



# United Nations Environment Programme

Terminal Review of the UNEP/GEF Enabling Activity 9865 -  
Development of Minamata Initial Assessments (MIA) in the  
Caribbean (Antigua and Barbuda, Dominica, Grenada, St.  
Vincent and the Grenadines)

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#### **List of Acronyms and Abbreviations**

EA: Enabling Activity  
GEF: Global Environment Facility  
MC: Minamata Convention  
MIA: Minamata Initial Assessment  
NGOs: Non-Governmental organisations  
SAICM: Strategic Approach to International Chemicals Management  
ToC: Theory of Change  
TOR: Terms Of Reference

## Project Identification Table

<b>Project Title:</b>	Development of Minamata Initial Assessments (MIA) in the Caribbean (Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines)
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<b>Executing Agency:</b>	The Basel Convention Regional Centre for Training and Technology Transfer for the Caribbean (BCRC-Caribbean)
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<b>Project partners:</b>	Global Mercury Partnership
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<b>Geographical Scope:</b>	Latin America and Caribbean
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<b>Participating Countries:</b>	Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines
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<b>GEF project ID:</b>	9865	<b>Coding blocks*<sup>1</sup>:</b>	SB-007649.01.01 S1-32GFL-000626 P1-33GFL-001128
<b>Focal Area(s):</b>	Chemicals and Wastes	<b>GEF OP #:</b>	2
<b>GEF Strategic Priority/Objective:</b>	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	<b>GEF approval date*:</b>	17/07/2017
<b>UNEP approval date:</b>	24/07/2017	<b>Date of first disbursement*:</b>	15/09/2017
<b>Actual start date<sup>2</sup>:</b>	15/09/2017	<b>Planned duration:</b>	24 months
<b>Intended completion date*:</b>	15/09/2019	<b>Actual or Expected completion date:</b>	31 March 2021
<b>Project Type:</b>	Enabling Activity	<b>GEF Allocation*:</b>	\$600,000
<b>PPG GEF cost*:</b>	n/a	<b>PPG co-financing*:</b>	n/a

<sup>1</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>2</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<b>Expected MSP/FSP Co-financing*:</b>	n/a	<b>Total Cost*:</b>	\$600,000
<b>Mid-term Review/eval. (planned date):</b>	n/a	<b>Terminal Evaluation (actual date):</b>	4 <sup>th</sup> quarter 2020
<b>Mid-term Review/eval. (actual date):</b>	n/a	<b>No. of revisions*:</b>	1
<b>Date of last Steering Committee meeting:</b>	n/a	<b>Date of last Revision*:</b>	July 2019
<b>Disbursement as of 3 June 2020*:</b>	\$545,000	<b>Date of financial closure*:</b>	N/A
<b>Date of Completion<sup>3</sup>*:</b>	March 2021 (anticipated)	<b>Actual expenditures reported by the EA as of 31 March 2020<sup>4</sup>:</b>	\$489,164
<b>Total co-financing realized as of 31 March 2020:</b>	n/a	<b>Actual expenditures entered in UMOJA as of 31 March 2020*:</b>	\$489,164
<b>Leveraged financing:<sup>5</sup></b>	n/a		
<b>Dates of previous project phases:</b>	n/a	<b>Status of future project phases:</b>	n/a

## Executive Summary

This report presents the results of the terminal review of the enabling activity entitled “Development of Minamata Initial Assessment (MIA) in the Caribbean”, executed by the Basel Convention Regional Centre for Training and Technology Transfer for the Caribbean (BCRC) between 2017 and 2021 with a UNEP/GEF budget of \$600,000 in Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines. This project is a step towards early ratification of the Minamata Convention and is aimed at building national capacity to meet reporting and other obligations under the Convention. To identify available data and to conduct an inventory of mercury emissions and releases, a core component of the MIA, is therefore an appropriate solution for all four countries.

The project objective was to facilitate the ratification and early implementation of the Minamata Convention (MC) by the use of scientific and technical knowledge and tools by national stakeholders in Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines. It was based around two core components: 1) global technical support and capacity building for MIA development, and 2) development

<sup>3</sup> If there was a “Completion Revision” please use the date of the revision.

<sup>4</sup> Information to be provided by Executing Agency/Project Manager

<sup>5</sup> See above note on co-financing

and validation of MIAs (strengthening of national coordination mechanism, legislative and institutional capacity review, national inventory, identification of challenges and opportunities, MIA validation).

The terminal review analysed project documentation, including original assessment reports, and carried out interviews via Skype with stakeholders in participating countries as well as written questionnaires for stakeholders that were unreachable in person. The executing agency and all national project coordinators were contacted and reached (1 out of 4 national coordinators is a female). National project coordinators were asked to reach out to national steering committee members and solicit their feedback on the questionnaire, however, none were received.

Throughout the review process and in the compilation of the Final Review Report efforts have been made to represent the views of both mainstream and more marginalised groups. All efforts to provide respondents with anonymity have been made.

At the time of terminal review, final draft MIAs are available from all 4 countries. Although not all planned activities have been completed, only minimal regional awareness activities remain on the project. And since all the deliverables have been achieved, no impact on the review findings is expected.

Criterion	Rating	Page in report
<b>Strategic Relevance</b>	<b>HS</b>	<b>18</b>
<i>1. National and regional priorities</i>	HS	15
<i>2. UNEP mandate and policies</i>	HS	18
<i>3. The GEF's strategic objectives</i>	HS	18
<b>Quality of Project Design</b>	<b>S</b>	<b>19</b>
<b>Effectiveness</b>	<b>S</b>	<b>19</b>
<i>1. Achievement of outputs</i>	S	19
<i>2. Achievement of outcomes</i>	S	23
<i>3. Likelihood of impact</i>	S	23
<i>4. Attainment of results</i>	S	24
<b>Financial Management</b>	<b>HS</b>	<b>24</b>
<b>Efficiency</b>	<b>S</b>	<b>24</b>
<b>Monitoring and Reporting</b>	<b>S</b>	<b>25</b>
<b>Sustainability</b>	<b>S</b>	<b>25</b>
<i>1. Socio-political sustainability</i>	S	25
<i>2. Financial sustainability</i>	S	25
<i>3. Institutional sustainability</i>	S	25
<b>Factors and Processes Affecting Performance</b>	<b>S</b>	<b>26</b>
<i>1. Project implementation and management</i>	S	26
<i>2. Stakeholder participation and cooperation</i>	S	26
<i>3. Country ownership and driven-ness</i>	S	26
<i>4. Communication and public awareness</i>	S	26
<b>Overall Project Rating</b>	<b>S</b>	

## Conclusions

*(The following conclusions, lessons and recommendations are discussed in detail in the final section of the report.)*

Conclusion 1: Without the MIA project, it would be impossible for participating countries to take data-based informative decisions towards the implementation of the Minamata Convention

Conclusion 2: This project was an essential step towards appropriate actions and decisions to manage mercury

Conclusion 3: The four countries showed similar degrees of engagement and driven-ness towards implementing the Convention

Conclusion 4: The regional aspect of the project provided an opportunity for project countries to learn from each other and to develop measures with a harmonized regional approach, however, also impacted project progress as countries were progressing at different paces and requiring different length of time to review and approve joint deliverables such as awareness raising materials

Conclusion 5: Selection and continuation of employment pertaining to national focal point for the project is an essential element to project success

Conclusion 6: Due to the overlapping chemical projects in the region, countries lack sufficient time and resources to review and prioritize document processing

## Lessons Learned

Lesson 1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular

Lesson 2: Understanding the necessity of social, economic, and human assessments is imperative to chemicals management

Lesson 3: Education, training and awareness raising need to be sector specific and in some cases, made informal depending on the sector; the use of social media platforms proved to be effective for targeted groups

Lesson 4: Strong legislations need to be in place to effectively manage and control mercury pollution

Lesson 5: Strong coordination efforts among different but related international assistance projects on chemicals and wastes are essential to overall success on chemicals management in any given country

Lesson 6: National coordination on chemicals and waste international technical assistance projects needs to be strengthened at country level

## Recommendations

Recommendation 1: Work more closely with the UNEP Global Mercury Partnership (GMP) in the future

Recommendation 2: Socio-economic and sex-disaggregated data should continue to be collected in the future for chemicals management

Recommendation 3: Extend the National Coordination Mechanism Committee to include more non-governmental partners where-ever possible and appropriate

Recommendation 4: Work with regional and international partners more frequently to benefit from their experience

Recommendation 5: Continue to engage a gender consultant in chemicals management

Recommendation 6: In order to ensure maximum effectiveness toward achieving project objective, efforts should be made to maintain continuity and retainment of knowledge within the national team; at least 3 or more representatives from each country should attend trainings provided through the project to accommodate potential personnel changes

Recommendation 7: In an effort towards better coordination among chemical management projects, a designated national focal point/team should be appointed

Recommendation 8: In an effort to maintain stakeholder engagement, continuous and consistent communication with the relevant parties should be maintained; encourage more ownership of the project through additional tasks via agreements with national government is one option to be considered

## Introduction

This report presents the terminal review of the enabling activity entitled “Development of Minamata Initial Assessments in the Caribbean - Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines” (or MIA Caribbean II from hereafter). The objective of the project is to facilitate the ratification and early implementation of the Minamata Convention by the use of scientific and technical knowledge and tools by the Governments of Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines. Only Antigua and Barbuda has acceded to the Convention. This regional project was approved in July 2017, with a planned duration of 24 months, from reception of the first payment in September 2017. The project was extended 1 time mainly due to the global pandemic and the current anticipated completion date is 31 March 2021 (with PCA expiring on 30 September 2021) to ensure that



all remaining activities are completed. All four countries have their final drafts the MIA reports at the time of the terminal review.

The project was implemented by the United Nations Environment Programme, with funding from the Global Environment Facility (GEF) and executed by the Basel Convention Regional Centre for Training and Technology Transfer for the Caribbean (BCRC). As of January 2021, roughly 86% (\$514,173) of the total (\$600,000) UNEP/GEF budget have been spent including costs associated with the terminal review. The remaining funds will be used on awareness, dissemination and financial audit.

## The Review

The review was carried out in October-December 2020 and finalized in April 2021 by an independent consultant, Grace Halla, under the overall responsibility and management of the Senior Task Manager of the GEF team at the Chemicals and Health Branch, under the Economy Division of UNEP.

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

The evaluator was able to reach all national project coordinators from each country and a few key stakeholders throughout the three-month period, consulting them as necessary throughout the process. Travel to any project countries was not possible due to timing and the COVID-19 pandemic, most interviews were carried out via Skype, while stakeholders who were not available in person or based on preference and/or convenience filled out a review questionnaire.

