National Action Plan. No financial mismanagement or issues were reported, and the budget did not require revision during the implementation. Monitoring, reporting and evaluation plans were executed as per the project design, and all stakeholders interviewed complimented the process and felt implicated and their views heard and reflected in the outputs.

However, there were minor challenges encountered during the baseline data collection process. Since mercury use is prohibited in Mongolia in ASGM practices, miners were unwilling to report the true usage of mercury because they were afraid of penalty. In addition, there were incidences of lack of devices and equipment to measure mercury in air and soil in remote areas. Furthermore, due to time constraints on the project, data collection had to be conducted during the cold winter months that made travel more difficult.

Moreover, gender mainstreaming was considered, however, no gender specialist was recruited on the project as planned at the design stage. Therefore, no extensive elaboration on gender mainstreaming activities were conducted during NAP formulation and described in the final NAP. This does not affect the quality of the NAP but should be further considered during NAP implementation.

The NAP developed is a high-quality assessment of the ASGM sector and strategy to reduce the use of mercury and formalize the sector. Its future implementation is however largely dependent on continuous capacity building at the national level, public awareness, financial availability, and coordination with other ASGM projects in country.

#### Lessons learned

- Data collection and field visits are vital to the NAP project: not only does it provide a realistic assessment of the amounts of mercury used in, and emitted and released by the ASGM sector, but it also allows the executing agency to come in contact with the local communities and consider their needs and concerns when developing the NAP. Therefore, the timing and preparation of the field visits should be carefully planned and considered including extreme weather conditions and availability of needed equipment.
- Since mercury use is prohibited in Mongolia, more time and effort in raising public awareness and explanation to local government officials and miners are needed in order to obtain accurate data on mercury use.
- Gender mainstreaming of NAP projects should be conducted more thoroughly, as defined in guidance developed by UNEP and the GEF.

#### Recommendations

- When developing future NAP projects, the Implementing Agency should define gender considerations in the LogFrame, with targets, indicators and means of verification. This will anchor the considerations in the project document, give the EA with a clear expectation of results and facilitate the execution and evaluation of this aspect.
- No logical framework nor Theory of Change were included at project design, it is recommended to include them in future projects.

## Introduction

The following report is the Terminal Review (TR from hereafter) of the enabling activity project entitled “Development of National Action Plan for Artisanal and Small-Scale Gold Mining in Mongolia”. The project’s objective is to protect human health and environment by facilitating the development of a National Action Plan (NAP from hereafter) to reduce the use of mercury and mercury compounds in, and the emissions and releases of, artisanal and small-scale gold mining (ASGM from hereafter).

The project was executed by the Ministry of Environment and Tourism (MET from hereafter). Mongolia ratified the Minamata Convention on 28 September 2015. On 07 March 2016 the National Focal Point of the Minamata Convention on Mercury of Mongolia notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 7 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within Mongolia.

Concurrently, the GEF Operational Focal Point of Mongolia endorsed the development of an ASGM National Action Plan on 07 March 2016 with UNEP as Implementing Agency. The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF Chief Executive Officer endorsed the project on 05 July 2016 as part of GEF’s efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”; program 2 “support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring”.

The overall budget was of \$500,000 and no co-financing was allocated. The project proposal was prepared and submitted in 2016, with duration of 24 months starting from the first disbursement in March 2017. By 31 December 2019, and as per the last expenditure report, the total cumulative expenditure to date (\$475,336) represents 95% of the total budget, leaving a total cumulative unspent balance to date of 4.9% of the budget (\$24,664) to cover the final evaluation.

The National Action Plan has synergies with the Green Development Policy and supports its objective to ensure ecosystem’s carrying capacity and reduce environmental pollution and degradation. The NAP contributes to the implementation of Sustainable Development Vision of Mongolia, the Government Action Plan 2016-2020, State Minerals Policy 2014-2025 and facilitates effective enforcement of the Regulation for Extraction of Minerals through Small-scale Mining. The NAP will further advance Mongolia’s commitment to human rights, social inclusiveness and gender equality.

The project also contributed to achieve UNEP’s Programme of Work for 2016-2017<sup>1</sup> through its expected accomplishment A under Sub-programme 5: Chemicals and Waste, and in line with the Medium-Term Strategy<sup>2</sup> (MTS) by increasing each country’s capacity to manage chemicals and waste, and by increasing collaboration between the secretariats of chemicals and waste-related multilateral environmental agreements.

This TE is addressed to the participant country, the executing agency, the implementing agency and the financing agency, as well as any other country or agency in the region intending to learn from previous experience of the NAP projects or planning a similar enabling activity.

## The Terminal Review

The TR was carried out from January to March 2020 by an independent consultant, Grace Halla, under the supervision of the Senior Task Manager of the GEF Team at the Chemicals and Health Branch of the Economy Division of UN Environment Programme.

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<sup>1</sup> [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed biennial programme of work and budget for 2016-2017 Report of the Executive Director-2014PoW 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20Report%20of%20the%20Executive%20Director-2014PoW%202016-2017%20as%20approved%20by%20UNEA%20Jun2014.pdf.pdf?sequence=3&isAllowed=y)

<sup>2</sup> [https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP Medium Term Strategy 2014-2017-2015MTS 2014-2017.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7670/-UNEP%20Medium%20Term%20Strategy%202014-2017-2015MTS%202014-2017.pdf.pdf?sequence=3&isAllowed=y)



The TR 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 national and regional level, and for the overall implementation of the Minamata Convention. This will be done through promoting operational improvement, learning and knowledge sharing between national stakeholders. To be effective, the review had a 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 have happened in the absence of the project and what happened as a result of the project nationally.

The TR aims to be a participatory process, and the evaluator has been in contact with various members of the project National Working Group throughout the review period. It was not possible to arrange travel to Mongolia due to the lack of time; therefore, communication with national stakeholders was done through email exchanges using questionnaires. Three sets of questionnaires were developed by the reviewer for: 1) main national counterpart (MET), 2) national coordinator, and 3) national stakeholders and consultants. The questionnaires were distributed by the national coordinator to the other national stakeholders and consultants. Out of a total of 16 stakeholders, 4 responded to the questionnaire and their respective identities, including gender, were protected.

The completed questionnaires, the project outputs and the project documentation review were the main evidence used in verifying the outcomes of the project components. 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 assessed throughout the report, 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 cross-checked to the extent possible, while the logic behind the evaluator's judgement is explained when necessary.

## The Project

### Context

The Minamata Convention on mercury aims to protect human health and the environment from man-made emissions and releases of mercury and its compounds; through a set of measures to control the supply and trade, including limitations on certain specific sources of mercury such as primary mining, and to control mercury-added products and manufacturing processes in which mercury or mercury compounds are used, as well as artisanal and small scale gold mining. In addition, the Convention also contains measures on the environmentally sound interim storage of mercury and on mercury wastes, as well as contaminated sites<sup>3</sup>.

According to the MC Secretariat, "pursuant to Article 7.3 of the Minamata Convention, a Party that at any time determines that artisanal and small-scale gold mining and processing in its territory is more than insignificant shall notify the Secretariat. Such Party shall also develop and implement a national action plan in accordance with Annex C of the Convention; submit its national action plan to the Secretariat no later than three years after entry into force of the Convention for it or three years after the notification to the Secretariat, whichever is later; and thereafter, provide a review every three years of the progress made in meeting its obligations under Article 7 and include such reviews in its reports submitted pursuant to Article 21.

At its first meeting, the Conference of the Parties agreed to the use of the guidance<sup>4</sup> on the preparation of national action plans.<sup>5</sup>"

According to the mercury inventory report in the ASGM sector, Mongolia uses a minimum of 235.4 Kg of mercury<sup>6</sup> per year. This number appears to be underestimated as smuggling of mercury has been reported up to 170.4 kg

<sup>3</sup> <http://www.mercuryconvention.org/Convention/Text/tabid/3426/language/en-US/Default.aspx>

<sup>4</sup> <http://www.mercuryconvention.org/Convention/Formsandguidance/tabid/5527/language/en-US/Default.aspx>

<sup>5</sup> <http://www.mercuryconvention.org/Countries/Parties/NationalActionPlans/tabid/7966/language/en-US/Default.aspx>

between 2016 and 2017. In Mongolia, mercury is likely to be illegally traded through informal gold supply chain, shopping centers, blacksmith shops and markets. With the decline in placer gold deposits, artisanal miners are likely to transition to hard rock mining sites and this may trigger greater use of mercury, which is forbidden in Mongolia.

Four objectives and 13 strategies alongside with 69 measures to be implemented have been elaborated in the NAP to be implemented between 2019 and 2023. They aim to eliminate the worst practices and harmful technologies, accelerate ASGM sector formalization, protect health of artisanal and small scale miners, particularly women and children and prevent exposure to mercury and increase access to information.

The main environmental authority in Mongolia, the MET, has previous experience in mercury management and making significant efforts to regulate chemicals in general, through its work on other MEAs such as the Basel, Rotterdam Stockholm and Stockholm Conventions. The project is therefore relevant to the national priorities, and it is essential for the government to have a detailed picture of the ASGM sector, formalize activity and protect human health and the environment from the use, emissions and releases of mercury.

The Baseline Socio-Economic Survey on ASGM covered 15 soums in 5 aimags located in 3 regions of Mongolia: (a) Bayangol and Mandal soums, Tunkhel Village of Mandal soum in Selenge aimag, Bornuur and Zaamar soums in Tuv aimag representing Central Region; (b) Bayan-Ovoo, Galuut, Bumber, Jargalant soums in Bayankhongor aimag and Buregkhangai soum in Bulgan aimag representing Khangai Region; and (c) Yesunbulag, Taishir, Tsogt, Altai and Chandmani soums in Gobi-Altai aimag representing Western Region. In total, the team visited 35 deposits of which 26 or 74.29% were placer (alluvial) deposits and 9 or 25.71% were hard rock deposits.

The sample size was 375; 67.7% were male and 32.3% were female, all of age above 16. Of the respondents, 21.1% of the survey units were the members of ASGM NGOs and partnerships that were engaged in ore extraction, 18.1% were working on ore processing, 7.8% were heads/leaders of NGOs and partnerships, 4.3% were ore transporters, 23.5% were informal artisanal gold miners, 5.6% were gold traders (mostly called changers or middlemen) and 4.3% were the representatives of local government organizations including senior and mid-level officers, inspectors, and healthcare workers.

The number of ASG miners in Mongolia fluctuate throughout the season. The Survey on ASM, conducted by the National Statistics Office of Mongolia in 2016 with the support of Sustainable Artisanal Mining (SAM) project estimated 11,962 artisanal and small-scale miners that were actively engaged in operations of 332 points belonging to 113 deposits or occurrences in 97 soums of 18 aimags and one district of Ulaanbaatar<sup>7</sup>. Out of the survey respondents, 5,108 people were engaged in gold mining. Other sources point out that the number of ASG miners is greater than the official statistics provided by the NSO. The study by Robert Sandmann (2010)<sup>8</sup> points to different sources on estimation of the number of small-scale miners and provides various numbers fluctuating between 30,000 and 100,000 (WB, 2003, Ruhmann and Becker, 2003, WB, 2007). GEF Gold Project by UN Environment says the ASGM sector employs 40,000 to 60,000 individuals.

**Table 2: Estimation of likely mercury use in Mongolia<sup>9</sup>**

No	Region	Aimag	Soum, district, village	Average values for small-scale gold mines	Production of small-scale gold mines	Potential mercury use (1 gr 24K Au:1.3

<sup>6</sup> National Action Plan, Mongolia, August 2019, page 2

<sup>7</sup> National Statistics Office (NSO) 2017. ASM Survey 2016 Report.