The questionnaire, along with the interviews and a desk review of the project documentation were the main methods of determining the project's results. The project's performance was assessed in terms of its relevance, effectiveness and efficiency, as well as its actual and potential outcomes and impacts, and their sustainability. This also included a likelihood of impact assessment, identifying intended and unintended effects; as well as assessing the potential for replication, up-scaling and continuation of the project (or similar projects in the region). Then the factors and processes affecting project performance were assessed, relating to preparation and readiness, quality of management and supervision, stakeholder participation, public awareness, country ownership and responsiveness to human rights and gender equity. Finally, the project financing and the monitoring and review systems were evaluated. 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:*

### **COUNTRY STATS PRIOR TO PROJECT**

For Antigua and Barbuda, there was no current overarching legislation that addresses the issue of mercury and mercury-containing products. However, the Pesticides and Toxic Chemicals Act (2008) provides general protection and regulatory protection. The development of regulations is therefore seen as critical to the improvement of the overall regulatory framework and institutional strengthening required to address pollutants in general. For Dominica, the country acknowledged the hazard of heavy metals such as mercury, but little work has been done due to the lack of funding and resources. Realizing the imminent danger of keeping a “business-as-usual” scenario concerning the poor waste management of hazardous waste, Dominica started taking steps toward dealing with chemicals and chemicals waste on a whole. For Grenada, the main concern related to uses and sources of mercury emissions and releases was the import of manufactured goods containing mercury and that after use was not properly disposed of. Grenada was challenged since most of policies dealing with environmental management are in draft over extended periods of time. If existing policies were to be updated and implemented rather than remain in drafts over extended periods of time, they will assist in responding to the many environmental issues. Coordination, cooperation and clear mandate of and among the agencies were bottlenecks to the management and the partnership with civil society to increase awareness at the community level. For Saint Vincent and the Grenadines, the country had enacted legislation for the management of chemicals, unacceptable risk to health, safety, and environmental quality. However these laws and regulations were often fragmented across sectoral boundaries. It was anticipated that participation in the MIA project will fill the gap of empirical data on mercury and the existing infrastructure, challenges and needs within the various countries.

All four countries have not carried out comprehensive national mercury inventories. At the international level, Antigua and Barbuda, Dominica and Saint Vincent and Grenadines are Parties to the Basel, Rotterdam and Stockholm Conventions.

## **PROJECT INTERVENTIONS**

The Minamata Convention (MC) 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 (Minamata Convention text).

All four countries needed assistance in building national capacity to implement the Minamata Convention, which is not yet ratified (except for Antigua and Barbuda which ratified in 2016), including identification of sources and releases. The MIA project also aimed at reinforcing the National Coordination Mechanism on chemicals management to ensure coherences and avoid duplication of efforts.

Regional learning and networking was offered through: 1) regional initial training and inception workshop, 2) final workshop which countries shared experiences and lessons learned. The design of a regional project aimed to trigger and enhance national and regional coordination and effective use of existing resources.

The BCRC executed the project. BCRC also entered contractual agreements with other partners, such as Biodiversity Research Institute (BRI) for development of MIA report, individual consultants focusing on legislative assessment and gender aspects, and companies that focused on awareness raising materials development. BCRC also recruited all the national coordinators in each country.

The final regional workshop was organized and conducted in August 2019 in Saint Vincent and Grenadine where all four countries were present. Challenges, opportunities and areas for improvement were discussed.

Politically, all four countries have been stable throughout the project execution period, and communication with stakeholders was relatively constant at most times and slow at some instances (excluding the impact caused by COVID19 global pandemic). The BCRC needed to place additional measures to keep some national stakeholders engaged in the project. In addition, there were multiple changes that occurred in personnel tasked with on-the-ground data collection and coordination. The consultants hired for both Antigua and Barbuda and Dominica were changed throughout the project due to various issues. This led to delays in project activities as replacements had to be recruited and trained. Additionally, there were changes in national coordination. Within Dominica, the National Supervisor retired during project execution and it took time before a new supervisor was appointed to the project in December 2019. In Grenada, there were multiple persons who were appointed to the project to act as the National Supervisor, however this resulted in a lack of ownership among all three (3) persons.

#### *Objective and components*

The project's objective was the facilitation of ratification and early implementation of the MC, by the use of scientific and technical knowledge and tools by national stakeholders in Antigua and Barbuda, Dominica, Grenada, and Saint Vincent and Grenadine. The development of the MIA has two components stated below:

- 1) Global technical support and capacity building for MIA development, and
- 2) Development and validation of MIAs (strengthening of national coordination mechanism, legislative and institutional capacity review, national inventory, identification of challenges and opportunities, MIA validation)

#### *Milestones/Key dates in project design and implementation*

Project start date- Planned: September 2017; Actual: September 2017

Mid-term evaluation (MTE) date: Because of its scale and nature as an EA, the project document does not call for a MTE, therefore, beyond the quarterly progress reporting, the M&E plan consists of the independent financial audit and the independent terminal review.

Project completion date- Planned: August 2020; Anticipated: March 2021

**Regional Inception Workshop:** 14-16 April 2018, Antigua and Barbuda

**National inception workshops:**

Antigua and Barbuda – 14-15 May 2018

Dominica – 18 May 2018

Grenada – 27 April 2018

St. Vincent and Grenadines – 23 April 2018

**National validation workshops:**

Antigua and Barbuda – 15 March 2019

Dominica – 13 March 2019

Grenada – 4 December 2018

St. Vincent and Grenadines – 11 March 2019

**Regional Validation/Final Workshop:** 22 August 2019, St. Vincent and Grenadines

*Implementation arrangements:*

UNEP acted as the UN implementation agency for the project, with financing from the GEF in accordance with Article 13 on the financial mechanism of the 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. Execution was undertaken by BCRC – the Caribbean, whose responsibilities entailed managing the project activities and establishing technical and managerial teams to execute the different activities. It was required to provide UNEP with regular progress (semi annual) and financial (quarterly) reports.

## Project financing

**Table1. Original and actual project budgets, by component and funding source**

Project Components	GEF Financing original estimate/ actual disbursements		Estimate/actual co-financing*	
	\$	%	\$	%
1. Global technical support and capacity building for MIA development	69,000/58,636	85%	NA	NA
2. Development and validation of MIAs	458,500/407,348	89%	NA	NA
3. Project management and supervision	47,500/47,500	100%	NA	NA
4. Project monitoring and evaluation	25,000/689.93	3%	NA	NA
Total project costs	600,000/514,173	86%	NA	NA

The Project Cooperation Agreement (PCA) between UNEP and the BCRC will remain in force until 30 September 2021.

#### *Project Partners:*

The key project partners were:

- The BCRC as the executing agency
- UNEP as the implementing agency
- The GEF as a financing partner
- Department of Analytical Services under the Ministry of Agriculture, Fisheries and Barbuda Affairs (Antigua and Barbuda), Dominica Bureau of Standards (Dominica), Ministry of Tourism, Civil Aviation, Climate Resilience and the Environment (Grenada), and Sustainable Development Unit under the Minister of Tourism, Civil Aviation, Sustainable Development and Culture (St. Vincent and Grenadines) as the secretariat of the national executing team

#### Changes in Design during Implementation

There were no changes in project design throughout the implementation of this project.

#### Theory of Change of the Project

No Theory of Change (ToC) was submitted as part of the project documents as it was not a requirement of the GEF at the time. During project preparation, it was recommended by the GEF to reduce the project components from six (6) (on other previously submitted UNEP MIAs) to two (2) based on lessons learned from the UNEP-implemented MIAs. Since the project activities were identical, the project did not go through UNEP internal review again (internal review usually requires ToC).

However, it is obvious that the project demonstrates a logical sequence of intended results from immediate outputs, feeding into the objective and long-term impact. Because of the small scale of this project, there is one major pathway from activities to outputs and onwards to impact identified, along with one intermediate state. Note that no outcomes were mentioned in the project document.

However, in order to illustrate the results from the project, TOC from another MIA project (Cuba) with a very similar setup, is shown below.

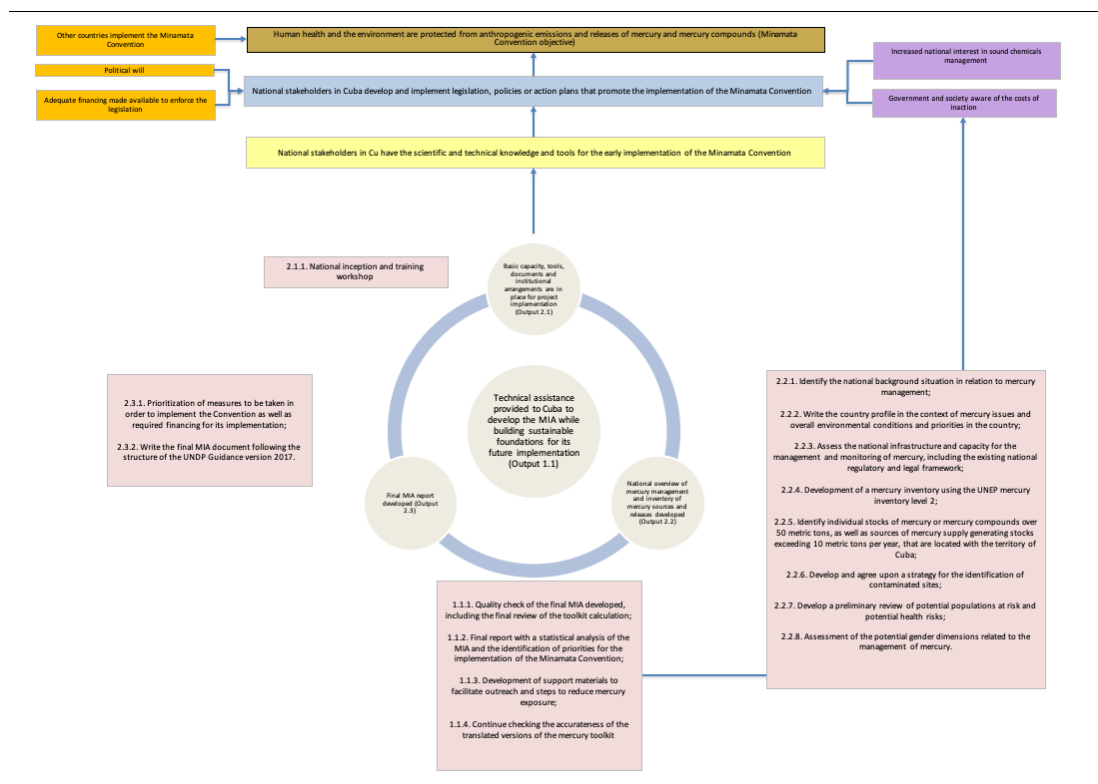


Figure 1. Theory of Change (reconstructed from MIA Cuba project)

Impact pathway 1: data collection and establishment of baseline institutional framework. The fulfilment of the project objective requires the successful completion of outputs and they are linked in a causal/continuous sequential logic (component 2): in order for the participating countries to be able to ratify the Minamata Convention, they should first assess and enhance its existing information and structure, then they should have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities. These two activities provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit, and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps.