<sup>8</sup> Sandmann. R., 2010. Artisanal and Small-Scale Gold Mining in Mongolia – A Contribution to Sustainable Development? Study on Socio-Economic Changes in Bornuur Soum Center after Foundation of XAMO Company. Retrieved on 8 March 2019 from <https://asmhub.mn/en/files/view/489>

<sup>9</sup> National Action Plan, Mongolia, August 2019, page 17-18

				Gold grade (gr/t)	Assaying result/recovery rate (%)	Daily production (t ore /shift)	Ore production, t/year	Gold production, kg (24K gold/year)	
1	<b>Western</b>	Gobi-Altai	Altai	27.18	80	0.03	805	17.6	22.88
2			Bugat	27.18	80	0.03	60	0.4	0.52
		<b>Aimag total</b>							<b>23.4</b>
3		Khovd	Bulgan	18.97	88	0.03	717	15.6	20.28
		<b>Aimag total</b>							<b>20.28</b>
Regional sub-total									<b>43.68</b>
4	<b>Khangai</b>	Bayankhongor	Bayan-Ovoo	8.35	88	0.07	6 018	44.08	57.30
		<b>Aimag total</b>							<b>57.30</b>
Regional sub-total									<b>57.30</b>
5	<b>Central</b>	Selenge	Mandal	16.37	87	0.07	457	6.48	8.424
6			Bayangol	20.77	84	0.03	1 733	30.11	39.143
7			Tunkhel Village	26.91	93	0.07	1 233	30.81	40.053
8			Orkhontuul	18.97	88	0.07	1 495	24.97	32.461
		<b>Aimag total</b>							<b>120.08</b>
9		Tuv	Bornuur	11.81	90	0.11	1 037	11.04	14.352
	<b>Aimag total</b>							<b>14.352</b>	
Regional sub-total									<b>134,452</b>
<b>National total</b>							<b>129 909</b>	<b>181.9</b>	<b>235.413</b>

The project did not face challenges on an institutional level, on the contrary, it saw strong collaborations among various Ministries as part of the National Working Group. It was reported that the interview with miners in the field encountered difficulties because they were afraid of penalties by revealing how much mercury they were using, but at the end the project was able to overcome this obstacle through more awareness raising on the reasons why this data needs be collected. This challenge did not affect the development and endorsement of the NAP, therefore cannot be considered a challenge that affected the project results.

## Objectives and Components

The project's objective is to protect human health and the environment through facilitating the development of a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases from, artisanal and small-scale gold mining sector.

The project's components are:

1. Global technical support for NAP development
2. Endorsement and submission of the NAP to the Minamata Convention Secretariat

## Milestones and Key Dates in Project Cycle

- Actual start: 3 March 2017.
- Mid-Term Evaluation (MTE from hereafter) date: MTE is not required for enabling activities. Therefore, the monitoring and evaluation consist only of semi-annual progress reports from the executing agency, quarterly expenditure reports, the independent financial audit to be completed before the financial closure of the project and the independent terminal review.
- Project extensions: There was one project extension until 31 October 2019
- The Project Cooperation Agreement (PCA from hereafter) was signed by both parties on the 10 January 2017 and it was extended once to from 28 February to 31 October 2019.
- Planned project completion date: 18 September 2018; actual completion: 31 December 2019.

## Implementation Arrangements

The implementing agency for the project is UN Environment and the financing body is the GEF in accordance with Article 13 on the financial mechanism of the Minamata Convention; included in the [GEF V Focal Area Strategies](#) 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.

The MET was the executing agency for the project and established a National Stakeholder Working Group composed of 20 members from relevant ministries, government agencies, local and civil society. These arrangements are described in further detail under the Stakeholder Analysis.

Half yearly progress and expenditure reports were submitted by the MET to the UNEP/GEF team Task Manger. The required independent financial audit was carried out by an independent audit entity, under the responsibility of the executing agency and completed in March 2020.

## Project Financing

**Table 3. Expenditure by Outcome/Output (as of 31 December 2019)**

Component/sub-component/output	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
<i>All figures as USD</i>			
1. Global technical support for NAP development	389,292	385,121	98%
2. Endorsement and submission of the National Action Plan to the Minamata Secretariat	40,300	41,045	100%
Project Management	45,408	45,417	100%
Monitoring and Evaluation	25,000	3,753	15%

**Table 4: Co-financing Table**

Co financing (Type/Source)	UNEP own Financing		Government		Other*		Total		Total Disbursed
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
– Grants	0								0
– Loans									0
– Credits									0
– Equity investments									0
– In-kind support									0
– Other (*)									0
<b>Totals</b>	0	0	0	0	0	0	0	0	0

\* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

**Table 5: GEF Financing Resources Requested by Agency, Country and Programming of Funds**

GEF Agency	Trust Fund	Country/Region/ Global	Focal Area	Programming of Funds	(in \$)		
					GEF Project Financing (a)	Agency Fee (b)	Total (c)=a+b
UNEP	GEFTF	Mongolia	Chemicals and Wastes	Mercury	500,000	47,500	547,500
<b>Total GEF Resources</b>					500,000	47,500	547,500

The project did not receive co-financing.

The total expenditures as reported on 31 Decembere 2019: \$475,336 (95% of total budget).

The total unspent balance as reported on 31 December 2019: \$24,664 (4.9% of total budget). This amount is withheld by UNEP to pay for the Terminal Evaluation.

As of 31 December 2019, UNEP has advanced a total amount of \$435,000 to the executing agency and has had a direct expenditure of \$50,000 for the sub-contract with the Global Mercury Partnership. The amount not yet disbursed by UNEP is of \$15,000, which UNEP will expend directly to pay for the Terminal Evaluation.

## Project Partners

The key project partners were:

- MET as the executing agency
  - Lead the National Working Group as the decision-making committee
- UNEP as the implementing agency
- The GEF as a financing agency
- Global Mercury Partnership as a project partner

## Changes in Design during implementation

No changes to the project design were made during the period of implementation.

### Theory of Change – Reconstructed

There was no logframe nor ToC included in the original submission of the project. Based on the project document and logical framework for other UNEP NAPs, the ToC was reconstructed. The evaluator carried out the reconstruction using the GEF Evaluation Office Review of Outcomes to Impacts methodology. There are three stages to this method:

- 1) the first stage is identifying the intended impacts of the project, consisting of the project objective and the global environmental benefits (GEB);
- 2) the second stage is reviewing the project outcomes, milestones and assumptions;
- 3) and the last stage is analyzing the outcomes to impacts pathways.

The ToC in Figure 1, has been constructed based on the general NAP design logframe, which includes a situation analysis, a causes-to-ends diagram and single generic causal pathway.

In the diagram, the emphasis was placed on impact pathways; linking the project activities to the outputs they generated (light blue boxes). The assumptions made at the design stage (orange boxes) are also identified and linked to the relevant output. These assumptions are essential for the likelihood of realization of the intended impacts, and the most general and overarching assumptions are not linked to individual outputs, but rather to the intermediate state (blue box).

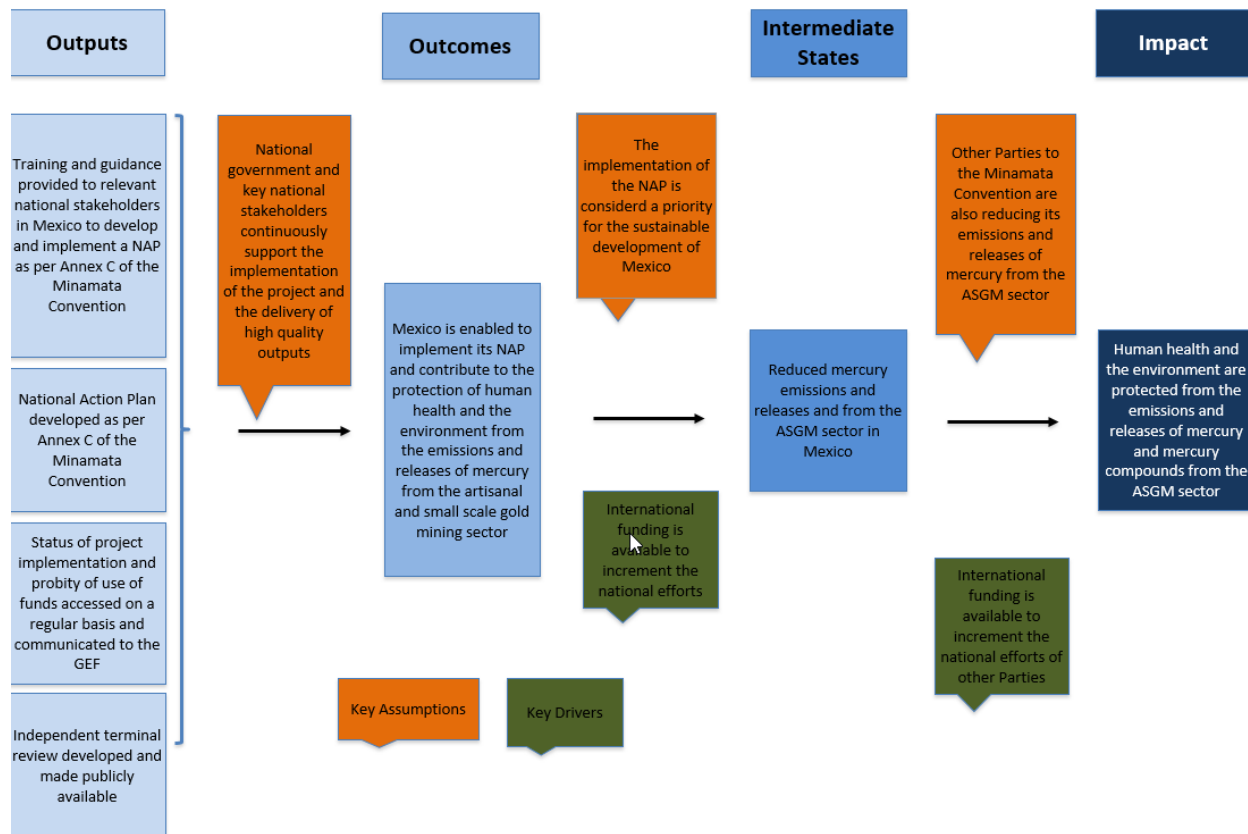
Because of the scoping nature of this project, there is one major pathway of outcomes to impact identified, and with one intermediate state, and goes as follows:

Impact pathway 1 - Data collection and development of National Action Plan: from outcomes 1 and 2 to project objective.

The fulfilment of the project objective requires the success of both two main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic.

For Mongolia to comply with Article 7 of the Minamata Convention on reducing mercury use in and emissions and releases from the ASGM sector, it must enhance communication and training to facilitate the development of the NAP and build the basis for future cooperation for the NAP implementation (Outcome 1). When national capacity is strengthened and the NAP formulation process is completed, then the intermediate state is reached. This in turn will render Mongolia able to use the strengthened national coordination mechanism to guide the NAP endorsement and officially submit a NAP compliant with Annex C of the Convention (Outcome 2).

Consequently, at this stage, the project has reached the intermediate state at which all relevant stakeholders are informed of the extent of mercury presence, use, emissions and releases from the ASGM sector, and have a NAP to guide decision making in its implementation. All the above consequentially leads to the implementation of the Minamata Convention, which directly supported the project's GEBs.



**Figure 1. Theory of Change at design (since no ToC was included as part of the project design, the ToC presented here is from another UNEP implemented NAP project in Mexico, which has almost identical Impact, Intermediate State, Outcomes and Outputs as the NAP Mongolia project)**

## Review Findings

This chapter will answer the questions raised in the review terms of reference and in the “review criteria matrix” of the terminal review. It will present factual findings and analyze and interpret them to the best of the evaluator’s ability. A rating will be provided for each criterion.

## Strategic Relevance

### UNEP’s mandate and policies

The project contributed to sub-programme 5: Chemicals and Waste, as it is a step towards “*Work under the sub-programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury*”, identified in the UN Environment’s Proposed Biennial Programme of Work 2016-2017<sup>10</sup>. The project also contributed to the UN Environment Medium Term Strategy 2014-2017<sup>11</sup>, under the harmful substances area and the Chemicals and Waste sub-programme. It is in line with the strategy, as it increases the participating countries’ capacity to manage chemicals and waste and increases collaboration with the secretariats of chemicals and waste-

<sup>10</sup> [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed biennial programme of work and budget for 2016-2017 Report of the Executive Director-2014PoW 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20Report%20of%20the%20Executive%20Director-2014PoW%202016-2017%20as%20approved%20by%20UNEA%20Jun2014%20.pdf.pdf?sequence=3&isAllowed=y)

<sup>11</sup> [http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed biennial programme of work and budget for 2016-2017 Report of the Executive Director-2014PoW 2016-2017 as approved by UNEA Jun2014 .pdf.pdf?sequence=3&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/7703/-Proposed%20biennial%20programme%20of%20work%20and%20budget%20for%202016-2017%20Report%20of%20the%20Executive%20Director-2014PoW%202016-2017%20as%20approved%20by%20UNEA%20Jun2014%20.pdf.pdf?sequence=3&isAllowed=y)

related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project perfectly relevant and in line with UNEP's mandate at the time of project design.

### The GEF's strategic objectives

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 MC under Article 13. The outcomes of the project are crosscutting and contribute to fulfilling other CW objectives under GEF VI<sup>12</sup>.

### National and regional priorities

As discussed in the project context section, the ASGM sector is significant in Mongolia: the number of miners, the informal nature of the sector, the affected areas, and the use of mercury are a concern. In accordance with the Minamata Convention, and in line with the continued efforts Mongolia has been making to soundly manage chemicals and waste, this project is aligned with the national priorities.

Devising the National Action Plan has two important dimensions: the data collection, which clarifies the problem formulation and allows the national and local authorities to understand the sector from the economic, social and environmental perspective; and the action plan which will attempt to bring solutions to the identified problems through the work of various stakeholders on the local, regional, national and international levels.

As one of the early NAP projects to reach completion, this project and this terminal review will provide conclusions and lessons learned, to support and improve NAP projects in the Asia region.

**Rating for strategic relevance: Highly satisfactory.**

### Quality of project design

The project design is rated satisfactory, as per the UNEP Quality of Project Design Assessment (Annex 1). This section will discuss each criterion in the assessment and will summarize the strengths and weaknesses of the design.

The project is an enabling activity, aiming to gather all available information the use and the emissions and releases of mercury in the ASGM sector in Mongolia, in order to facilitate the development of a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from ASGM and processing by the use of scientific and technical knowledge and tools by national stakeholders in Mongolia. Therefore, elements of external context are not expected to challenge the project performance. The project document does not include any mention of the likelihood or ongoing conflict, natural disaster, or a change in government. It is therefore assumed that the external context is favourable for the sound implementation of the project.

The preparation of the project was overall rated satisfactory. There is an adequate problem analysis presented in narrative form under Part II section A "Background and context". The situation and stakeholder analysis were a part of the project document. In the initial process of drafting the project document, no affected groups were left out.

In regard to concerns relating to sustainable development in terms of integrated approaches to human or natural systems, the project will assess the situation with regard to mercury in the ASGM sector and its emissions and releases in Mongolia. It will not take direct action on the ground but assessment and the national overview of the ASGM sector will assist Mongolia to identify priority issues in relation human health and the environment and

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<sup>12</sup> <https://www.thegef.org/sites/default/files/documents/GEF-6 Programming Directions.pdf>



where socioeconomic and environmental considerations will be identified. The purpose of the NAP is to identify alternatives to mercury use and not to impair livelihoods and economic opportunities.

The project is designed in line with the GEF and UN Environment's priorities and Programme of Work, therefore fitting in the context of working towards the sound management of chemicals and waste and supporting the countries meet their obligations under the different MEAs. The GEF, as a financial mechanism of the MC agreed to allocate in its sixth replenishment \$30 million to support enabling activities and promote their integration into national budgets and priorities. On a national level, Mongolia has ratified the Minamata Convention and submitted its MIA in a timely manner, which has identified ASGM as a sector that contributes significantly to mercury emissions. The supervision arrangements are well planned and explicitly stated in the project document, which is essential for sound implementation and in the same line, the financial planning does not display any deficiencies at this stage.

The ToC and LogFrame were not attached to the project document. However, since UNEP is the implementing agency for more than 20 NAPs around the world, all the NAPs follow similar design and structure and it has been officially endorsed by the GEF as the donor. The variation depends on country specific baselines.

The shortcomings of the project design are the way it addresses the gender aspects of the NAP: the project design ensures the participation of women's organizations in project design, implementation and monitoring by including women in the national working group and consultations with at-risk and vulnerable communities, as well as collecting disaggregated data and including gender considerations in the NAP. The issue however is the lack of means of verification as it is not apparent in the activities what gender mainstreaming activities took place. The design of the project should also be clearly stating that it will be looking into the health, social and economic considerations for men and women working in the ASGM sector, in an explicit comparative way.

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 gender partially mainstreamed: "Gender is reflected in the context, implementation, LogFrame, or the budget". More guidance should be further developed and provided on this aspect by the Global Component.

**Rating for quality of project design: Satisfactory.**

## Effectiveness

### Achievement of outputs

The outputs of this project are the following:

1. Training and guidance provided to relevant national stakeholders in Mongolia to develop and implement a NAP as per Annex C of the Minamata Convention
2. Draft NAP developed as per Annex C of the Minamata Convention
3. Technical support provided to Mongolia to facilitate the NAP endorsement and submission to the Minamata Secretariat.

A desk review of the project documentation, reporting and feedback received during stakeholder consultations has confirmed the good quality of work and the good reception of the project outputs.

- 1. *Training and guidance provided to relevant national stakeholders in Mongolia to develop and implement a NAP as per Annex C of the Minamata Convention***

This output has been achieved successfully. The following 4 activities have been completed:

- (a) Development of a roster of experts and collection of tools and methodologies for NAP development (through the assistance of the global mercury partnership);
- (b) Capacity building trainings including ASGM and mercury inventory baselining and monitoring (project coordinator, national inventory consultant and national socio-economic consultant participated in the Global Mercury Partnership regional workshop on ‘Developing a national overview of the ASGM sector for NAP projects in Asia Region, Jakarta 27-30 November 2017, followed by national training from 3-5 December 2017, and with international consultant from Artisanal Gold Council on the toolkit for baseline assessments from 2-5 April 2018);
- (c) Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools (through assistance of the global mercury partnership);
- (d) Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation (17 May 2019 in Ulaanbaatar)

## **2. *Draft NAP developed as per Annex C of the Minamata Convention***

This output has been achieved successfully. The following 3 activities have been completed:

- (a) National Inception workshops (20 June 2017 in Ulaanbaatar) to (i) develop ToRs for the National Working Group (from various Ministries were confirmed by the Resolution of MET in September 2017 and met regularly during project execution); (ii) agree on the budget allocation and workplan for the project; and finally (iii) develop an awareness raising strategy on mercury use in ASGM and its environmental and health impacts to be implemented throughout the whole project;
- (b) Development of the national overview of the ASGM sector according to the NAP guidance by local teams (several national consultants/firm were recruited to focus on health, national overview and strategic assessment of environmental, financial, economic and social needs that can contribute towards the formulation of the NAP);
- (c) Organize national workshops to develop the draft NAP and a roadmap for NAP endorsement and submission to the Minamata Secretariat (several national and sub-national workshops were organized between 4-5 and 11-12 October 2018 to discuss priorities and strategies proposed in the draft NAP).

## **3. *Technical support provided to Mongolia to facilitate the NAP endorsement and submission to the Minamata Secretariat***

This output has been achieved successfully. The following 2 activities have been completed:

- (a) Design and conduct national workshops targeting vulnerable groups and miners to complete the final NAP and to expose the formulated NAP on ASGM to public consultation and endorsement (a public forum was held on 18 April 2019 to discuss and verify results of the draft NAP and solicit comments);
- (b) Design and conduct national workshops targeting appropriate national decision makers that are decisive to NAP endorsement and official submission to the Minamata Secretariat (three different consultations took place in February 2019 with various Ministries to finalize the NAP).

Although the official submission to the Minamata Convention Secretariat has not taken place, the NAP has already been endorsed by the government of Mongolia in August 2019. Official submission is planned for first half of 2020.

## **Stakeholder involvement**

The evaluator could not travel to Mongolia due to time restrictions. It was difficult to reach most stakeholders, many of which do not have regular or reliable access to the internet or did not respond to the request for interviews. Instead, a short questionnaire was sent to all NAP national coordination group members (through the national project coordinator) who participated in the delivery and the review of outputs and deliverables. All stakeholders reported highly satisfactory and consistent communication. The various meetings coordinated by the MET were efficient and supported the participation of stakeholders and the feedback loop processes: giving members of national coordination group the opportunity to provide comments and considerations to the reports of local experts on various chapters of the NAP has provided many opportunities for exchange.

The EA has participated in a regional meeting for Asian NAP countries organized by the Global Mercury Partnership in Indonesia in November 2017 and has reported having benefited from attending this meeting. The stakeholders and counterparts from the region could benefit from a lessons-learned workshop in the near future to discuss the challenges that arose during the implementation of the project in Mongolia.

The project has made use of the previously existing networks and has attempted to the extent possible to implicate stakeholders from all relevant sectors, including but not limited to national and regional authorities, communal authorities, civil society, private sector such as mining, energy and engineering associations, national and local experts and gender-oriented NGOs. Stakeholders report feeling engaged and satisfied. Note that the project closely coordinated with the development of the Minamata Initial Assessment (implemented by UNIDO) by using the same National Working Group and organized the inception and closing workshops on the same day.

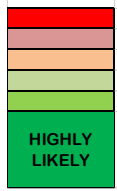
### Likelihood of impact

The likelihood of impact assessment is a tool used to identify how likely the project contribution to impact may be. This is a theoretical approach to assessing the impact of the project, due to the actual measurement being difficult to obtain for this project. It is an assessment tool of the internal logical of the project.

The evaluator used the assessment of likelihood of impact decision tree, which revealed that the impact pathway is moderately likely. The detail of the decision tree can be seen in Figure 2 below. The reason for this rating is that the assumptions to move beyond the first intermediate state (Mongolia enabled to reduce mercury use in and emissions from the ASGM sector) are partially in place / or effectively promoted. These assumptions include availability of funding, continued cooperation of all qualified stakeholders, national governmental support for the NAP, the political backing for the implementation of the Minamata Convention and the willingness and cooperation of national stakeholders to comply with the NAP. Currently, UNEP is implementing a full size GEF project in Mongolia focusing on the ASGM sector (as part of the planetGOLD programme 2019-2023), the project builds on the findings, capacity and commitment generated from the NAP project. Therefore, the likelihood of impact is strengthened.

**Figure 2. Decision Tree Diagram of the Rating of Likelihood of Impact Among a Causal Pathway**

A GUIDE FOR THE RATING LIKELIHOOD OF IMPACT

	Select Response		Likelihood of impact						Likelihood of impact					
			HU	U	MU	ML	L	HL	HU	U	MU	ML	L	HL
			Not in place	Partially in place	Partially in place	In place	In place	In place				1	1	1
Drivers to support transition from Outputs to Project Outcomes are ...	In place		Not in place	Partially in place	Partially in place	In place	In place	In place				1	1	1
Assumptions for the change process from Outputs to Project Outcomes ...	Hold		Do not hold	Partially hold	Partially hold	Hold	Hold	Hold				1	1	1
Proportion of Project Outcomes fully or partially achieved?	All		None	Some	Some	Some	Some	All						1
Which Project Outcomes? (the most important to attain intermediate states / impact or others)	The most important to attain intermediate states/impact	Answer not required	n/a	Others	Others	Most important	Most important	n/a				1	1	1
Level of Project Outcome achievement?	Full		n/a	Partial	Full	Partial	Full	Full			1	1	1	1
Drivers to support transition from Project Outcome(s) to Intermediate States are ...	In place		n/a	Not in place	Not in place	Partially in place	Partially in place	In place						1
Assumptions for the change process from Project Outcomes to Intermediate States ...	Hold		n/a	Do not hold	Do not hold	Partially hold	Hold	Hold				1	1	1
Proportion of Intermediate States achieved?	All		n/a	n/a	None	None	Some	All						1
Level of Intermediate State achievement?	Full		n/a	n/a	n/a	n/a	Partial	Full						1
Drivers to support transition from Intermediate States to Impact are ...	In place		n/a	Not in place	Not in place	Not in place	Partially in place	In place						1
Assumptions for the change process from Intermediate States to Impact ...	Hold		n/a	Do not hold	Do not hold	Do not hold	Partially hold	Hold						1
									0	0	1	3	5	11
<b>OVERALL RATING</b>														
														
<b>HIGHLY LIKELY</b>														

The intentional positive impacts of this project are: producing a baseline overview of the ASGM sector in Mongolia and data on the use, emissions and releases of mercury in the sector; awareness raising among stakeholders, multiple levels of local authorities and the general population about the dangers of mercury on human health and the environment; elaboration and dissemination of the action plan towards the formalization of the ASGM sector, a reduced and eventually eliminated use of mercury and safe and reliable alternatives to mercury amalgamation. These positive impacts are a direct result of the project outputs and outcomes.

The project has provided the tools for change but has not played a catalytic role. It is expected that in their efforts to implement and comply with the Minamata Convention, the national stakeholders and government institutions will implement the NAP. The project has therefore achieved its objective.

The project has been designed as a cookie cutter, and various NAP projects similar in structure are currently being implemented in countries with more than insignificant ASGM sectors.

Overall, with the necessary commitment from the government of Mongolia and the cooperation of operators of ASGM sites, the NAP can be implemented and the danger to human health and the environment from mercury use and emissions can be curtailed.

### Attainment of objectives and planned results

The project's findings and deliverables, namely the compiled and officially endorsed NAP, the executive summary, the field mission reports and the awareness raising materials were made available to stakeholders and guidance materials developed by the Global Mercury Partnership were all made available online through their website. This has been confirmed via stakeholder feedback to the terminal review, and access to materials, guidance and deliverables has not been an issue.