To ensure the quality of the MIA report produced in each country, component 1 was designed to provide technical assistance and quality check of final MIAs. In addition, to undertake knowledge management and information exchange at the regional level.

Consequently, at this stage, the project has reached the intermediate state at which all relevant stakeholders have the necessary information through the MIA report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and where possible, eliminate, mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially should lead to the implementation of the Minamata Convention, which directly supports the project's GEBs.

## Review Findings:

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

## Strategic relevance:

### *National and regional priorities:*

Antigua and Barbuda, Dominica and St. Vincent and Grenadines have very similar set up and conclusion on their needs for mercury management: the assessment revealed that while the existing regulatory framework contains some provisions for the implementation of mercury management, overall, the framework is broad and fragmented. Improving the national policies and legislation can include developing a mechanism for ensuring collaboration between the various plans, with guidelines crafted on how to involve all relevant stakeholders. The technical infrastructures for analyzing and monitoring chemicals must also be strengthened. Specific recommendations for improvement include establishing a holistic chemicals management policy that establishes comprehensive strategies on mercury risks by outlining what Antigua and Barbuda hopes to achieve under its chemicals management structure and clarifying the methods and principles that it will use to achieve them.

Under the Project, stakeholders from the relevant government sectors such as waste and health as well as non-governmental organisation (NGO) stakeholders have been made aware of the areas of focus for sound mercury management throughout the project through working group meetings. In addition to the MIA report and discussions, a communications package was developed containing many technical briefing documents that can provide information to all key stakeholders and government officials. These documents serve to provide the results of different components of the project, including the results of the add-on sampling initiatives. These materials will assist in high-level stakeholder engagements or in drafting relevant cabinet briefing notes to promote the enforcement of the Minamata Convention.

Based on the materials produced, a communication strategy for mercury awareness was developed for Antigua and Barbuda that included the use of social media campaigns; Public Service Announcements via television and radio; involvement in environmental campaigns and events; partnering with NGOs, Youth Groups or other project initiatives; engaging local health institutions and store owners; engaging students at primary and secondary level; engaging policy makers.

The communication strategy can be tailored to meet the priorities of Antigua and Barbuda, Dominica, and St. Vincent and Grenadines given the available resources, collaborations and network in the country.

Dominica is not yet a Party to the Minamata Convention on Mercury; however, it is a Party to other chemicals related MEAs including the Basel Convention, the Stockholm Convention, the Rotterdam Convention. Through its participation in the MIA Project, Dominica had an opportunity to strengthen its existing legal, policy, and institutional arrangements for the management of chemicals by establishing a framework that consolidates the implementation of the chemicals cluster MEAs alongside the Minamata Convention.

The variations in watershed sensitivities to the methylation of mercury in Antigua and Barbuda and Dominica were found to be driven by the spatial distribution of waterbodies and swamps. It was also observed that the island's east coast had lower sensitivities than the internal and western areas. The results from the rapid assessment can be used to provide information on the potential of relating land coverage to mercury exposure risk. To further optimize the analysis, the presence and location of additional potential sources of mercury should be verified by relevant authorities in Antigua and Barbuda and Dominica.

In both Antigua and Barbuda and Dominica, a rapid gender analysis was conducted which found that a higher percentage of females work in the medical, dental and waste sector and as such, may have a higher likelihood of mercury exposure. Some research have shown that the use of skin lightening creams by women with children have led to greater risks of mercury transfer to their children. Populations with a regular diet of contaminated high trophic level aquatic organisms are also at risk of mercury contamination. A rapid assessment of mercury concentrations in opportunistic samples of fish was conducted in Antigua and Barbuda and Dominica by the Biodiversity Research Institute. Overall, fish mercury concentrations were relatively low but results indicated that certain taxa of fish should be further assessed to better understand the risk of exposure through consumption for humans.

In Saint Vincent and the Grenadines, a rapid gender analysis was conducted which found that waste pickers are predominantly females and collectors are males. The water supply, sewerage waste management and remediation sector has a total of 324 employees of which 270 employees are males and 54 are females. In the health care sector, there are more female nurses than males and the male to female ratio is more or less equal for doctors. The women's population makes up 82.8% of the professionals in human health and social work. Some research have shown that the use of skin lightening creams by women with children have led to greater risks of mercury transfer to their children.

Populations with a regular diet of contaminated high trophic level aquatic organisms are also at risk of mercury contamination. The monitoring of mercury in fish and seafood in Antigua and Barbuda, Dominica and St. Vincent and Grenadines need to be improved to ensure accurate exposure estimates over time, and to inform advisories on healthy dietary practices throughout the country.

Grenada: the legal review concluded that existing regulatory framework contains minimal provisions for the implementation of chemicals (including mercury) management and overall, the framework is broad and fragmented. However, mercury is identified as hazardous in some legislation such as the Waste Management Act, and noted as a chemical that should be controlled. There is a lack of adequate financial and technical resources to effectively and appropriately respond to issues relating to hazardous chemicals including mercury.

The need is therefore for a chemicals management policy that establishes comprehensive strategies on mercury risks by outlining what Grenada hopes to achieve under its chemicals management structure and clarifying the methods and principles that it will use to achieve them. Recommendations for consideration include to:

- I. Ratify the Basel, Rotterdam, Stockholm and Minamata Conventions.
- II. Establish a harmonized policy on national chemicals management.



- III. Develop and enact a comprehensive legislative framework on the environmentally sound management of chemicals including mercury and its compounds and mechanisms to implement the Basel, Rotterdam, Stockholm and Minamata Conventions.
- IV. Establish collaboration among the relevant institutions and agencies involved in chemicals and waste management through the assignment and coordination of roles of lead agencies and development of opportunities to build capacity among stakeholders, including training.
- V. Develop regulations to specify mechanisms for data collection and dissemination among national, regional and international public and private sector stakeholders and public awareness raising.

In Grenada, as part of the project, a rapid gender analysis was conducted which found that waste management in Grenada is a male dominated sector at the management and worker levels. Women may be more involved in domestic informal burning of waste. Males are also the waste collectors and waste pickers in the sectors. Informal waste burning for the clearing of agricultural land is usually associated with males. Some research has shown that the use of skin lightening creams by women with children have led to greater risks of mercury transfer to their children.

Populations with a regular diet of contaminated high trophic level aquatic organisms are also at risk of mercury contamination. A rapid assessment of mercury concentrations in opportunistic samples of fish was conducted in Grenada by the Biodiversity Research Institute. Overall, fish mercury concentrations were found to be moderate though data highlighted certain taxa where fish mercury concentrations should be further examined as they may represent a risk of exposure through consumption for humans. These taxa include tuna species such as blackfin and yellowfin tuna. A more detailed assessment of total mercury concentrations in commonly consumed species in Grenada will help to provide important information to fisherman and consumers about the risks associated with consuming different species. The monitoring of mercury in fish and seafood in Grenada needs to be improved to ensure accurate exposure estimates over time, and to inform advisories on healthy dietary practices throughout the country.

**Priority Areas for Consideration in the Implementation of the Minamata Convention for all 4 countries include:**

- Accession to the Minamata Convention on Mercury (except Antigua and Barbuda).
- Promotion of mercury-free consumer products which are already widespread on the market.
- Development of proper separation methods for the disposal of MAPs both at the household consumer level and in landfill management procedures. The Government should ensure that the public has access to environmentally sound facilities/locations that could aid in the disposal process, as well as information and guidelines on disposing MAPs.
- Strengthening of the national capacity to test and monitor mercury in human health and the environment.
- Integration of gender into mercury abatement projects.

### *UNEP's mandate and policies*

When the project was designed, it 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 UNEP’s [Proposed Biennial Programme of Work 2016-2017](#). The project also contributed to the UNEP [Medium Term Strategy 2014-2017](#), under the harmful substances area and the Chemicals and Waste sub-programme. It is in line with the strategy, as it increases the country’s capacity to manage chemicals and waste, and increases collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project perfectly relevant and in line with UNEP mandate.

### *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](#).

Overall, the project is an initial and essential step towards early implementation of the MC, yet its outcomes encompass and contribute towards sustainable development, a sound environment and protection of human health, which also contribute to several sustainable development goals. The baseline information in various fields will be useful for environmental policies to be designed, but also social, economic and developmental policies and strategies to be developed.

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

### *Quality of project design:*

Overall, the project design was rated as satisfactory, with many strong elements and a few shortcomings.

The strengths of the design are the strategic relevance, the governance and supervision arrangements, the logical framework and the financial planning, which were rated highly satisfactory, also the risk identification and social safeguards are rated satisfactory. The strategic relevance places the project in the context of the GEF and UNEP’s priorities and programmes of work, giving it the context and coherence needed for sound implementation. The governance and supervision arrangements are clearly identified, sharing and defining stakeholder roles and responsibilities in an appropriate manner that combine efficiency, stakeholder engagement, synergies and sound means of verification, to encourage sound implementation. The financial planning is sound and does not display any deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage are well prepared, reasonable and transparent, contributing to its sustainability and overall success. However, the project did not include a Theory of Change (not required at the time by the GEF), risk identification table nor assumptions at project design. Fortunately, this did not impact the overall preparedness of the project, as well as ensuring its effectiveness.

The focus of the project is to gather sufficient information about the state of mercury in the four Caribbean countries in order to identify the necessary needs for the implementation of the Minamata Convention, while building upon already existing chemicals management mechanisms and networks and encouraging harmonisation and information sharing in the regional context. A solid project design and project logic, such as the continuity and build-up of outcomes and outputs displayed in this project establish a sound base for triggering a change in the way Antigua and Barbuda, Dominica, Grenada, Saint Vincent and Grenadines manage chemicals in general and mercury in particular.

The evaluator notes that the design of the project did not include extensive considerations on safeguards and equality, and this should be emphasized for similar projects in the future.

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

## Effectiveness

### Achievement of outputs

The core deliverables of the project consist of 1) an assessment of national infrastructure and capacity for the management of mercury, including national legislation; 2) a mercury inventory of emissions and releases, developed using the UNEP toolkit; 3) a strategy to identify and assess mercury contaminated sites; 4) a national MIA report, an optional implementation plan, and awareness-raising and results-dissemination materials; 5) the creation of National Coordination Mechanism Committee to oversee and manage the execution of the above outputs, 6) regional learning and knowledge generation. Review of the project documentation, the deliverables and consultation with the available stakeholders confirmed that the outputs delivered are of sufficient quality and will be very useful to stakeholders in all four countries. All deliverables for were submitted (draft final of the MIAs). Each deliverable will be discussed in detail below:

#### *i. National capacity and infrastructure assessment:*

The detailed final draft MIA reports from the four countries were prepared in English. The quality of the reports are highly satisfactory. All MIA reports were reviewed by experts recruited through BCRC. The reports contained well-rounded analysis, and it establishes a baseline for the national infrastructure, complemented by details on priorities while identifying the problems that need to be addressed. The legislation assessment is also satisfactory in quality.

#### *ii. Mercury inventory as per the UNEP Toolkit:*

The inventories in all four countries were carried out to level 2 as per the UNEP inventory toolkit. The inventories were complete, and its review was carried out by the expert who elaborated the toolkit. This is the main scientific output of the MIA, as it identifies emissions and releases, stocks and contaminated areas as per the indices. This was delivered in time and provides significant insight into the country's priorities and needs. The inventory has been reviewed and commented on independently by the global component (component 1) and therefore its completion and timely delivery are the only factors that can be rated by the evaluator.

#### *iii. MIA report:*

The report is the final deliverable and is a compilation of the above outputs. The final MIA drafts were delivered on time and they are of satisfactory quality. The reports include all necessary chapters. This

report is the baseline necessary for the elaboration of the implementation plan and for taking the following steps.

*Implementation plan:* The implementation plan is not an MIA requirement, but it is considered good practice, and further demonstrates the country's engagement in the early implementation process. The plans elaborated in all four countries are of sufficient quality, stating a clear main objective and including specific objectives that are interconnected and cover all the binding clauses of the MC. The estimated allocated budget for each activity is reasonable and the activities address all binding clauses of the convention.

*iv. Awareness raising materials:*

Awareness raising efforts are ongoing in all four countries at the time of terminal review. To date, communication packages were developed with guidance on implementation in each country. Awareness raising videos were launched in early 2020, however due to the onset of the Covid-19 pandemic, the implementation of the strategy for implementation was paused due to the need for prioritization of awareness on the pandemic in each country.

Materials produced include:

Animated Videos on related mercury issues:

- Five (5) short animated videos with subtitles (average 2 minutes long)
- Five (5) video teasers (10 seconds long) to advertise the release of the videos on social media.
- Five (5) French Creole translated videos without subtitles (relevant for Dominica).

Infographics/Flyers/Brochures:

- Five (5) flyers based on a snapshot of the animated videos developed.
- Four (4) Infographics developed under the previous regional MIA project in the Caribbean.
- One (1) flyer on Hair Sampling in the Caribbean Region.
- One (1) flyer1 on Skin-lightening Cream Sampling in the Caribbean Region.
- One (1) national fish card and flyer1 on the Fish Sampling per country.

Technical Briefing Documents:

- One (1) national Skin-Lightening Creams Assessment Report per country.
- One (1) regional Report on the Gender Assessment of MIA Project and Mercury Management.

Detailed explanations of each of the materials developed were provided for each country in a guidance document. The guidance document and overall communication packages are being revised currently to incorporate revised considerations due to the Covid-19 pandemic and is expected to be made available by December 2020.

*v. National Coordination Mechanism Committee:*

For all four countries, the national coordinating mechanism consisted of mainly government representatives. Therefore, a greater balance between governmental and civil society and private stakeholders is recommended.

In Antigua and Barbuda, rather than a national working group formed under the project, an existing coordination mechanism, a Technical Advisory Committee developed to assess chemicals and waste/environmental activities in the country, was approached to provide key reviews on project deliverables on a scheduled basis. Other stakeholders were engaged in a more informal working group approach where they were sent project documents to review on an as-needed basis and invited to engage in workshops. Stakeholders were engaged initially in a national inception workshop; the Technical Advisory Committee met on a monthly basis and were presented with updates on the project by the National Supervisor and/or National Project Coordinators on an as needed basis; wider national working group meetings were held in half-day workshop settings at least three (3) times over the course of the project and at a Results Validation Workshop and; stakeholders were engaged in one-on-one in person meetings or via email on an as-needed basis. Because of the National Supervisor's commitment and interest in Minamata Convention activities, there was strong ownership and driven-ness. Coordination with wider stakeholders was coordinated through an NGO involved in a GEF Small-Grants Programme project so that MIA activities could be streamlined and have more efficient and effective implementation. The work of reducing and eliminating mercury continues to be supported by the stakeholders.

In Dominica, a national working group was formed with various stakeholders. Throughout the project, there were difficulties experienced in stakeholder communications due to the continued impacts of 2017's Hurricane Maria. The infrastructure and human resource capacity was still affected and the National Project Coordinator noted difficulties in getting feedback from stakeholders via email or phone. In person one-on-one meetings were typically held during the data collection process. For the review process, coordination workshops were held and feedback was received from stakeholders. Throughout the project, workshops were held approximately 5 times (inclusive of inception and results workshops). As of late 2019, new personnel were assigned as the national focal points to assist in finalisation of project activities. Through stakeholder involvement in the GEF ISLANDS Programme, the driven-ness for the country to address mercury issues and become a Party to the Minamata Convention is being championed.

In Grenada, a national working group was formed with various stakeholders. Throughout the project, workshops were held approximately 5 times (inclusive of inception and results workshops). National Supervisors were assigned in the ministry responsible for the environment as well as the ministry responsible for health. This assisted in driving the emphasis on mercury issues related to health and encouraged the government's potential participation in further regional activities for mercury biomonitoring. Engagement of persons within the country have been a challenge. As the project's main deliverables are being finalised, a renewed engagement strategy will be implemented to encourage the government's ratification of the Minamata Convention and implementation of mercury management measures.

In Saint Vincent and the Grenadines, a national working group was formed with various stakeholders. Throughout the project, workshops were held approximately 5 times (inclusive of inception and results workshops). National Supervisors were assigned in the ministry responsible for the environment and have been engaged throughout the process. Their interest in becoming a Party to the Minamata Convention has been expressed but due to current priorities, a renewed engagement strategy will be implemented to encourage the government's ratification of the Minamata Convention and implementation of mercury management measures in the first quarter of 2021.

Engagement with stakeholders was paused from October 2019. National Working Groups will be re-engaged for final discussions on the finalised National MIA Reports and Communication Strategy implementation for mercury management from October 2020- March 2021.

#### *vi. Regional learning and knowledge generation:*

The project hosted a regional inception and a closing workshop for the project. All four countries and participating partner agencies were present. The overall feedback from the interview showed that they favor the regional aspects of the project and that it created numerous opportunities to learn from each other. However, it is also apparent that the regional aspects of the project have delayed project progress in terms of overall timing and closure as every participating progress at different pace. But the regional nature of the project does not have any direct impact on national execution. There were no regional materials generated from the project besides the inception and closing workshop reports.

Due to economies of scale and the relatively small amounts of mercury estimated to be released in each country, individual country recommendations for mercury disposal measures are not feasible. The regional approach allowed for collaborative discussions on the development of measures that had a harmonised regional approach. Administratively, a regional approach to consultancies hired under the project and workshops allowed for cost savings within the budget so that countries benefited from the funding of more activities. Cons associated with the regional approach included the longer timeframe and discussions that were needed to ensure that all countries had a chance to review and approve of collated deliverables such as awareness raising material developed. Coordination for regional workshops (inception and lessons learned workshops) also posed a challenge at times.

### Achievement of Outcomes:

There is one impact pathway for the scale of this project. This is identified as Impact Pathway 1 - Data Collection and Establishment of Baseline Institutional Framework. The fulfilment of the project objective requires the successful completion of all main outputs and they are linked to the next in a causal/continuous sequential logic: In order for the countries to be able to ratify the Minamata Convention, it must first assess and enhance its existing information and structure, then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities. These two activities provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit, and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps. Consequentially, at this stage, the project has reached the intermediate state at which all relevant stakeholders have the necessary information through the MIA report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and stop mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially leads to the implementation of the Minamata Convention, which directly supports the project's GEBs. Note that there is no mention of outcomes in the project document.

The outputs have all been achieved through the completion of the activities discussed in the section above in the 4 countries. It can be concluded that the project has fulfilled all of its intended outputs, and is therefore at the intermediate impact stage. Unfortunately, three out of four countries have not yet ratified the MC so far. All three countries have indicated that the ratification process is in progress, however, the exact timing is unclear and unpredictable. All national project coordinators emphasized that the MIA project facilitated the ratification process tremendously.

### Likelihood of Impact

The positive impacts of this project are as follows: Knowledge of the baseline situation in relation to mercury presence in the environment and mercury management strategies in the countries; awareness raising among stakeholders and policymakers about the situation but also about the MC; elaboration and dissemination of an action plan towards the implementation of the MC. All of these impacts are a direct result of the project outcomes discussed in the above section.

There are no unintended positive effects, because of the scale and nature of the project. It is a scoping mission and it has been carried out successfully.

In terms of catalysed change, and because of the nature and scale of the project, it is not expected that it will produce any behavioural changes yet. It is expected that stakeholders will utilise all the data gathered in this project when implementing the action plan elaborated in the MIA report. In terms of institutional change, the National Coordination Mechanism is strengthened through the various meetings, workshops and training opportunities. This was echoed by various stakeholders and even confirmed by regional partners during meetings. The mechanism seems robust enough to continue working towards the long-term impact of eliminating mercury emissions and releases in the country.

As for replication, the project design is conducive to replication. Ideally, the design would be adjusted and adapted to the national characteristics of each country; however, keeping in mind the scoping

mission nature of the project, it is only after the completion of the project and with enough data gathered that this can be achieved.

### Attainment of objectives and planned results

The project findings and deliverables, in the form of the full MIA report and its executive summary, along with awareness raising materials, were made available to all relevant non-governmental counterparts. This has been confirmed from different feedback sources to the review. The audio and visual materials were broadcasted regularly, however, there are limited ways of assessing the quality of outreach. It is therefore estimated that the target audience was reached, based on stakeholder feedback and the statements made at the validation workshop and progress reports.

### Compliance of assumptions:

There was no logical framework associated with the project, however, this did not impact project progress. Only Antigua and Barbuda has ratified the convention at the time of the terminal review, and other countries are still taking steps toward ratification. BCRC does plan to organize national and regional webinars to engagement high-level officials in the remaining three countries to encourage ratification.

### **Rating for effectiveness: Satisfactory**

### Efficiency

The project was able to achieve its projected outputs without any political or social challenges in the four countries. It utilized and strengthened the already existing and newly formed National Coordination Mechanism Committees, and produced baseline data reports where there were none. There were delays in project delivery as it took 3.5 years, instead of 2 years to complete the project. Payments were disbursed, and delivery of outputs was successful. The project was cost effective and there was no over or under spending. Effective management privileged hiring local and regional consultants that have an appropriate understanding of the national condition of the environment and industry, and produced high quality assessment reports at a cost effective rate relative to international consultants.

### **Rating for efficiency: Satisfactory.**

### Financial Management

The regular quarterly financial reports provide sufficient detail into how well the executing agency managed funds. Every component used the entire allocated budget, and the administrative procedures of hiring local consultants were all reported in transparency.