There are several key aspects of the project related to effectiveness that should be mentioned:

- The project made full use of existing resources nationally, by using the same national coordinating mechanism as the MIA (implemented by UNIDO), with same stakeholders, coordination with meetings and sharing of data were made relatively easy. In addition, the inception and closing workshops were also conducted at the same time as the MIA project.
- National stakeholders were very engaged in the project and made significant contributions toward the NAP, therefore, no challenges were encountered
- Mongolia is fully confident that it can implement the NAP, however, it will be helpful if additional financial resources can be identified to assist in the implementation process.

**Rating for effectiveness: Highly satisfactory.**

### Efficiency

The project was able to achieve its goal without any particular challenges arising. The executing agency has performed well in its capacity and has produced and endorsed a well drafted NAP.

The budget was not revised during the implementation phase.

All feedback received during stakeholder consultations indicates efficient and effective management and communication by the executing agency, including praise for their responsiveness, availability and capacity to integrate feedback.

The project was only extended once to allow sufficient time for government approval and submission of the NAP to the Minamata Secretariat, and all activities were undertaken in a timely manner.

All reports from the EA to the IA were sent in a timely manner and communication was constant between the two agencies in times of need.

The project's National Working Group was built on the network established during the implementation of the MIA project, which has increased project efficiency. There was also close collaboration between the two national project coordinators of the NAP and MIA projects, maximising resources and ensuring that the relevant stakeholders are well informed.

The project was cost effective, and all funds were spent according to the original budget. Effective management privileged hiring five local experts: one to coordinate the experts and compile findings, one to carry out a legal and institutional assessment, one to work on baseline estimates of mercury use in the ASGM sector in Mongolia, one to carry out a socio-economic assessment and one to carry out a public health assessment. The local experts have produced good quality reports at a cost-effective rate. The international consultant was hired from the NGO who developed the baseline assessment toolkit, and has provided valuable contributions and trainings to the local experts and staff.

The Task Manager attended the inception and participated virtually at the validation workshops in Mongolia. Staff from the Global Mercury Partnership attended the regional meeting in Indonesia. Efforts were made to reduce costs and air travel.

**Rating for efficiency: Highly satisfactory.**

### Financial management

All quarterly expenditure reports were completed and were made available for the terminal review. The reports provide sufficient detail of what the expenditures were and reflect how the executing agency managed the funds. As of 31 December, there was a remaining balance of \$24,664 of the budget undisbursed: this includes \$15,000 payment for the terminal review that is withheld by UNEP to pay the evaluator.

There are no financial irregularities to be reported based on the desk review of financial management documentation and the independent audit conducted on 23 March 2020 by Growth Finance Audit LLC, which concluded that the accounting and finances were in line with international norms.

**Rating for financial management: Highly satisfactory.**

### Monitoring and Reporting

The monitoring and reporting mechanism of the project is based on quarterly reports of expenditures, half yearly reports of progress, and constant communication in between the EA and the IA where need be. The main channel of communication is email. Nationally, the EA and the national coordinating group remained in contact via email and phone. All stakeholders report excellent communication, helpful feedback, and overall willingness of all involved parties to solve any problems that arose and to learn from them.

The EA has provided the inception workshop report immediately following the workshop and has submitted reports of the national working group meetings in accordance with the monitoring and evaluation time frame available in the Project Document. It has also submitted the terminal report with supporting evidence. The EA was always on time with report submission and reacted quickly and professionally on inquiries made by national stakeholders and the IA. Based on the questionnaire responses received and interviews conducted with UNEP task manager and the global mercury partnership, national leadership provided by MET and the project coordinator were excellent and can very well serve as a model for other countries. The EA also conducted a government audit of the project. UNEP is responsible for conducting the terminal review through an independent external consultant.

All the funds allocated for monitoring and evaluation were used to support these activities, based on the financial reports and stakeholder feedback. All financial and progress reports are complete, accurate and readily made available for the terminal review.

No concerns of mismanagement or issues in communication were reported.

**Rating for monitoring and reporting: Highly satisfactory.**

## Sustainability

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. Considering that most the assumptions made at the design stage of the project hold, and that the nature of the external context assessment is favourable, there are no social factors that have influenced the project's progress towards its intended impacts. The project received positive traction and generated interest from local authorities and miner communities living in and near ASGM sites.

The level of ownership displayed by the MET is satisfactory and the project team are qualified and sufficiently knowledgeable in the management of projects and on the ASGM issue. However, in order to implement the NAP, further cooperation between the government agencies and between the latter and the ASGM operators is encouraged. ASGM management involves multiple Ministries, also at national, regional and local levels; therefore, full cooperation from all stakeholders is crucial to the successful implementation of the NAP.

Working further with regional and communal authorities in the regions where ASGM is the main source of revenue is essential for the sustainability of the outcomes and the successful implementation of the NAP. Continued capacity building, awareness raising, and field visits are encouraged to keep the momentum created by the initial field visits during the project implementation, and to accelerate the formalization of the ASGM sector.

Pragmatically, this project has achieved its main outcome, and produced a NAP that was officially endorsed by the government. The implementation of the NAP financially depends on availability of funds.

It was impossible for the evaluator to visit Mongolia, limiting the scope of this review. Feedback to the evaluation demonstrated appreciation for the quality of the NAP and for the frequency and quality of communication between the EA, the IA and national counterparts, experts and the civil society.

**Rating for Sustainability: Highly likely.**

## Conclusions and Recommendations

### Conclusions

The project has successfully reached its objective of national stakeholders in Mongolia using scientific and technical knowledge and tools to develop a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from artisanal and small-scale hold mining.

The project was strategically relevant to UNEP's priorities and was complementary to previous interventions in Mongolia, in its efforts to implement and comply to the Minamata Convention. It builds on the Minamata Initial Assessment and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7.

The data gathering aspect of the project was successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM. The project design was realistic, and the time frame sufficient to develop and officially endorse the National Action Plan. No financial mismanagement or issues were reported, and the budget did not require revision during the implementation. Monitoring, reporting and evaluation plans were executed as per the project design, and all stakeholders interviewed complimented the process and felt implicated and their views heard and reflected in the outputs.

Gender mainstreaming was considered, however, no gender specialist was recruited on the project as planned at the design stage. Therefore, no extensive elaboration on gender mainstreaming activities were conducted as part of the project and planned as part of the final NAP. This does not affect the quality of the NAP but should be further considered during NAP implementation.

The NAP developed is a high-quality assessment of the ASGM sector and strategy to reduce the use of mercury and formalize the sector. Its future implementation is however largely dependent on continuous capacity building at the national level, public awareness, financial availability, and coordination with other ASGM projects in country.

#### Lessons learned

- Data collection and field visits are vital to the NAP project: not only does it provide a realistic assessment of the amounts of mercury used in, and emitted and released by the ASGM sector, but it also allows the executing agency to come in contact with the local communities and consider their needs and concerns when developing the NAP. Therefore, the timing and preparation of the field visits should be carefully planned and considered including extreme weather conditions and availability of equipments.
- Since mercury use is prohibited in Mongolia, more time and effort in raising public awareness and explanation to local government officials and miners are needed in order to obtain accurate data on mercury use.
- Gender mainstreaming of NAP projects should be conducted more thoroughly, as defined in guidance developed by UNEP and the GEF.

#### Recommendations

- When developing future NAP projects, the Implementing Agency should define gender considerations in the LogFrame, with targets, indicators and means of verification. This will anchor the considerations in the project document, give the EA with a clear expectation of results and facilitate the execution and evaluation of this aspect.
- No logical framework nor Theory of Change were included at project design, it is recommended to include them in future projects.



## Annex 1. Quality of Project Design

Evaluation Office of UN Environment

Last revised: 09.12.19

### ASSESSMENT OF PROJECT DESIGN QUALITY (PDQ)

A.	Operating Context <sup>3</sup>		YES/NO	Comments/Implications for the evaluation design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
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?	No	The project document does not identify any unusual challenging operational factors.	Highly favourable
ii)Ongoing/high likelihood of natural disaster?		No			
iii)Ongoing/high likelihood of change in national government?		No			
B.	Project Preparation		YES/NO	Comments/Implications for the evaluation design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating
2	Does the project document entail a clear and adequate problem analysis?		Yes	The problem analysis is present in narrative form in the project document, under Part II, section A "enabling activity background and context", under the headline "ASGM in Mongolia".	Satisfactory
3	Does the project document entail a clear and adequate situation analysis?		Yes	The situation analysis was part of the original project design. Mongolia has a long history of previous and existing interventions regarding the ASGM sector.	
4	Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings or indigenous peoples?		Yes	The stakeholder analysis was included in the project document (Table 2, pages 11-12).	
5	<i>If yes to Q4:</i> Does the project document provide a description of stakeholder consultation/participation during project design process? <i>(If yes, were any key groups overlooked: government, private sector, civil</i>		No	The project document does not specify specific stakeholder consultation during the project design process, however, the project was designed in close coordination with MET and in the initial process, no affected groups were left out.	

	<i>society and those who will potentially be negatively affected)</i>				
6	Does the project document identify concerns with respect to human rights, including in relation to differentiated gender needs and sustainable development? (e.g. integrated approach to human/natural systems; gender perspectives, rights of indigenous people)	i) Sustainable development in terms of integrated approach to human/natural systems	No	The project will assess the situation regarding Hg in the ASGM sector and related emissions and releases in Mongolia. It will not take direct action on the ground but assessments and the national overview of the ASGM sector will assist Mongolia to identify priority issues in relation to human health and the environment and where socioeconomic and environmental considerations will be identified.	
		ii) Gender	Yes	The project document states that it will consider in particular the potential negative health impacts of mercury use in the ASGM sector to women and other disadvantaged or vulnerable groups. Gender considerations were part of the considerations during project implementation.	
		iii) Indigenous peoples	Yes	The project design has considered indigenous people and the NAP will consider the potential negative impacts to reduce Hg use in the ASGM sector as impairment of indigenous people's livelihoods. The purpose of the NAP is to identify alternatives to Hg use and not impair livelihoods.	
<b>C.</b>	<b>Strategic Relevance</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>	
7	Is the project document clear in terms of its alignment and relevance to:	i) UNEP MTS and PoW	Yes		Satisfactory
		iii) UNEP/GEF/Donor strategic priorities (incl Bali Strategic Plan and South South Cooperation)	Yes	The GEF is a financial mechanism of the MC. The GEF assembly in 5th meeting held in 2014 agreed to allocate in GEF6 replenishment \$30m to support enabling activities and promote their integration into Nat budget etc. GEF supports chemicals and waste under its focal area.	
		ii) Regional, sub-regional and national environmental priorities?	Yes	The project document describes national priorities and SDGs and how the project will contribute to each respectively.	
		iv) Complementarity with other interventions	Yes	Mongolia ratified Minamata Convention and submitted MIA which identified ASGM as significantly contributing to Hg emissions.	
<b>D.</b>	<b>Intended Results and Causality</b>	<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>	

8	Is there a clearly presented Theory of Change?		No	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	Moderately Satisfactory
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 either the lograme or the TOC? (NOTE if there is no TOC in the project design documents a reconstructed TOC at Evaluation Inception will be needed)		No	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	
10	Are impact drivers and assumptions clearly described for each key causal pathway?	-	No	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	
11	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		No	Based on the ToC from other UNEP NAP projects, the nature of the project does not require a specific assignment of key actors in the ToC	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		Yes		
E.	<b>Logical Framework and Monitoring</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	
13	Does the logical framework:	i)Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	Moderately Satisfactory
		ii)Have appropriate and 'SMART' results at output level?	Yes	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	
		ii)Have appropriate and 'SMART' results at outcome level?	Yes	The logframe was not attached to the project document. However, it follows the same structure as all the UNEP NAPs	
14	Is there baseline information in relation to key performance indicators?		Yes	Detailed baseline information on past and present ASGM activities and projects were included in the project document under Part II, Section A, Baseline Information.	

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		
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		
<b>F.</b>	<b>Governance and Supervision Arrangements</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	<b>Section Rating</b>
20	Is the project governance and supervision model comprehensive, clear and appropriate? ( <i>Steering Committee, partner consultations etc.</i> )		Yes		Satisfactory
21	Are roles and responsibilities within UNEP clearly defined? (If there are no stated responsibilities for UNEP Regional Offices, note where Regional Offices should be consulted prior to, and during the evaluation)		Yes	TM (Chemicals branch), FMO (UNEP Nairobi), UNEP ROA support	
<b>G.</b>	<b>Partnerships</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	<b>Section Rating</b>
22	Have the capacities of partners been adequately assessed? (Check if partner capacity was assessed during inception/mobilization where partners were either not known or changed after project design approval)		N/A		

23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?		N/A		
<b>H.</b>	<b>Learning, Communication and Outreach</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>
24	Does the project have a clear and adequate knowledge management approach?		Yes	The project aims to collect data in order to establish an accurate baseline for the use of mercury in ASGM in Mongolia. It relies on a data collection and working group discussions and field missions to gather knowledge and data to feed the NAP.	Satisfactory
25	Has the project identified appropriate methods for communication with key stakeholders during the project life? <i>(If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?)</i>		Yes	The project will identify roster of experts, conduct trainings, gather tools and methodologies for development of NAP, assist with baseline inventories, and estimates.	
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	A national workshop to endorse the final NAP before submission to the Minamata Secretariat	
<b>I.</b>	<b>Financial Planning / Budgeting</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>
27	Are the budgets / financial planning adequate at design stage? (coherence of the budget, do figures add up etc.)		Yes		Highly Satisfactory
28	Is the resource mobilization strategy reasonable/realistic? <i>(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)</i>		N/A		
<b>J</b>	<b>Efficiency</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>
29	Has the project been appropriately designed in relation to the duration		Yes	Yes, the project is based on a cookie cutter model established for the NAP projects.	Highly Satisfactory

	and/or levels of secured funding?				
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 coordinators of MIA and NAP worked closely and the inception and final workshops for both projects were organized together as the national working group involved overlapping members.	
31	Does the project document refer to any value for money strategies (ie increasing economy, efficiency and/or cost-effectiveness)?		Yes	Section D of Part II.	
32	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the evaluation)</i>		Yes	The PCA was extended until 31 October 2019 to allow sufficient time for national approval of the NAP.	
<b>K.</b>	<b>Risk identification and Social Safeguards</b>		<b>YES/NO</b>	<b>Comments/Implications for the evaluation design</b> <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	<b>Section Rating</b>
33	Are risks appropriately identified in both the ToC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC at review inception)</i>		No	The project follows the same structure as all the UNEP NAPs	Moderately Satisfactory
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>		Yes	The safeguards checklist comes close to satisfying this requirement, however this could benefit from being formulated as a risk assessment table.	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management and work implemented by UNEP partners)</i>		N/A	The project will assess the situation about Hg in the ASGM sector and related emissions and releases in Mongolia It will not take direct action on the ground but assessments and the national overview of the ASGM sector will assist Mongolia to identify priority issues in relation to human health and the environment, where socio economic and environmental considerations will be identified.	

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 and/or appropriate exit strategy at design stage?	Yes	As an assessment project, the combination of assumptions is solid and provide for a credible sustainability strategy at the design stage.	Highly Satisfactory
37	Does the project design include an appropriate exit strategy?	N/A	As an assessment project, this is N/A.	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action? (if yes, capture this feature in the reconstructed TOC at Review inception)	Yes	This does not apply due to the nature of the project as a scoping and baseline establishing activity. The project is replicable in other countries due to the cookie cutter design. The project does promote a sustainable communication channel nationally via the national working group	
39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	Yes	This is addressed by the Safeguards appendix	
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		Satisfactory
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)  <b>0 = gender blind:</b> Gender relevance is evident but not at all reflected in the project document. <b>1 = gender partially mainstreamed:</b> Gender is reflected in the context, implementation, logframe, or the budget. <b>2a = gender well mainstreamed throughout:</b> Gender is reflected in	1	The gender dimension is addressed under the stakeholder analysis of the ProDoc. The project recognizes women's role in ASGM. It took into account the gender dimensions of ASGM and mercury related exposure and contamination through participation of women's organizations from Mongolia. It also includes disaggregated data collection. Gender considerations will be included in the NAP.	Moderately satisfactory

<p>the context, implementation, logframe, and the budget.</p> <p><b>2b = targeted action on gender:</b> (to advance gender equity): the principle purpose of the project is to advance gender equality.</p> <p><b>n/a = gender is not considered applicable:</b> A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.</p>				
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**CALCULATING THE OVERALL PROJECT DESIGN QUALITY SCORE**

	<b>SECTION</b>	<b>RATING (1-6)</b>	<b>WEIGHTING</b>	<b>TOTAL (Rating x Weighting/100)</b>
A	Operating Context	6	4	<b>0.24</b>
B	Project Preparation	5	12	<b>0.60</b>
C	Strategic Relevance	6	8	<b>0.48</b>
D	Intended Results and Causality	4	16	<b>0.64</b>
E	Logical Framework and Monitoring	4	8	<b>0.32</b>
F	Governance and Supervision Arrangements	5	4	<b>0.20</b>
G	Partnerships	5	8	<b>0.40</b>
H	Learning, Communication and Outreach	5	4	<b>0.20</b>
I	Financial Planning / Budgeting	6	4	<b>0.24</b>
J	Efficiency	6	8	<b>0.48</b>
K	Risk identification and Social Safeguards	4	8	<b>0.32</b>
L	Sustainability / Replication and Catalytic Effects	6	12	<b>0.72</b>
M	Identified Project Design Weaknesses/Gaps	5	4	<b>0.20</b>
			<b>TOTAL SCORE (Sum Totals)</b>	<b>5.04</b>

Satisfactory

## Annex 2. List of Stakeholders

N°	NAME	FUNCTION
1	T.Bulgan (Head of Working Group)	Director, Green Development and Planning Department, Ministry of Environment and Tourism
2	S.Erdenetsetseg	Senior Officer, Green Development Policy and Planning, Department, Ministry of Environment and Tourism
3	M. Tulga	Officer, Green Development Policy and Planning Department, Ministry of Environment and Tourism
4	Ch. Tsogtbaatar	Officer, Mining Policy Department, Ministry of Mining and Heavy Industry
5	B. Khulan	Officer, Policy Coordination Department, Ministry of Mining and Heavy Industry
6	R.Myagmarjav	Officer, Fiscal Policy and Planning Department, Ministry of Finance
7	Ts.Namchinsuren	Officer, Science and technology Policy Department, Ministry of Education, Culture, Science and Sports
8	B.Batmunkh	Officer, Employment Policy Implementation Coordination Department. Ministry of Labour and Social Protection
9	Ts.Adyakhishig	Director, Human Rights Education and Research Division, National Human Rights Commission
10	O.Amarsanaa	Officer, Mining Production and Technology Division, Mineral Resources and Petroleum Authority
11	U.Ulziitsetseg	Environment Inspector, General Agency for Specialized Inspection

12	B.Munkhbayar	Customs Inspector, Monitoring and Evaluation Department, General Authority for Customs
13	D.Narantuya	Officer, Social Insurance Policy Implementation and Research Department, General Authority for Health and Social Insurance
14	Sh.Munkhtulga	Officer on Chemistry, Bacteriology and Radiation, National Emergency Management Agency
15	R.Davaadorj	Head of Epidemiology and Management Unit, Public Health Institute
16	D.Baatartsol	Head of Center for environmental health and Toxicology, Public Health Institute
17	T.Enkhtsetseg	Senior Governance and Policy Expert, Sustainable Artisanal Mining Project
18	D.Bayarmaa	Executive Director, ASM National Federation
19	B.Erdene	Director, Mongolian Environmental Civil Council
20	B. Baigalmaa (Secretary of Working Group)	National project Coordinator

### Annex 3. List of documents consulted

- Global Environment Fund. (2009). *The ROTL Handbook: Towards Enhancing the Impacts of Environmental Projects* (Methodological Paper #2). Retrieved from <http://gefieo.org/sites/default/files/ieo/ieo-documents/ops4-m02-roti.pdf>
- Global Environment Fund. (2016). *Report of the Global Environment Facility to the Seventh Session of the Intergovernmental Negotiating Committee on Mercury*. Retrieved from [https://www.thegef.org/sites/default/files/documents/GEF\\_Report\\_to\\_the\\_INC-2\\_0.pdf](https://www.thegef.org/sites/default/files/documents/GEF_Report_to_the_INC-2_0.pdf)
- Global Environment Fund. (2018). *Chemicals and Waste (CW) Focal Area Study 2017*. Retrieved from [http://www.gefio.org/sites/default/files/ieo/evaluations/files/cw-study-2017\\_0.pdf](http://www.gefio.org/sites/default/files/ieo/evaluations/files/cw-study-2017_0.pdf)
- United Nations Development Programme. (2011). *Gender Mainstreaming Guidance Series - Chemicals Management: Chemicals and Gender*. Retrieved from <https://www.undp.org/content/dam/aplaws/publication/en/publications/environment-energy/www-ee-library/chemicals-management/chemicals-and-gender/2011%20Chemical&Gender.pdf>
- United Nations Environment Programme. (2016). *GEF-6 Request for Chemicals and Waste Enabling Activity: Development of National Action Plan for Artisanal and Small Scale Gold Mining in Mongolia*.
- United Nations Environment Programme. (2018). *Terms of Reference for the Terminal Review of the UNEP/GEF project ID #9535*.

## Annex 4. Weighting of Ratings of the Terminal Review

14.01.20 UNEP EVALUATION OFFICE - Weightings Table for Evaluation Criteria Ratings

Select ratings in this column from the drop down menu				
scores and weighted scores are generated automatically				
If there is no 'drop down' menu for a cell, the rating is calculated automatically from the sub-categories				
Evaluation criteria	Rating	Score	Weight	Weighted Score
Strategic Relevance (select the ratings for sub-categories)	Highly Satisfactory	6	6	0.4
Alignment to MTS and POW	Highly Satisfactory	6	0.5	
Alignment to UNEP/GEF/Donor strategic priorities	Highly Satisfactory	6	0.5	
Relevance to regional, sub-regional and national issues and needs	Highly Satisfactory	6	2.5	
Complementarity with existing interventions	Highly Satisfactory	6	2.5	
Quality of Project Design	Satisfactory	5	4	0.2
Nature of External Context	Highly Favourable			
Effectiveness (select the ratings for sub-categories)	Highly Satisfactory	6	45	2.7
Availability of outputs	Highly Satisfactory	6	5	
Achievement of direct outcomes	Highly Satisfactory	6	30	
Likelihood of impact	Highly Likely	6	10	
Financial Management (select the ratings for sub-categories)	Highly Satisfactory	6	5	0.3
Adherence to UNEP's policies and procedures	Highly Satisfactory	6		
Completeness of project financial information	Satisfactory	5		
Communication between finance and project management staff	Highly Satisfactory	6		
Efficiency	Highly Satisfactory	6	10	0.6
Monitoring and Reporting (select the ratings for sub-categories)	Satisfactory	5	5	0.3
Monitoring design and budgeting	Satisfactory	5		
Monitoring of project implementation	Satisfactory	5		
Project reporting	Satisfactory	5		
Sustainability (select the ratings for sub-categories)	Highly Likely	6	20	1.2
Socio-political sustainability	Highly Likely	6		
Financial sustainability	Highly Likely	6		
Institutional sustainability	Highly Likely	6		
Factors Affecting Performance (select the ratings for sub-categories)	Highly Satisfactory	6	5	0.3
Preparation and readiness	Highly Satisfactory	6		
Quality of project management and supervision	Highly Satisfactory	6		
Stakeholder participation and cooperation	Highly Satisfactory	6		
Responsiveness to human rights and gender equity	Satisfactory	5		
Environmental, social and economic safeguards	Highly Satisfactory	6		
Country ownership and driven-ness	Highly Satisfactory	6		
Communication and public awareness	Highly Satisfactory	6		
			100	5.88

Highly Satisfactory

## Annex 5. Terminal Review Terms of References without Annexes

### Terminal Review of the UN Environment/Global Environment Facility project “Development of National Action Plan for Artisanal and Small Scale Gold Mining”

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

##### 1. Project General Information

**Table 1. Project summary**

<b>Executing Agency:</b>	Ministry of Environment and Tourism of Mongolia (MET)		
<b>Sub-programme:</b>	Chemicals and Wastes	<b>Expected Accomplishment(s):</b>	PoW 2016-2017 - Subprogramme 5 chemicals and waste - EA (a) countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.
<b>UN Environment approval date:</b>		<b>Programme of Work Output(s):</b>	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
<b>GEF project ID:</b>	9535	<b>Project type:</b>	EA
<b>GEF Operational Programme #:</b>	2	<b>Focal Area(s):</b>	C&W
<b>GEF approval date:</b>	05 July 2016	<b>GEF Strategic Priority:</b>	Mercury
<b>Expected start date:</b>	September 2016	<b>Actual start date:</b>	03/03/2017
<b>Planned completion date:</b>	September 2018	<b>Actual completion date:</b>	30 April 2019
<b>Planned project budget at approval:</b>	\$500,000	<b>Actual total expenditures reported as of 31 Jun 18:</b>	\$452,750
<b>GEF grant allocation:</b>	\$500,000	<b>GEF grant expenditures reported as of 31 Jun 18:</b>	\$452,750

<b>Project Preparation Grant - GEF financing:</b>	n/a	<b>Project Preparation Grant - co-financing:</b>	n/a
<b>Expected Medium-Size Project/Full-Size Project co-financing:</b>	n/a	<b>Secured Medium-Size Project/Full-Size Project co-financing:</b>	n/a
<b>First disbursement:</b>	03/03/2017	<b>Date of financial closure:</b>	31 Oct 2019
<b>No. of revisions:</b>	1	<b>Date of last revision:</b>	13/03/2019
<b>No. of Steering Committee meetings:</b>	n/a	<b>Date of last/next Steering Committee meeting:</b>	Last: n/a Next: n/a
<b>Mid-term Review/ Evaluation (planned date):</b>	n/a	<b>Mid-term Review/ Evaluation (actual date):</b>	n/a
<b>Terminal Review (planned date):</b>	Q3 2019	<b>Terminal Review (actual date):</b>	Q3 2019
<b>Coverage - Country(ies):</b>	Mongolia	<b>Coverage - Region(s):</b>	Asia
<b>Dates of previous project phases:</b>	n/a	<b>Status of future project phases:</b>	n/a

## 2. Project rationale

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention<sup>13</sup>. It identifies two entities that will function as the Financial Mechanism:

- a) the Global Environment Facility Trust Fund (GEF); and
- b) A Specific International Programme to support capacity-building and technical assistance.