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

### **Rating for financial management: Highly Satisfactory.**

### Monitoring and Reporting

The monitoring and reporting mechanism consisted of semi annual progress reports submitted to the UNEP task manager, who gave regular feedback on these reports. This was carried out via email, Skype,



or during UNEP staff missions to countries or to regional/international meetings where the government representatives were also present. Communication in person with all four countries did not experience difficulties. However, the executing agency did make an effort to maintain the momentum and engagement of national stakeholders in all 4 countries. Therefore, adaptive management had to be applied in order to move project forward according to the work plan. This is also one of the reasons why the project took 3.5 instead of 2 years to complete.

All progress and financial reports are complete and accurate.

**Rating for monitoring and reporting: Satisfactory.**

## Sustainability

As per the nature of the external context assessment, there are no imminent social or political factors that have influenced the project progress toward its intended impacts. As the countries continue their efforts via carrying out the priority activities set out in the implementation plans set out in their MIA reports, and working toward achieving its long term impact, further support from the civil society can have a positive impact on the results. However, the engagement level from the private sector and civil society in all four countries could be improved.

Any type of political instability can effectively influence and pose a threat to progress on the road to implementation. However, the feedback provided for the review reflects a satisfactory level of country ownership in all four countries to allow for the next steps to be sustained. It must be noted that this is more a reflection on the country's efforts to fully implement the Minamata Convention, which will be a lengthy process, but it is not the subject of this review. In purely technical terms, this project has achieved its direct impact, which is paving the way for other projects and activities to be undertaken in the field of mercury management.

Due to the nature of the project, all further action will contribute to the long-term impact of implementing the MC. This being said, any further action in carrying out the priority activities will depend on National Coordination Mechanism Committees and its multiple stakeholders in the four countries. It will also depend on the engagement of the leading agencies in continuing to take the initiative and introduce the appropriate policies, regulations and decisions, informed by the MIA project results.

At the time of terminal review, the government and relevant stakeholders in the four countries have shown sufficient commitment and engagement to safely predict that they will continue to show the same level of engagement in the future. However, the feedback to the review has concluded that countries will need the support of the GEF financially. The involvement of intergovernmental organisations is important for the sustainability of the project and of the implementation of the MC.

**Rating for sustainability: Satisfactory.**

## Factors and processes affecting project performance

### *Project implementation and management*

The project has not been carried out as planned, therefore, the 24-month timeline was not met. It can be therefore concluded that it was not managed effectively to the full extent, with reported

communication issues due to periodic lack of engagement and changes of personnel in the countries. In addition, the unforeseen COVID19 global pandemic has caused re-prioritization in all four countries and caused delays in project activities and prolonged response time.

The inventory was carried out using the toolkit at Level 2. There were no reported constraints or problems of political or operational/institutional nature that influenced the running of the project in the four countries other than the frequent personnel changes.

Given the nature of the project, human rights and safeguards were not heavily addressed during implementation. However, a rapid gender assessment was conducted in each of the project countries as part of the project design as this is a required section in all MIA reports. In addition, a regional gender assessments briefing report was produced by the project.

**Rating for project implementation and management: Satisfactory.**

*Stakeholder participation, cooperation and partnerships*

The degree of effectiveness of collaboration between stakeholders is satisfactory in the four countries.

Although not many stakeholders from the countries responded to the questionnaire, it can be judged from the MIA report that most stakeholders felt like they were sufficiently involved in the design stage of the project, while all felt like they had an active role in its implementation, particularly in the committee meetings and its decision making process. And stakeholders are satisfied at the level of collaboration during the project.

Because of the impossibility of travel and the difficulty in reaching all stakeholders for various reasons (unavailability or no means of communication or unresponsive stakeholders), even though the evaluator developed a questionnaire to simplify receiving feedback, only a limited number have responded. Fortunately, all responded stakeholders are key players in the execution of the project, and have all participated actively in the production of deliverables. They all felt that they were sufficiently involved in the design phase of the project, and participated actively in its implementation. They almost unanimously judged the level of interaction between all relevant stakeholders sufficient and useful, highlighting information sharing as an important factor in the success of the project.

**Rating for stakeholder participation, cooperation and partnerships: Satisfactory.**

*Country ownership and driven-ness*

All four countries displayed sufficient levels of ownership, however, as discussed above, it cannot continue to sustain its implementation efforts without the support of the GEF. There were intermittent periods where BCRC had difficulties engaging national stakeholders on the project, but this was resolved during execution by increasing the frequency of contact and forms of communication.

**Rating for country ownership and driven-ness: Satisfactory.**

### *Communication and public awareness*

A regional communication strategy and platform have been established. And national stakeholders involved in the development of the MIA report have been sensitized. However, due to the global pandemic, national awareness raising and dissemination activities have been put on hold. The BCRC and national stakeholders are revising the plan and trying to organize webinar dissemination until the end of the project. An abundance of outreach materials (videos, pamphlets, brochures, technical briefing document etc.) have been developed.

**Rating for communication and public awareness: Highly Satisfactory.**

## Conclusions, Lessons Learned and Recommendations

### Conclusions

**Conclusion 1: What if there had been no project?** Without the MIA project, it would be impossible for the four countries to take data-based informative decisions toward the implementation of the Minamata Convention. The consequences of this would have been slow ratification and implementation of the convention. The only two potential outcomes would have been inappropriate actions or no actions at all in the field.

**Conclusion 2: This project was an essential step towards appropriate actions and decisions to manage mercury.** It is essential for the 4 countries to gather data on the amount of mercury the environment (air, water land), and to quantify the products containing mercury used in different industries (medical equipment, batteries, dental amalgam) in order to devise an action plan and to identify priorities on the road towards early implementation.

**Conclusion 3: The four countries showed similar degrees of engagement and driven-ness towards implementing the Convention** The quality and detailed implementation plans in for the 4 countries are demonstrative of the high quality of the assessment carried out and the clear understanding of priorities. In addition, since the legislative framework is relatively similar among the 4 countries, the recommendations made are valid on all MIAs.

**Conclusion 4: The regional aspect of the project provided an opportunity for project countries to learn from each other and to develop measures with a harmonized regional approach, however, also impacted project progress as countries were progressing at different paces and requiring different length of time to review and approve joint deliverables such as awareness raising materials** Most of the stakeholders interviewed were in favour of the regional aspects of the project, however, there were also mentions of slight delays in one country could impact the project as a whole in terms of overall timing and length of the project.

**Conclusion 5: Selection and continuation of employment pertaining to national focal point for the project is an essential element to project success**

Even though some countries experienced changes of focal points during project execution, overall progress was not severely impacted. However, the executing agency had to take additional time to train the new coordinator.

**Conclusion 6: Due to the overlapping chemical projects in the region, countries lack sufficient time and resources to review and prioritize document processing** Antigua and Barbuda and Dominica are both heavily involved in other major chemicals and waste programmes in the region, therefore, national staff were overwhelmed with workload at times. In addition, since there are slight overlapping in information gathering and processes, sometimes national stakeholder prefer to wait for further information until making major decisions and finalize reports.

### Lessons Learned

**Lesson 1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular.** Therefore, this project provided the opportunity for countries to collect mercury data in a consistent and organized manner. The various governmental and non-governmental organizations also had the chance to engage and discuss mercury management. Complete assessment of the baseline condition of the countries is the only way to make smart decisions to further the cause of sound management of chemicals.

**Lesson 2: Understanding the necessity of social, economic, and human assessments is imperative to chemicals management.** While collecting scientific and empirical data on mercury releases and emissions is the core requirement in order to understand how the countries are affected, through the project, countries also realized that it is equally as important to understand what social, economic and human related aspects are associated with mercury. The human dimension is inevitable and should be considered as important as the environmental data.

**Lesson 3: Education, training and awareness raising need to be sector specific and in some cases, made informal depending on the sector; the use of social media platforms proved to be effective for targeted groups.** Depending on the country context, education, training and awareness raising have to be designed differently. It has been shown in other MIA countries that social media was extremely powerful in reaching different stakeholders and target groups.

**Lesson 4: Strong legislations need to be in place to effectively manage and control mercury pollution.** Through the project, the countries realized from the legislative assessment that without proper regulations and legislations in place, it is not possible to effectively control and manage any chemicals. Therefore, this is the foundation and starting point for chemicals management, mercury included.

**Lesson 5: Strong coordination efforts among different but related international assistance projects on chemicals and wastes are essential to overall success on chemicals management in any given country** Since some countries are involved in multiple large chemical and waste projects and programmes in the region, it is imperative to have strong coordination among all the projects in order to achieve maximum effectiveness and efficiency while utilizing limited resources.

## **Lesson 6: National coordination on chemicals and waste international technical assistance projects needs to be strengthened at country level**

Based on the experience through this project, sufficient national resources and staff have to be made available in order to absorb all the potential workload necessary to design and implement related projects at the country level.

### Recommendations

**Recommendation 1: Work more closely with the UNEP Global Mercury Partnership (GMP) in the future.** As the partnership covers almost all sources of mercury and composed of experts from all over the world, it is advised that countries reach out to the GMP, who can provide targeted advice and expertise; even recommend an expert or a consultant in order to carry out mercury related activities.

**Recommendation 2: Socio-economic and sex-disaggregated data should continue to be collected in the future for chemicals management.** The recommendation to collect such data is mentioned in the MIA reports and should become a common practice when managing chemicals in general.

**Recommendation 3: Extending the National Coordination Mechanism Committee to include more non-governmental partners where-ever possible and appropriate.** The government is sometimes over represented in the committee that is meant to represent all concerned and affected stakeholders. Reaching out to academia in the sociology and economy fields will aid with integrating a socio-economic approach.

**Recommendation 4: Working with regional and international partners more frequently to benefit from their experience.** It is recommended that countries exchange information more often with regional and international counterparts that are carrying out or have completed their MIA projects. This experience can be invaluable to all parties, and can help make the implementation process seem less daunting. If travel is an issue, taking advantage of Conference of the Parties (COPs), regional meetings organised by UNEP or other intergovernmental organisations to meet and exchange is recommended. Continuing collaboration through the platforms organized by Minamata Convention Secretariat and the Global Mercury Partnership is also recommended.

**Recommendation 5: Continue to engage a gender consultant in chemicals management.** Gender considerations and mainstreaming activities are included in all MIA reports. It is recommended that a gender expert is consulted for further activities to ensure proper execution.

**Recommendation 6: In order to ensure maximum effectiveness toward achieving project objective, efforts should be made to maintain continuity and retainment of knowledge within the national team; at least 3 or more representatives from each country should attend trainings provided through the project to accommodate potential personnel changes.** When allowed by the project budget,

attendance of additional national staff in trainings is encouraged. It will enhance national capacity building and avoid knowledge gaps due to departure of essential personnel.