The GEF has been strongly committed to support the ratification and further implementation of the Minamata Convention on Mercury since GEF-5 (2009-2013). The GEF-5 strategy contained a pilot program on mercury to accompany the negotiations of the Minamata Convention. An amount of \$15 million was set aside in GEF-5 to fund projects aimed at reducing mercury use, emissions and exposure; improving data and scientific information at the national level and enhancing capacity for mercury storage; and address waste and contaminated sites<sup>14</sup>. The gap between signature at end of 2013 and the start of GEF-6 in 2014 was considered a crucial period for countries to determine the feasibility of accepting or ratifying the convention after signature. Accordingly, the GEF Council agreed to invest up to \$10 million to help countries with initial assessments of the mercury situation in their countries.

In GEF-6 the GEF programmed additional \$30 million for countries to develop Minamata Initial Assessments and ASGM Action Plans<sup>15</sup>.

The GEF Secretariat in consultation with the Interim Secretariat of the Minamata Convention was tasked to develop initial guidelines for enabling activities and pre-ratification projects. The initial guidelines were presented as an information document at the 45th Council Meeting and revised by the Intergovernmental Negotiating

<sup>13</sup> Text of the global legally binding instrument on mercury agreed by the Intergovernmental Negotiating Committee on its 5th session in January 2013. The text was adopted and opened for signature at the Diplomatic Conference held in Minamata and Kumamoto, Japan in October 2013.

<sup>14</sup> Strategy for the pilot is presented in the document GEF/C.39/Inf.09

<sup>15</sup> UNEP/MC/COP.2/INF/3

Committee 6 (GEF/C.45/Inf.05/Rev.01). This document was complemented by the “Guidance document on the preparation of national action plans for artisanal and small-scale gold mining<sup>16</sup>, adopted by the Conference of the Parties (COP) (decision MC-1/13).

Mongolia ratified the Minamata Convention on 28 September 2015. On 07 March 2016 the National Focal Point of the Minamata Convention on Mercury of Mongolia 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 Mongolia. Concurrently, the GEF Operational Focal Point of Mongolia endorsed the development of an ASGM National Action Plan in 07 March 2016 with UNEP as Implementing Agency. The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF Chief Executive Officer endorsed the project on 05 July 2016 as part of GEF’s efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”; program 2 “support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring”.

The project also contributed to achieve UNEP’s Programme of Work for 2016-2017 through its expected accomplishment A under subprogramme 5 chemicals and waste.

The project was aimed at facilitating the use of scientific and technical knowledge and tools by national stakeholders in Mongolia to develop the ASGM National Action Plan. The future implementation of the ASGM National Action Plan will contribute to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing.

### 3. Project objectives and components

Objective:

To protect human health and the environment from the risks posed by the emissions and releases to the environment of mercury from artisanal and small-scale gold mining and processing in Mongolia by developing NAPs in compliance with Annex C of the Minamata Convention.

Components:

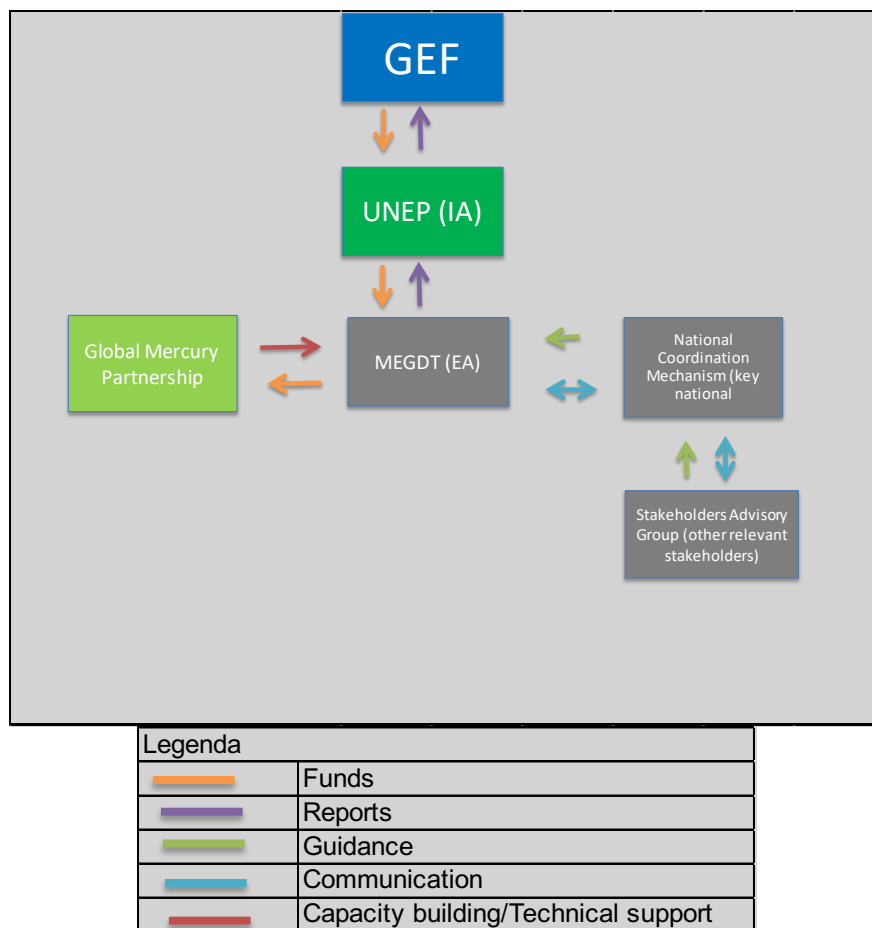
3. Global technical support for NAP development
4. Endorsement and submission of the National Action Plans to the Minamata Secretariat

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<sup>16</sup> UNEP/MC/COP.1/17



#### 4. Executing Arrangements



#### 5. Project Cost and Financing

Component	Original budget	Expenditure as of 31 Jun 19
Component 1	\$389,292	\$375,954
Component 2	\$40,300	\$27,626
Project Management	\$45,408	\$45,417
M&E	\$25,000	\$3,753
Total	\$500,000	\$452,750

#### 6. Implementation Issues

N/A.

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

### 7. Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the review report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

**The “Why?” Question.** As this is a terminal review and similar interventions are envisaged for the future, particular attention should be given to learning from the experience. Therefore, the “*Why?*” question should be at the front of the consultants’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

**Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with*, *and what would have happened without*, *the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

**Communicating review results.** A key aim of the review is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the review process and in the communication of review findings and key lessons. Clear and concise writing is required on all review deliverables. Draft and final versions of the main review report will be shared with key stakeholders by the Task Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Task Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key review findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of a review brief or interactive presentation.

### 8. Objective of the Review

In line with the UN Environment Evaluation Policy<sup>17</sup> and the UN Environment Programme Manual<sup>18</sup>, the Terminal Review (TR) is undertaken at completion of the project 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 review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, Groundwork and all the national counterparts. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].

### 9. Key Strategic Questions

In addition to the evaluation criteria outlined in Section 10 below, the review will address the **strategic questions** listed below. These are questions of interest to UN Environment and to which the project is believed to be able to make a substantive contribution:

- Is the country aware of its obligations under the Convention?

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<sup>17</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>18</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf). *This manual is under revision.*

- How is the implementation of the NAP articulated?

## 10. Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the achievement of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The review consultants can propose other evaluation criteria as deemed appropriate.

### A. Strategic Relevance

The review will assess, in line with the OECD/DAC definition of relevance, ‘*the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor*’. The review will include an assessment of the project’s relevance in relation to UN Environment’s mandate and its alignment with UN Environment’s policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

- i. *Alignment to the UN Environment Medium Term Strategy<sup>19</sup> (MTS) and Programme of Work (POW)*

The review should assess the project’s alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

- ii. *Alignment to UN Environment /GEF/Donor Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>20</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

- iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*

The review will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

- iv. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UN Environment’s comparative advantage has been particularly well applied should be highlighted.

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<sup>19</sup> UN Environment’s Medium Term Strategy (MTS) is a document that guides UN Environment’s programme planning over a four-year period. It identifies UN Environment’s thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>20</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

*Factors affecting this criterion may include:* stakeholders' participation and cooperation; responsiveness to human rights and gender equity and country ownership and driven-ness.

### **B. Quality of Project Design**

The quality of project design is assessed using an agreed template during the review inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. This overall Project Design Quality rating is entered in the final review ratings table as item B. In the Main Review Report a summary of the project's strengths and weaknesses at design stage is included.

*Factors affecting this criterion may include (at the design stage):* stakeholders' participation and cooperation and responsiveness to human rights and gender equity, including the extent to which relevant actions are adequately budgeted for.

### **C. Nature of External Context**

At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, the overall rating for Effectiveness may be increased at the discretion of the Review Consultant and Task Manager together. A justification for such an increase must be given.

### **D. Effectiveness**

The review will assess effectiveness across three dimensions: achievement of outputs, achievement of direct outcomes and likelihood of impact.

#### *i. Achievement of Outputs*

The review will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, a table should, for transparency, be provided showing the original formulation and the amended version. The achievement of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their usefulness and the timeliness of their delivery. The review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

*Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision<sup>21</sup>.

#### *ii. Achievement of Direct Outcomes*

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed<sup>22</sup> Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The review should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are

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<sup>21</sup> In some cases, 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<sup>22</sup> UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

*Factors affecting this criterion may include:* quality of project management and supervision; stakeholders' participation and cooperation; responsiveness to human rights and gender equity and communication and public awareness.

### *iii. Likelihood of Impact*

Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project reviews is outlined in a guidance note available on the EOU website, [web.unep.org/evaluation](http://web.unep.org/evaluation) and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>23</sup>

The review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>24</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the review will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>25</sup> and/or the high level results prioritised by the funding partner.

*Factors affecting this criterion may include:* quality of project management and supervision, including adaptive project management; stakeholders' participation and cooperation; responsiveness to human rights and gender equity; country ownership and driven-ness and communication and public awareness.

## **E. Financial Management**

Financial management will be assessed under three broad themes: completeness of financial information, communication between financial and project management staff and compliance with relevant UN financial management standards and procedures. The review will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The review will assess the level of communication between the Task Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach. The review will verify the application of proper financial management standards and adherence to UN Environment's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

*Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision.

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<sup>23</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

<sup>24</sup> *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

<sup>25</sup> A list of relevant SDGs is available on the EO website [www.unep.org/evaluation](http://www.unep.org/evaluation)

## **F. Efficiency**

In keeping with the OECD/DAC definition of efficiency, the review will assess the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The review will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts caused by project delays or extensions. The review will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed project timeframe and consider whether the project was implemented in the most efficient way compared to alternative interventions or approaches.

The review will give special attention to efforts by the project teams to 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. The review will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

*Factors affecting this criterion may include:* preparation and readiness (e.g. timeliness); quality of project management and supervision and stakeholders' participation and cooperation.

## **G. Monitoring and Reporting**

The review will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring of project implementation and project reporting.