**Recommendation 7: In an effort towards better coordination among chemical management projects, a designated national focal point/team should be appointed.** Since one of the reasons contributed to the delay of the project was related to the amount of work that the national representatives had to handle/process on other related chemicals and waste projects/programmes, a dedicated focal point and team should be appointed/assigned in each country to ensure that there are sufficient resources available to absorb all the due procedures.

**Recommendation 8: In an effort to maintain stakeholder engagement, continuous and consistent communication with the relevant parties should be maintained; encourage more ownership of the project through additional tasks via agreements with national government is one option to be considered.** To build the capacity and maintain engagement from national counterparts, the participating countries should be given increasing opportunity to take on more responsibilities and tasks. Through agreements and requiring specific deliverables from national counterparts, one can witness an increase in national ownership under the project and ultimately improve the countries' capabilities to manage chemicals and waste projects in the future.

Table 2. Summary of review ratings

Criterion	Rating	Page in report
<b>Strategic Relevance</b>	<b>HS</b>	<b>18</b>
1. National and regional priorities	HS	15
2. UNEP mandate and policies	HS	18
3. The GEF's strategic objectives	HS	18
<b>Quality of Project Design</b>	<b>S</b>	<b>19</b>
<b>Effectiveness</b>	<b>S</b>	<b>19</b>
1. Achievement of outputs	S	19
2. Achievement of outcomes	S	23
3. Likelihood of impact	S	23
4. Attainment of results	S	24
<b>Financial Management</b>	<b>HS</b>	<b>24</b>
<b>Efficiency</b>	<b>S</b>	<b>24</b>
<b>Monitoring and Reporting</b>	<b>S</b>	<b>25</b>
<b>Sustainability</b>	<b>S</b>	<b>25</b>
1. Socio-political sustainability	S	25
2. Financial sustainability	S	25
3. Institutional sustainability	S	25
<b>Factors and Processes Affecting Performance</b>	<b>S</b>	<b>26</b>
1. Project implementation and management	S	26
2. Stakeholder participation and cooperation	S	26
3. Country ownership and driven-ness	S	26
4. Communication and public awareness	S	26
<b>Overall Project Rating</b>	<b>S</b>	



## Annex 1. Stakeholder Questionnaire Template

1. In your view, has the objective of the project been achieved? How has the project contributed to an institutional change in the field of chemicals management in your country?
2. Were the project outputs realistic, given the time and budget allocated to the project?
3. Do you think the regional aspects of the project was helpful? Pros and cons?
4. How well did the national coordination mechanism/working group function in your country (format, meeting frequency, communication)? Was the mechanism new or an existing one? Was there sufficient stakeholder participation and cooperation? Was there country ownership and driven-ness? Is it strong enough to continue the work of reducing and eliminating mercury?
5. From your perspective, what were the major challenges during the project? Were you able to overcome them? If not, why not? Which areas can be improved? In terms of effectiveness and efficiency.
6. In the long term, are there political and/or social obstacles that could affect the progress of sound management of mercury in your country?
7. In your opinion, has the project succeeded in sufficiently educating the population on the dangers of mercury? How effective was awareness raising?
8. Was your country satisfied with the leadership and contribution from the Basel Convention Regional Center (BCRC) and its team members acting as the executing agency for the project? Were there any challenges? And how did you overcome them?
9. Were you satisfied with the international support recruited on the project? (Biodiversity Research Institute, legislative assessment consultant, gender consultant, awareness raising consultants on materials and videos)
10. Were there any problems or delays due to administrative or financial disbursements to conduct national activities? From both BCRC and UNEP?
11. How was your experience with UNEP GENEVA on support and engagement?
12. Do you have any other comments or stories that you want to share? Impressions of the project, or advice on management? Lessons learned or recommendations?



13. Do your responses represent the opinions of the national coordinating mechanism members? If not, can you please forward this questionnaire to them and I will be glad to review their responses anonymously.

## Annex 2: Terminal Evaluation Terms of Reference

### **Terminal Review of the UNEP/GEF project “Development of Minamata Initial Assessments (MIA) in the Caribbean (Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines)” and “GEF ID 9865”**

## **Section 1: PROJECT BACKGROUND AND OVERVIEW**

*(This section describes what is to be reviewed. Key parameters are: project timeframe, funding envelope, results framework and geographic scope)*

### 1. Project General Information

**Table 1. Project summary**

<b>UNEP Sub-programme:</b>	<b>5</b>	<b>UNEP Division/Branch:</b>	<b>Economy/Chemicals and Health</b>
<b>Expected Accomplishment(s):</b>	<b>5(a)</b> PoW 2016-2017 -  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>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>SDG(s) and indicator(s)</b>	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.		

<b>Project Title:</b>	Development of Minamata Initial Assessments (MIA) in the Caribbean (Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines)
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<b>Executing Agency:</b>	The Basel Convention Regional Centre for Training and Technology Transfer for the Caribbean (BCRC-Caribbean)
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<b>Project partners:</b>	Global Mercury Partnership
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<b>Geographical Scope:</b>	Latin America and Caribbean
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<b>Participating Countries:</b>	Antigua and Barbuda, Dominica, Grenada, St. Vincent and the Grenadines
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<b>GEF project ID:</b>	9865	<b>Coding blocks*<sup>6</sup>:</b>	SB-007649.01.01 S1-32GFL-000626 P1-33GFL-001128
<b>Focal Area(s):</b>	Chemicals and Wastes	<b>GEF OP #:</b>	2
<b>GEF Strategic Priority/Objective:</b>	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	<b>GEF approval date*:</b>	17/07/2017
<b>UNEP approval date:</b>	24/07/2017	<b>Date of first disbursement*:</b>	15/09/2017
<b>Actual start date<sup>7</sup>:</b>	15/09/2017	<b>Planned duration:</b>	24 months
<b>Intended completion date*:</b>	15/09/2019	<b>Actual or Expected completion date:</b>	
<b>Project Type:</b>	Enabling Activity	<b>GEF Allocation*:</b>	\$600,000
<b>PPG GEF cost*:</b>	n/a	<b>PPG co-financing*:</b>	n/a
<b>Expected MSP/FSP Co-financing*:</b>	n/a	<b>Total Cost*:</b>	\$600,000

<sup>6</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>7</sup> Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

<b>Mid-term Review/eval. (planned date):</b>	n/a	<b>Terminal Evaluation (actual date):</b>	
<b>Mid-term Review/eval. (actual date):</b>	n/a	<b>No. of revisions*:</b>	1
<b>Date of last Steering Committee meeting:</b>	n/a	<b>Date of last Revision*:</b>	July 2019
<b>Disbursement as of 3 June 2020*:</b>	\$545,000	<b>Date of financial closure*:</b>	
<b>Date of Completion<sup>8*</sup>:</b>		<b>Actual expenditures reported by the EA as of 31 March 2020<sup>9</sup>:</b>	\$489,164
<b>Total co-financing realized as of 31 March 2020:</b>	n/a	<b>Actual expenditures entered in UMOJA as of 31 March 2020*:</b>	\$489,164
<b>Leveraged financing:<sup>10</sup></b>	n/a		
<b>Dates of previous project phases:</b>	n/a	<b>Status of future project phases:</b>	n/a

## 2. Project rationale<sup>11</sup>

1. 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>12</sup>. It identifies two entities that will function as the Financial Mechanism:

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

4. 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>13</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.

<sup>8</sup> If there was a "Completion Revision" please use the date of the revision.

<sup>9</sup> Information to be provided by Executing Agency/Project Manager

<sup>10</sup> See above note on co-financing

<sup>11</sup> Grey = Info to be added

<sup>12</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>13</sup> Strategy for the pilot is presented in the document GEF/C.39/Inf.09

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>14</sup>.

5. 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 Committee 6 (GEF/C.45/Inf.05/Rev.01). Main features of the Minamata Initial Assessments are a) assessment of national regulatory framework in the context of preparation for a decision whether to ratify; b) inventory of mercury emissions and releases; c) prepare to implement the obligations of the Minamata Convention on Mercury as soon as possible.

6. At its sixth session held in Bangkok, Thailand, from 3 to 7 November 2014 the Intergovernmental Negotiating Committee (INC) applied a revised eligibility criterion in providing financial support to developing countries and countries with economies in transition for activities under the Minamata Convention on Mercury. It requested the eligibility for funding be extended for enabling activities to non-signatories to the Convention, provided that any such State is taking meaningful steps towards becoming a party. Such request was approved by the Council of the GEF in January 2015.

7. Antigua and Barbuda accessed the Minamata Convention on 23<sup>rd</sup> September 2016. On 23<sup>rd</sup> March 2017 the GEF Operational Focal Point for Antigua and Barbuda endorsed the development of Minamata Initial Assessments with UNEP as Implementing Agency.

8. On 28<sup>th</sup> July 2016 the Minister of Health and Environment of Dominica sent a notification stating that the country was taking meaning steps towards becoming a Party to the Minamata Convention on Mercury and requested for consideration as eligible for financial support for enabling activities. On 6<sup>th</sup> February 2017 the GEF Operational Focal Point Dominica endorsed the development of Minamata Initial Assessments with UNEP as Implementing Agency.

9. On 29<sup>th</sup> March 2016 the Minister of Agriculture, Forestry and Fisheries of Grenada sent a notification stating that the country was taking meaning steps towards becoming a Party to the Minamata Convention on Mercury and requested for consideration as eligible for financial support for enabling activities. On 21<sup>st</sup> March 2017 the GEF Operational Focal Point for Dominica endorsed the development of Minamata Initial Assessments with UNEP as Implementing Agency.

10. On 27<sup>th</sup> June 2016 the Minister of Economic Planning, Sustainable Development, Industry, Information and Labour of St. Vincent and the Grenadines sent a notification stating that the country was taking meaning steps towards becoming a Party to the Minamata Convention on Mercury and requested for consideration as eligible for financial support for enabling activities. On 3<sup>rd</sup> April 2017 Operational Focal Point for St. Vincent and the Grenadines endorsed the development of Minamata Initial Assessments with UNEP as Implementing Agency.

11. The project was developed based on the guidelines for Minamata Initial Assessments developed by the GEF Secretariat. The GEF Chief Executive Officer endorsed the project on 17<sup>th</sup> July 2017 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".

12. The project also contributed to achieve UNEP's Chemicals and Waste objective in its Programme of Work for 2016-2017 by increasing the institutional capacity of participating countries to manage chemicals and waste soundly, including the implementation of related provisions in the Minamata Convention.

13. The project was aimed at contributing to the protection of human health and the environment from the risks posed by unintentional and intentional emissions and releases as well as unsound use and management of

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<sup>14</sup> UNEP/MC/COP.2/INF/3

mercury through the ratification and early implementation of the Minamata Convention in participating countries. As of 3<sup>rd</sup> June 2020, Dominica, Grenada and St. Vincent and the Grenadines had not ratified the Minamata Convention.

14.

### 3. Project objectives and components:

15. Objective:

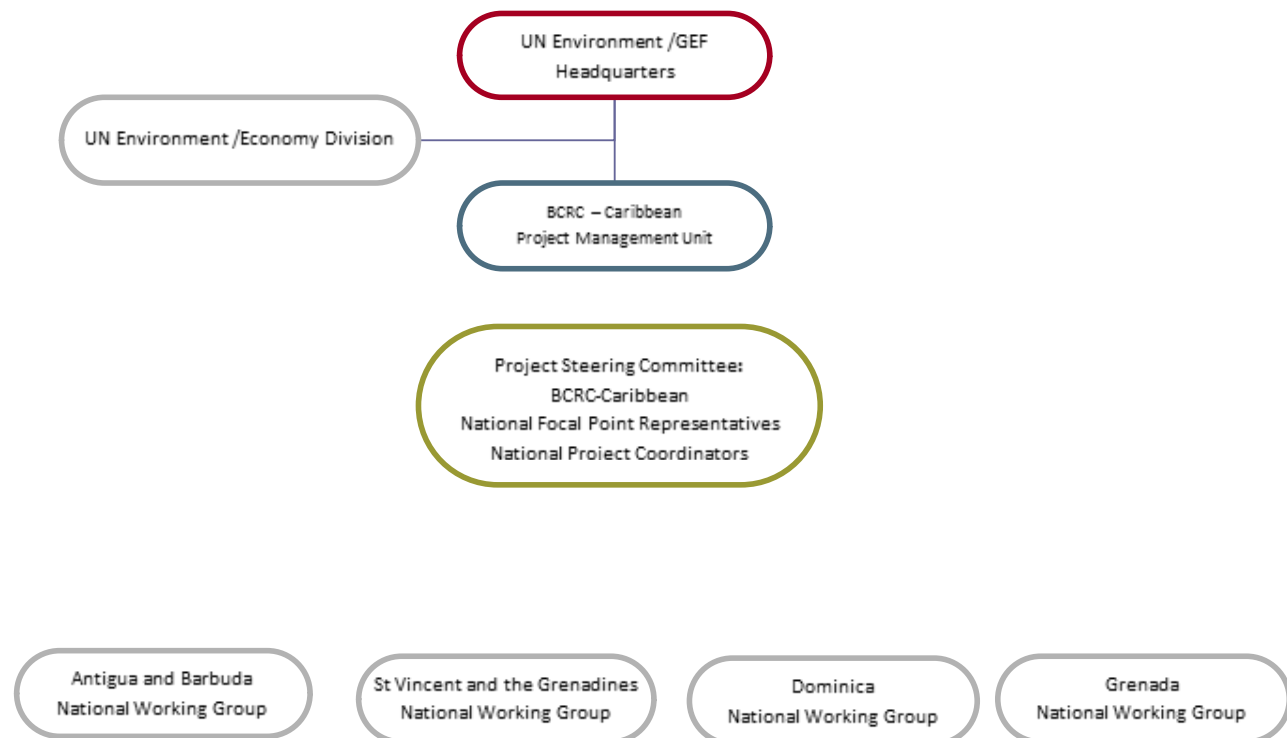
16. Ratification and early implementation of the Minamata Convention contributes to the protection of human health and the environment from the risks posed by unintentional and intentional emissions and releases as well as unsound use and management of mercury.

17. Components:

1. Global technical support for MIA development
2. Development and validation of Minamata Initial Assessment
3. Monitoring and Evaluation

18.

### 4. Executing Arrangements



19.

## 5. Project Cost and Financing

Component	Original budget	Revised budget 1	Expenditure as of 31 <sup>st</sup> March 2020
Component 1	\$58,000.00	\$58,000.00	\$52,367.00
Component 2	\$469,500.00	\$469,500.00	\$389,297.00
Component 3	\$25,000.00	\$25,000.00	\$47,500.00
Project Management	\$47,500.00	\$47,500.00	\$0.00
Total	\$600,000.00	\$600,000.00	\$489,164.00

## 6. Implementation Issues

20. [Record any important issues that have arisen in the implementation of the project including: significant delays, changes in partners, implementing countries and/or results statements. Some of these issues may have been reported in the annual Project Implementation Review reports. Note the dates when such changes have been approved and who by]

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

*(Apart from section 8, where you could insert up to 3 strategic questions that are in addition to the evaluation criteria, this section is standard and does not need to be revised for each project)*

## 7. Objective of the Review

21. In line with the UNEP Evaluation Policy<sup>15</sup> and the UNEP Programme Manual<sup>16</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 UNEP and [main project partners]. 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].

## 8. Key Evaluation principles<sup>17</sup>

22. Evaluation findings and judgements will 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.

23. The “Why?” Question. As this is a Terminal Review and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will 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 (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

<sup>15</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>16</sup> <https://wecollaborate.unep.org>

<sup>17</sup> The term Review Consultant is used in the singular throughout these Terms of Reference and can be taken to refer to consultants in cases where a Review Team is formed.

**Attribution, Contribution and Credible Association:** In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

24. Communicating Review results. A key aim of the Review is to encourage reflection and learning by UNEP 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.

25.

## 9. Key Strategic Questions (OPTIONAL ADDITION - DELETE IF NOT REQUIRED)

26. In addition to the evaluation criteria outlined in Section 10 below, the Review will address the strategic questions listed below (no more than 3 questions is recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution:

- Has the project facilitated the ratification of the Minamata Convention by participating countries?
- Why Dominica, Grenada and St. Vincent and the Grenadines have not yet ratified the Minamata Convention?
- Has the project facilitated the early implementation of the Minamata Convention?
- Are national stakeholders aware of their obligations under the Convention?
- Other strategic questions to be identified by the Project Manager.

## 10. Evaluation Criteria

27. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. 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 delivery 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.

28. Annex 1 of these Terms of Reference provides a table with links to various tools, templates and guidelines that can help Reviewer to follow the approach taken by UNEP Evaluation Office in its evaluation work. These links include one to a table for recording the ratings by criteria and an excel file determining the overall project performance rating (using a weighted averaging approach). There is also a matrix that provides guidance on how



to set the ratings level (at which point on the 6-point scale) for each evaluation criterion. Please contact Cecilia Morales ([cecilia.morales@un.org](mailto:cecilia.morales@un.org)) if any of these links do not work.

## **A. Strategic Relevance**

29. The Review will assess 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 UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval, as well as each country's UNDAF. 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 UNEP Medium Term Strategy<sup>18</sup> (MTS) and Programme of Work (POW)*

30. The Review should assess the project's alignment with the UNEP MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. *Alignment to Donor/GEF Strategic Priorities*

31. Donor, including GEF, strategic priorities will vary across interventions. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>19</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*

32. 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: UN Development Assistance Frameworks (UNDAF) or, 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*

33. An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>20</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP 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 work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

*Factors affecting this criterion may include:*

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

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<sup>18</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. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

<sup>19</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

<sup>20</sup> A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

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

34. 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 ([www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/templates-and-tools](http://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/templates-and-tools)). The complete Project Design Quality template should be annexed in the Inception Report. Later, the overall Project Design Quality rating should be entered within the ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included in the Executive Summary of the Main Review Report. (Guidance on the Structure and Content of an Inception Report and Main Review Report is given in the materials listed in Annex 1 of these Terms of Reference).

*Factors affecting this criterion may include (at the design stage):*

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

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

35. 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<sup>21</sup>). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or *Highly Unfavourable* external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability 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**

### **i. Availability of Outputs<sup>22</sup>**

36. The Review will assess the project's success in producing the programmed outputs 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, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The Review will briefly explain the reasons behind the success or shortcomings of the project in making its programmed outputs available and meeting expected quality standards.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision<sup>23</sup>

### **ii. Achievement of Project Outcomes<sup>24</sup>**

<sup>21</sup> Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

<sup>22</sup> Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

<sup>23</sup> For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

37. The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed<sup>25</sup> Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes in the ProDoc is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

*Factors affecting this criterion may include:*

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

### **iii. Likelihood of Impact**

38. Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project 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-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project 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.

39. 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>26</sup>

40. The Review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>27</sup> as part of its Theory of Change and as factors that are likely to contribute to long-lasting impact.

41. Ultimately UNEP 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 evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

*Factors affecting this criterion may include:*

- Quality of Project Management and Supervision (including adaptive management)

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<sup>24</sup> Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

<sup>25</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.

<sup>26</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://wedocs.unep.org/handle/20.500.11822/8718>

<sup>27</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.

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

## ***E. Financial Management***

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation 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/component level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP'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. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project 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.

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of project management and supervision

## ***F. Efficiency***

42. Under the efficiency criterion the Review will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of project execution.

43. Focusing 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.

44. The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities<sup>28</sup> with other initiatives, programmes and projects etc. to increase project efficiency.

45. The Review will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

46. The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

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<sup>28</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

*Factors affecting this criterion may include:*

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

## **G. Monitoring and Reporting**

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

### ***i. Monitoring Design and Budgeting***

48. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>29</sup> results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. 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 evaluation/review should be discussed, where applicable.

### ***ii. Monitoring of Project Implementation***

49. 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. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. 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***

50. UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The review will assess the extent to which both UNEP and GEF reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

*Factors affecting this criterion may include:*

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g disaggregated indicators and data)

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<sup>29</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

## **H. Sustainability**

51. Sustainability<sup>30</sup> is understood as the probability of the benefits derived from the achievement of project 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 endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). 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**

52. The Review will assess the extent to which social or political factors support the continuation and further development of the benefits derived from project 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**

53. Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to sustain the benefit from projects outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project 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 project outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

### **iii. Institutional Sustainability**

54. The Review will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) 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. In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

*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
- Country ownership and driven-ness

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<sup>30</sup> As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

## **I. Factors Affecting Project Performance and Cross-Cutting Issues**

*(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other evaluation criteria, above. If these issues have not been addressed under the Evaluation Criteria above, then independent summaries of their status within the reviewed project should be given in this section.)*

### **i. Preparation and Readiness**

55. This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). 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 included in the template for the assessment of Project Design Quality).*

### **ii. Quality of Project Management and Supervision**

56. For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency.

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

### **iii. Stakeholder Participation and Cooperation**

58. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs, target users of project outputs and any other collaborating agents external to UNEP. 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**

59. 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 UNEP's Policy and Strategy for Gender Equality and the Environment<sup>31</sup>.

60. In particular the review will consider to what extent project; implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially those related to gender) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

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<sup>31</sup>The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. [https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender\\_equality\\_and\\_the\\_environment\\_Policy\\_and\\_strategy-2015Gender\\_equality\\_and\\_the\\_environment\\_policy\\_and\\_strategy.pdf.pdf?sequence=3&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y)

#### **v. Environmental and Social Safeguards**

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements<sup>32</sup> were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

#### **vi. Country Ownership and Driven-ness**

61. The Review will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. 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 (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). 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. Ownership should extend to all gender and marginalised groups.