### *i. Monitoring Design and Budgeting*

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>26</sup> indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal review should be discussed if applicable.

### *ii. Monitoring of Project Implementation*

The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The review should confirm that funds allocated for monitoring were used to support this activity.

### *iii. Project Reporting*

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Projects funded by GEF have specific evaluation/review requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template<sup>27</sup>), which will be made available by the Task Manager. The review will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

*Factors affecting this criterion may include:* quality of project management and supervision and responsiveness to human rights and gender equity (e.g. disaggregated indicators and data).

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<sup>26</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

<sup>27</sup> The Evaluation Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement Template Table A and Section E have been completed.

## **H. Sustainability**

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The review will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

### *i. Socio-political Sustainability*

The review will assess the extent to which social or political factors support the continuation and further development of project direct outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular, the review will consider whether individual capacity development efforts are likely to be sustained.

### *ii. Financial Sustainability*

Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The review will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. The question still remains as to whether the future project outcomes will be financially sustainable.

### *iii. Institutional Sustainability*

The review will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

*Factors affecting this criterion may include:* stakeholders' participation and cooperation; responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined); communication and public awareness and country ownership and driven-ness.

## **I. Factors and Processes Affecting Project Performance**

These factors are rated in the ratings table, but are discussed as cross-cutting themes as appropriate under the other evaluation criteria, above.

### *i. Preparation and Readiness*

This criterion focuses on the inception or mobilisation stage of the project. The review will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular, the review will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

### *ii. Quality of Project Implementation and Execution*

Specifically, for GEF funded projects, this factor refers separately to the performance of the executing agency and the technical backstopping and supervision provided by UN Environment, as the implementing agency.

The review will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk

management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

*iii. Stakeholder Participation and Cooperation*

Here the term ‘stakeholder’ should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs and target users of project outputs and any other collaborating agents external to UN Environment. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups, should be considered.

*iv. Responsiveness to Human Rights and Gender Equity*

The review will ascertain to what extent the project has applied the UN Common Understanding on the human rights based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context, the review will assess to what extent the intervention adheres to UN Environment’s Policy and Strategy for Gender Equality and the Environment.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account. In particular, the review will consider to what extent project design (section B), the implementation that underpins effectiveness (section D), and monitoring (section G) have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

*v. Country Ownership and Driven-ness*

The review will assess the quality and degree of engagement of government / public sector agencies in the project. The review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.

*vi. Communication and Public Awareness*

The review will assess the effectiveness of: a) communication of learning and experience sharing between project partners and interested groups arising from the project during its life and b) public awareness activities that were undertaken during the implementation of the project to influence attitudes or shape behaviour among wider communities and civil society at large. The review should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gender and marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the review will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.



### **Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES**

The Terminal Review will be an in-depth review using a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings. Where applicable, the consultant(s) should provide a geo-referenced map that demarcates the area covered by the project and, where possible, provide geo-reference photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

The findings of the review will be based on the following:

- (a) A **desk review** of:
  - Relevant background documentation, inter alia;
  - Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
  - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
  - Project outputs: Inception workshop report, training report, ASGM National Action Plan final document for Mongolia, final meeting report
- (b) **Interviews** (individual or in group) with:
  - UN Environment Task Manager (TM);
  - Project management team;
  - UN Environment Fund Management Officer (FMO);
  - Sub-Programme Coordinator;
  - Project partners, including, the Ministry of Environment and Tourism of Mongolia, and national counterparts
  - Relevant resource persons.

## **11. Review Deliverables and Review Procedures**

The review team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, review framework and a tentative review schedule.
- **Preliminary Findings Note:** typically, in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.
- **Draft and Final Review Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.
- **Review Bulletin:** a 2-page summary of key review findings for wider dissemination.

**Review of the draft review report.** The review team will submit a draft report to the Task Manager and revise the draft in response to their comments and suggestions. The Task Manager will then forward the revised draft report to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Task Manager for consolidation. The Task Manager will provide all comments to the review team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response. Terminal Review Reports and their ratings will be validated by the UN Environment Evaluation Office and an Evaluation Manager will advise the Task Manager of the role played by the Evaluation Manager in the review validation process.

At the end of the review process, the Project Manager will circulate the **Lessons Learned**.

## 12. The Consultants' Team

For this review, the review team will consist of a consultant who will work under the overall responsibility of the Task Manager (Ludovic Bernaudat) in consultation with the Fund Management Officer (Anuradha Shenoy) and the Sub-Programme Coordinators of the Chemicals and Wastes sub-programme (Tessa Goverse). The consultant will liaise with the Task Manager on any procedural and methodological matters related to the review. It is, however, the consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

The consultant will be hired for 2 months spread over the period 6 months and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 1 year of technical / evaluation experience, and using a Theory of Change approach; a broad understanding of the Minamata Convention along with excellent writing skills in English; and, where possible, knowledge of the UN system, specifically of the work of UN Environment.

The consultant will be responsible, in close consultation with the Task Manager, for overall management of the review and timely delivery of its outputs, described above in Section 11 Review Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.

Details of Evaluation Consultants' Team Roles can be found on the Evaluation Office of UN Environment website: [www.unep.org/evaluation](http://www.unep.org/evaluation).

Schedule of the review

The table below presents the tentative schedule for the review.

**Table 3. Tentative schedule for the review**

Milestone	Deadline
Inception Mission	15 Sep 2019
Inception Report	30 Sep 2019
Telephone interviews, surveys etc.	15 Oct 2019
PowerPoint/presentation on preliminary findings and recommendations	15 Oct 2019
Draft report to Task Manager	20 Oct 2019
Draft Review Report shared with UN Environment Project Manager and team	25 Oct 2019

Draft Review Report shared with wider group of stakeholders	31 Oct 2019
Final Review Report	15 Nov 2019
Final Review Report shared with all respondents	30 Nov 2019

## Annex 1: Tools, Templates and Guidance Notes for use in the Review

The tools, templates and guidance notes listed in the table below, and available on the Evaluation Office website ([www.unep.org/evaluation](http://www.unep.org/evaluation)), are intended to help Task Managers and Review Consultants to produce review products that are consistent with each other. This suite of documents is also intended to make the review process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the review needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the review process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the Task Manager and the Review Consultant in order to produce review reports that are both useful to project implementers and that produce credible findings.

<b>Document</b>	<b>Name</b>	<b>URL link</b>
1	Review Process Guidelines for Consultants	<a href="#">Link</a>
2	Review Consultants Team Roles ( <i>Team Leader and Supporting Consultant</i> )	<a href="#">Link</a>
3	Evaluation Ratings Table	<a href="#">Link</a>
4	Weighting of Ratings (excel)	<a href="#">Link</a>
5	Evaluation Criteria ( <i>summary of descriptions, as in these terms of reference</i> )	<a href="#">Link</a>
6	Matrix Describing Ratings by Criteria	( <i>under development – search ‘Working With Us’ on website</i> )
7	Structure and Contents of the Inception Review Report	<a href="#">Link</a>
8	Template for the Assessment of the Quality of Project Design	<a href="#">Link</a>
9	Guidance on Stakeholder Analysis	<a href="#">Link</a>
10	Use of Theory of Change in Project Evaluations	<a href="#">Link</a>
11	Assessment of the Likelihood of Impact Decision Tree (Excel)	<a href="#">Link</a>
12	Possible Review Questions	<a href="#">Link</a>
13	Structure and Contents of the Main Review Report	<a href="#">Link</a>
14	Cover Page, Prelims and Style Sheet for Main Review Report	( <i>under development – search ‘Working With Us’ on website</i> )
15	Financial Tables	<a href="#">Link</a>
16	Template for the Assessment of the Quality of the Review Report	<a href="#">Link</a>

## Annex 2: Evaluation Ratings Table

The review will provide individual ratings for the evaluation criteria described in the table below.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

In the conclusions section of the review report, ratings will be presented together in a table, with a brief justification for each rating, cross-referenced to findings in the main body of the report.

<b>Criterion</b> <i>(section ratings A-I are formed by aggregating the ratings of their respective sub-categories, unless otherwise marked)</i>	<b>Summary Assessment</b>	<b>Rating</b>
<b>A. Strategic Relevance</b>		<b>HS → HU</b>
<i>1. Alignment to MTS and POW</i>		HS → HU
<i>2. Alignment to UN Environment /GEF/Donor strategic priorities</i>		HS → HU
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>		HS → HU
<i>4. Complementarity with existing interventions</i>		HS → HU
<b>B. Quality of Project Design</b>		<b>HS → HU</b>
<b>C. Nature of External Context</b>		<b>HF → HU</b>
<b>D. Effectiveness<sup>28</sup></b>		<b>HS → HU</b>
<i>1. Achievement of outputs</i>		HS → HU
<i>2. Achievement of direct outcomes</i>		HS → HU
<i>3. Likelihood of impact</i>		HL → HU
<b>E. Financial Management</b>		<b>HS → HU</b>
<i>1. Completeness of project financial information</i>		HS → HU
<i>2. Communication between finance and project management staff</i>		HS → HU
<i>3. Compliance with UN Environment standards and procedures</i>		HS → HU
<b>F. Efficiency</b>		<b>HS → HU</b>
<b>G. Monitoring and Reporting</b>		<b>HS → HU</b>
<i>1. Monitoring design and budgeting</i>		HS → HU
<i>2. Monitoring of project implementation</i>		HS → HU
<i>3. Project reporting</i>		
<b>H. Sustainability</b> <i>(the overall rating for Sustainability will be the</i>		<b>HL → HU</b>

<sup>28</sup> Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, the overall rating for Effectiveness may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.

<b>Criterion</b> <i>(section ratings A-I are formed by aggregating the ratings of their respective sub-categories, unless otherwise marked)</i>	<b>Summary Assessment</b>	<b>Rating</b>
<i>lowest rating among the three sub-categories)</i>		
<i>1. Socio-political sustainability</i>		HL → HU
<i>2. Financial sustainability</i>		HL → HU
<i>3. Institutional sustainability</i>		HL → HU
<b>I. Factors Affecting Performance<sup>29</sup></b>		<b>HS → HU</b>
<i>1. Preparation and readiness</i>		HS → HU
<i>2. Quality of project management and supervision<sup>30</sup></i>		HS → HU
<i>3. Stakeholders participation and cooperation</i>		HS → HU
<i>4. Responsiveness to human rights and gender equity</i>		HS → HU
<i>5. Country ownership and driven-ness</i>		HS → HU
<i>6. Communication and public awareness</i>		HS → HU
<b>Overall project rating</b>		<b>HS → HU</b>

<sup>29</sup> While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Note that catalytic role, replication and scaling up are expected to be discussed under effectiveness if they are a relevant part of the TOC.

<sup>30</sup> In some cases, ‘project management and supervision’ will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment, as the implementing agency.

### Annex 3: Guidance on the Structure and Contents of the Inception Report

Section	Notes	Data Sources	Recommended no. pages
<b>1. Introduction</b>  <i>(Note that the previous abbreviation of UNEP should now be written as UN Environment)</i>	<i>Summarise:</i>  Purpose and scope of the review (e.g. learning/accountability and the project boundaries the evaluation covers)  Project problem statement and justification for the intervention.  Institutional context of the project (MTS, POW, Division, umbrella etc.)  Target audience for the review findings.	TOR and ProDoc	1
<b>2. Project outputs and outcomes</b>	Confirm the formulation of planned project outputs and expected outcomes. <i>The project should be assessed against its intended results, but these may need to be rephrased, re-aligned etc. Where the articulation of the project's results framework, including outputs, outcomes, long term impacts and objectives/goals, needs to be revised, a table should be provided showing the original version and the revisions proposed for use in the review.</i>	ProDoc, Revision documents, consultation with TM/PM	1 / 2
<b>3. Review of project design</b>	Complete the template for assessment of Project Design Quality, including ratings, and present as an annex ( <i>template available</i> )  Summarise the project design strengths and weaknesses within the body of the inception report.	Project document and revisions, MTE/MTR if any	1-page narrative and completed assessment of PDQ template
<b>4. Stakeholder analysis<sup>31</sup></b>	Identify key stakeholder groups and provide an analysis of the levels of influence and interest each stakeholder group has over the project outcomes. Give due attention to gender and	Project document  Project preparation	1

<sup>31</sup> Evaluation Office of UN Environment identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners; government officials and duty bearers (e.g. national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (e.g. households, tradespeople, disadvantaged groups, members of civil society etc.). UN Environment recognizes the nine major groups as defined in Agenda 21: Business and Industries, Children & Youth, Farmers, Indigenous People and their Communities, Local Authorities, NGO's, the Scientific & Technological Community, Women, Workers and Trade Unions.

	under-represented/marginalised groups. <i>(guidance note available)</i>	phase. TM/PM	
<b>5. Theory of Change</b>	<p>Revise or reconstruct the Theory of Change based on project documentation. Present the TOC as a one-page diagram, where possible, and explain it with a narrative, including a discussion of the assumptions and drivers <i>(guidance note and samples available)</i></p> <p>Identify any key literature/seminal texts that establish cause and effect relationships for this kind of intervention at higher results levels (e.g. benefits of introducing unleaded fuel)</p>	Project document narrative, logical framework and budget tables. Other project related documents.	Diagram and up to 2 pages of narrative
<b>6. Review methods</b>	<p>Describe all review methods <i>(especially how sites/countries will be selected for field visits or case studies; how any surveys will be administered; how findings will be analysed etc.)</i></p> <p>Summarise data sources/groups of respondents and method of data collection to be used with each <i>(e.g. skype, survey, site visit etc.)</i></p> <p>Create a review framework that includes detailed review questions linked to data sources. Include any new questions raised by review of Project Design Quality and TOC analysis. Present this as a table/matrix in the annex <i>(samples available)</i></p> <p>Design draft data collection tools and present in the annex <i>(e.g. interview schedules, questionnaires etc.)</i></p>	Review of all project documents.	1-page narrative. The evaluation framework as a matrix and draft data collection tools as annexes.
<b>7. Team roles and responsibilities</b>	Describe the roles and responsibilities among the review team, where appropriate		½
<b>8. Evaluation schedule</b>	<p>Provide a revised timeline for the overall review <i>(dates of travel and key review milestones)</i></p> <p>Tentative programme for site/country visits</p>	Discussion with TM/PM on logistics	½ (table)
<b>9. Learning, communication and outreach</b>	Describe the approach and methods that will be used to promote reflection and learning through the review process <i>(e.g. opportunities for feedback to stakeholders; translation needs etc.)</i>	Discussions with the TM/PM and EM	½




<b>TOTAL NARRATIVE PAGES</b>			<b>8-12 pages, plus annexes</b>
<b>Annexes</b>	<p>A - Review Framework</p> <p>B - Draft data collection tools</p> <p>C - Completed assessment of the Project Design Quality</p> <p>D - List of documents and individuals to be consulted during the main evaluation phase</p> <p>E - List of individuals and documents consulted for the inception report</p>		

## Annex 4: Guidance on the Structure and Contents of the Main Review Report

*NOTE: Review consultants are kindly advised to refer the reader to paragraphs in different parts of the report instead of repeating material.*

<p><b>Preliminaries</b> <i>(Note that the previous abbreviation of UNEP should now be written as UN Environment)</i></p>	<p><i>Title page</i> – Name and number of the reviewed project, type of review (mid-term or terminal), month/year review report completed, UN Environment logo. Include an appropriate cover page image.</p> <p><i>Contents page</i> – including chapters, tables and annexes</p> <p><i>Abbreviations table</i> – only use abbreviations for an item that occurs more than 5 times within the report. Introduce each abbreviation on first use and ensure it is in the table. Where an abbreviation has not been used recently in the text, provide its full version again. The Executive Summary should be written with no abbreviations.</p> <p><i>Acknowledgements</i> – This is a maximum of two paragraphs. At the end of acknowledgements name the Project Manager and Fund Management Officer.</p> <p><i>Short biography of the consultant(s)</i> – giving relevant detail of experience and qualifications that make the consultant a suitable candidate for having undertaken the work. <b>(Max 1 paragraph)</b></p> <p><i>Header/footer</i> – Name of reviewed project, type of review and month/year review report completed. Page numbers, header and footer do not appear on the title page</p>
<p><b>Project Identification Table</b></p>	<p>An updated version of the Project Identification Table.</p>
<p><b>Executive Summary</b> <i>(Kindly avoid all abbreviations in the Executive Summary)</i></p>	<p>The summary should be able to stand alone as an accurate summary of the main review product. It should include a concise overview of the review object; clear summary of the review objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), and selected lessons learned and recommendations. <b>(Max 4 pages)</b></p>
<p><b>I. Introduction</b></p>	<p>A brief introduction, identifying institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the review; date of Proposal Review Committee approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases completed and anticipated (where appropriate); implementing partners; total secured budget and whether the project has been reviewed/evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Concise statement of the purpose of the review and the key intended audience for the findings. <b>(Max 1 page)</b></p>
<p><b>II. Review Methods</b></p>	<p>This section is the foundation for the review’s credibility, which underpins the validity of all its findings.</p> <p>The section should include a description of how the Theory of Change at Review was designed (who was involved etc.) and applied to the context of the project. The data collection section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used</p>

	<p>to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address limitations to the review such as: inadequate review budget to complete the TOR; low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider review questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. <b>(Max 3 pages)</b></p>
<b>III. The Project</b>	
A. Context	<p>Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). Include any socio-economic, political, institutional or environmental contextual details relevant to the project's stated intentions. Can include a map of the intervention locations.</p> <p>The section should identify any specific external challenges faced by the project (e.g. conflict, natural disaster, political upheaval etc.). <b>(1 page)</b></p>
B. Objectives and components	<p>Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised). A brief description of how the project structure delivers against the project's results framework (e.g. stated purpose of components; role of management components). <b>(1 page)</b></p>
C. Stakeholders <sup>32</sup>	<p>Description of groups of targeted stakeholders organised according to relevant common characteristics such as: interest/influence; roles/responsibilities or contributions/benefits etc. Key change agents should be identified and due attention given to gender and under-represented/marginalised groups. <b>(½ page)</b></p>
D. Project implementation structure and partners	<p>A description of the implementation structure with diagram (implementing and executing agencies) and a list of key project partners, including their role in project delivery and performance <b>(½ page narrative + table/diagram)</b></p>
E. Changes in design during implementation	<p>Any key events that affected the project's scope or parameters should be described in brief in chronological order, including: costed/no-cost extensions; formal revisions to the project's results; additional funding and when it was secured etc. <b>(½ page)</b></p>
F. Project financing	<p>Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing should be provided.</p> <p> Financial Tables</p>
<b>IV. Theory of Change</b>	

<sup>32</sup> Evaluation Office of UN Environment identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners; government officials and duty bearers (e.g. national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (e.g. households, tradespeople, disadvantaged groups, members of civil society etc.). UN Environment recognizes the nine major groups as defined in Agenda 21: Business and Industries, Children & Youth, Farmers, Indigenous People and their Communities, Local Authorities, NGO's, the Scientific & Technological Community, Women, Workers and Trade Unions.

Reconstructed Theory of Change of the project	<p>A summary of the project’s results hierarchy should be presented for: a) the results as stated in the approved/revised ProDoc log frame/TOC and b) as formulated in the <i>TOC at Review</i><sup>33</sup>. This can be presented as a two column table.</p> <p>The TOC at Review should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. The insights gained by preparing the TOC at Review should be identified (e.g. gaps or disconnects in the project’s logic that were identified; added value or UN Environment comparative advantages that were highlighted; lessons in project design that became apparent etc.) <b>(3 pages + diagram)</b></p>
<b>IV. Review Findings</b>	
<b>**Refer to the TOR for descriptions of the nature and scope of each criterion**</b>	<p>This chapter is organized according to the evaluation criteria presented in the TORs and reflected in the evaluation ratings table. The Review Findings section provides a summative analysis of all triangulated data relevant to the parameters of the criteria. Review findings should be objective, relate to the review objectives/questions, be easily identifiable and clearly stated and supported by sufficient evidence. This is the main substantive section of the report and incorporates indicative evidence<sup>34</sup> as appropriate. “Factors Affecting Performance” should be discussed as appropriate in each of the evaluation criteria as cross-cutting issues (see section IV. I below). Ratings are provided at the end of the assessment of each evaluation criterion and the complete ratings table is included under the conclusions section (V. A) below.</p>
A. Strategic Relevance	Integrated analysis of all dimensions evaluated under Strategic Relevance.
B. Quality of Project Design	Brief summary of the strength and weaknesses of the project design.
C. Nature of the External Context	Brief summary of any key external features of the project’s implementing context that may have been reasonably expected to limit the project’s performance (e.g. conflict, natural disaster, political upheaval)
D. Effectiveness: i. Achievement of outputs ii. Achievement of direct outcomes iii. Likelihood of impact	Integrated analysis, guided by the causal pathway represented by the TOC at Review, of all evidence relating to the delivery of results. Change processes explained and the roles of key actors, as well as drivers and assumptions, should be explicitly discussed.
E. Financial Management	Integrated analysis of all dimensions evaluated under financial management: <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used; <i>communication</i> between financial and project management staff and <i>compliance</i> with relevant UN financial management standards and procedures. The completed ‘financial management’ table should be included in this section.
F. Efficiency	This section should contain a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:

<sup>33</sup> During the Inception Phase of the review process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Review*.

<sup>34</sup> This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

	<ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UN Environment’s environmental footprint.</li> </ul>
G. Monitoring and Reporting	<p>Integrated analysis of all dimensions evaluated under Monitoring and Reporting, including:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART indicators, resources for Mid Term Evaluation/Review, plans for collection of disaggregated data etc.</i>)</li> <li>• Monitoring implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor report; gender disaggregated data</i>)</li> </ul>
H. Sustainability	<p>Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of achieved <u>direct outcomes</u> are identified and discussion, including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability (<i>including issues of partnerships</i>)</li> </ul>
I. Factors Affecting Performance	<p>These factors are not discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. A rating is given for each of these factors in the Evaluation Ratings Table.</p>
<b>V. Conclusions and Recommendations</b>	
A. Conclusions	<p>This section should summarize the main conclusions of the review following a logical sequence from cause to effect. The conclusions should highlight the main strengths and weaknesses of the project, preferably starting with the positive achievements and a short explanation of how these were achieved, and then moving to the less successful aspects of the project and explanations as to why they occurred. Answers to the key strategic evaluation questions should be provided. All conclusions should be supported with evidence that has been presented in the evaluation report and can be cross-referenced to the main text using paragraph numbering. The conclusions section should end with the overall assessment of the project, followed by the ratings table. The conclusions section should not be a repeat of the Executive Summary, but focuses on the main findings in a compelling story line that provides both evidence and explanations of the project’s results and impact. <b>(Max 2 pages)</b></p>
B. Lessons Learned	<p>Lessons learned should be anchored in the conclusions of the review, with cross-referencing to appropriate paragraphs in the evaluation report where possible. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated in similar contexts. Alternatively, they can be derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p> <p>Specific lessons on how human rights and gender equity issues have been successfully</p>

	integrated into project delivery and/or how they could have could have been taken into consideration, should be highlighted.
C. Recommendations	<p>As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with paragraph cross-referencing where possible.</p> <p>Recommendations are proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities), specific in terms of who would do what and when, and set a measurable performance target in order that the project team/Head of Branch/Unit can monitor and assess compliance with the recommendations.</p> <p>It is suggested that a SMART<sup>35</sup> recommendation is stated first and is followed by a summary of the finding which supports it. In some cases, it might be useful to propose options, and briefly analyse the pros and cons of each option. Specific recommendations on actions that could be taken within the available time and resources to ensure the delivery of results relevant to human rights and gender equity should be highlighted.</p>
<b>Annexes</b> <i>(The Project Design Qualify assessment is not needed in the final evaluation report as it is annexed in the inception report)</i>	<p>These may include additional material deemed relevant by the Reviewer(s) but must include:</p> <ol style="list-style-type: none"> <li>1. Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate.</li> <li>2. Review TORs (without annexes).</li> <li>3. Review itinerary, containing the names of locations visited and the names (or functions) and of people met/interviewed. <i>(A list of names and contact details of all respondents should be given to the Project Manager for dissemination of the report to stakeholders, but contact details should not appear in the report, which may be publicly disclosed on the UN Environment Evaluation Office website).</i></li> <li>4. Summary of co-finance information and a statement of project expenditure by activity</li> <li>5. Review Bulletin: A short (2-page) and simple presentation of review findings and lessons to support the dissemination of learning to a wide range of audiences.</li> <li>6. Any other communication and outreach tools used to disseminate results (e.g. power point presentations, charts, graphs, videos, case studies, etc.)</li> <li>7. List of documents consulted</li> <li>8. Brief CVs of the consultants</li> <li>9. Quality Assessment of the Review Report will be added by the Project Manager as the final annex.</li> </ol>

<sup>35</sup> SMART refers to indicators that are: Specific, Measurable, Achievable, Results-oriented and Time-bound