#### **vii. Communication and Public Awareness**

62. 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 gendered or 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**

63. 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

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<sup>32</sup> For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.



photographs of key intervention sites (e.g. sites of habitat rehabilitation and protection, pollution treatment infrastructure, etc.)

64. The findings of the review will be based on the following: [This section should be edited for each evaluation]

(a) A **desk review** of:

- Relevant background documentation, inter alia [list];
- 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 deliverables (e.g. publications, assessments etc): [list];
- Mid-Term Review or Mid-Term Evaluation of the project;
- Evaluations/reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UNEP Task Manager (TM);
- Project Manager (PM) and project management team;
- UNEP Fund Management Officer (FMO);
- Portfolio Manager and Sub-Programme Coordinator, where appropriate;
- Project partners, including [list];
- Relevant resource persons.
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(c) **Surveys** [provide details, where appropriate]

(d) **Field visits** [provide details, where appropriate]

(e) **Other data collection tools** [provide details, where appropriate]

## 11. Review Deliverables and Review Procedures

65. 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.

66. An Evaluation Brief (a 2-page overview of the evaluand and evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Task Manager no later than during the finalization of the Inception Report.

67. Review of the draft review report. The Review Consultant 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 Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

68. The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

69. At the end of the review process, the Task Manager will prepare a Recommendations Implementation Plan in the format of a table, to be completed and updated at regular intervals, and circulate the Lessons Learned.

## 12. The Review Consultant

70. The Review Consultant will work under the overall responsibility of the Task Manager [name], in consultation with the Fund Management Officer [name], the Portfolio Manager [name] and the Sub-programme Coordinators of the [relevant UNEP Sub-programmes], [name].

71. 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 UNEP 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 Review Consultant will be hired over a period of X months [00 Month/Year to 00 Month/Year] and should have the following: a university degree in environmental sciences, international development or other relevant political or social sciences area is required and an advanced degree in the same areas is desirable; a minimum of X years of technical / evaluation experience is required, preferably including evaluating large, regional or global programmes and using a Theory of Change approach; and a good/broad understanding of [add technical experience] is desired. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement and proficiency in X/knowledge of [language] is desirable. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

72. The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality 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.

## 13. Schedule of the review

73. The table below presents the tentative schedule for the review.

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

Milestone	Tentative dates
Inception Report	
Review Mission	
Telephone interviews, surveys etc.	

Powerpoint/presentation on preliminary findings and recommendations	
Draft Review Report to Task Manager (and Project Manager)	
Draft Review Report shared with UNEP colleagues	
Draft Review Report shared with wider group of stakeholders	
Final Review Report	
Final Review Report shared with all respondents	

## 14. Contractual Arrangements

74. Review Consultants will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP/UNON, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

75. Fees will be paid on an instalment basis, paid on acceptance and approval by the Task Manager of expected key deliverables. The schedule of payment is as follows:

76. Schedule of Payment for the consultant:

77. Deliverable	78. Percentage Payment
79. Approved Inception Report	80. 30%
81. Approved Draft Main Review Report	82. 30%
83. Approved Final Main Review Report	84. 40%

85.

86. Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

87. The consultant may be provided with access to UNEP’s information management system and, if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the Review report.

88. In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of the Portfolio Manager until the consultants have improved the deliverables to meet UNEP’s quality standards.

89. If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to

reduce the consultant's fees by an amount equal to the additional costs borne by the project team to bring the report up to standard.

## 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 (<https://www.unenvironment.org/about-un-environment/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.

ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from these links during the Inception Phase and use those versions throughout the review.

If any of these links do not work, kindly contact Cecilia Morales ([Cecilia.morales@un.org](mailto:Cecilia.morales@un.org))

Document	Name	URL link
1	Review Process Guidelines for Consultants	<a href="#">Link</a>
2	Review Consultants Team Roles	<a href="#">Link</a>
3	List of documents required in the review process	<a href="#">Link</a>
4	Evaluation Criteria ( <i>summary of descriptions, as in these terms of reference</i> )	<a href="#">Link</a>
5	Evaluation Ratings Table (only)	<a href="#">Link</a>
6	Matrix Describing Ratings by Criteria	<a href="#">Link</a>
7	Weighting of Ratings (excel)	<a href="#">Link</a>
8	Project Identification Tables (GEF and non-GEF)	<a href="#">Link</a>
9	Structure and Contents of the Inception Report	<a href="#">Link</a>
10	Template for the Assessment of the Quality of Project Design (Word template)	<a href="#">Link</a>
	Template for the Assessment of the Quality of Project Design (Excel tool)	<a href="#">Link</a>
11	Guidance on Stakeholder Analysis	<a href="#">Link</a>
12	Gender Note for Review Consultants	<a href="#">Link</a>
13	Use of Theory of Change in Project Evaluations	<a href="#">Link</a>

14	Assessment of the Likelihood of Impact Decision Tree (Excel)	<a href="#">Link</a>
15	Possible Review Questions	<a href="#">Link</a>
16	Structure and Contents of the Main Review Report	<a href="#">Link</a>
17	Cover Page, Prelims and Style Sheet for Main Review Report	<a href="#">Link</a>
18	Financial Tables	<a href="#">Link</a>
19	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. The Evaluation Office website (<https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach>) holds all support tools, templates and guidance notes mentioned 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). A Ratings Matrix is available to support a common interpretation of points on the scale for each evaluation criterion. These ratings are 'weighted' to derive the Overall Project Rating (see 'Weighting of Ratings' on the Evaluation Office website).

In the conclusions section of the Main 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>(Enter each rating into the Weighting of Ratings table to arrive at the rating for each criterion and the overall project rating)</i>	<b>Summary Assessment</b>	<b>Rating</b>
<b>A. Strategic Relevance</b>		<b>HS → HU</b>
1. Alignment to MTS and POW		HS → HU
2. Alignment to UNEP / Donor/GEF strategic priorities		HS → HU
3. Relevance to regional, sub-regional and national environmental priorities		HS → HU
4. Complementarity with existing interventions		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>33</sup></b>		<b>HS → HU</b>
1. Availability of outputs		HS → HU
2. Achievement of project outcomes		HS → HU
3. Likelihood of impact		HL → HU
<b>E. Financial Management</b>		<b>HS → HU</b>
1. Adherence to UNEP's policies and procedures		HS → HU
2. Completeness of project financial information		HS → HU
3. Communication between finance and project management staff		HS → HU
<b>F. Efficiency</b>		<b>HS → HU</b>
<b>G. Monitoring and Reporting</b>		<b>HS → HU</b>
1. Monitoring design and budgeting		HS → HU

<sup>33</sup> Where a project is rated, through the assessment of Project Design Quality template during the review inception stage as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Review Consultant and Project Manager together. Any adjustments must be fully justified.

<b>Criterion</b> <i>(Enter each rating into the Weighting of Ratings table to arrive at the rating for each criterion and the overall project rating)</i>	<b>Summary Assessment</b>	<b>Rating</b>
2. Monitoring of project implementation		HS → HU
3. Project reporting		
<b>H. Sustainability</b> <i>(the overall rating for Sustainability will be the lowest rating among the three sub-categories)</i>		<b>HL → HU</b>
1. Socio-political sustainability		HL → HU
2. Financial sustainability		HL → HU
3. Institutional sustainability		HL → HU
<b>I. Factors Affecting Performance and Cross-Cutting Issues</b> <sup>34</sup>		<b>HS → HU</b>
1. Preparation and readiness		HS → HU
2. Quality of project management and supervision <sup>35</sup>		HS → HU
3. Stakeholders participation and cooperation		HS → HU
4. Responsiveness to human rights and gender equity		HS → HU
5. Environmental, social and economic safeguards		HS → HU
6. Country ownership and driven-ness		HS → HU
7. Communication and public awareness		HS → HU
<b>Overall Project Rating</b>		<b>HS → HU</b>

<sup>34</sup> While ratings are required for each of these factors individually, they should be discussed within the Main Review 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>35</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP 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 UNEP, as the Implementing Agency.



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

See <https://www.unenvironment.org/about-un-environment/evaluation> for all tools, templates and guidance notes.

Section	Notes	Data Sources	Recommended no. pages
<b>Preliminary pages</b>	Review and complete (where necessary) the Project Identification Table that was in the Terms of Reference.	TOR, ProDc, TM	1
<b>1. Introduction</b>	<p><i>Summarise:</i></p> <p>Purpose and scope of the review (<i>eg learning/accountability and the project boundaries the review covers</i>)</p> <p>Project problem statement and justification for the intervention.</p> <p>Institutional context of the project (<i>MTS, POW, Division, umbrella etc</i>)</p> <p>Target audience for the review findings.</p>	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	1 /2
<b>3. Review of project design</b>	<p>Complete the template for assessment of Project Design Quality, including ratings, and present as an annex (<a href="#">template available</a>)</p> <p>Summarise the project design strengths and</p>	Project document and revisions, MTE/MTR if any	1 page narrative and completed assessment of PDQ template

	weaknesses within the body of the inception report.		
<b>4. Stakeholder analysis<sup>36</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 under-represented/marginalised groups. <i>(guidance note available)</i>	Project document  Project preparation phase.  TM	1
<b>5. Theory of Change</b>	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>  Identify any key literature/seminal texts that establish cause and effect relationships for this kind of intervention at higher results levels (eg benefits of introducing unleaded fuel)	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>	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>  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>  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>  Design draft data collection tools and	Review of all project documents.	1 page narrative. The review framework as a matrix and draft data collection tools as annexes.

<sup>36</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 (eg national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (eg households, tradespeople, disadvantaged groups, members of civil society etc).

	present in the annex ( <i>eg interview schedules, questionnaires etc</i> )		
<b>7. Team roles and responsibilities</b>	Describe the roles and responsibilities among the review team, where appropriate		½
<b>8. Review schedule</b>	Provide a revised timeline for the overall review ( <i>dates of travel and key review milestones</i> )  Tentative programme for site/country visits	Discussion with TM 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>eg opportunities for feedback to stakeholders; translation needs etc</i> )	Discussions with the TM	½
<b>TOTAL NARRATIVE PAGES</b>			<b>8-12 pages, plus annexes</b>
<b>Annexes</b>	A - Review Framework B - Draft data collection tools C - Completed assessment of the Project Design Quality D - List of documents and individuals to be consulted during the main review phase E - List of individuals and documents consulted for the inception report		

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

*NOTE: The final product is called a **Review Report** (and not an Evaluation Report). Review Consultants are kindly advised to refer the reader to paragraphs in different parts of the report instead of repeating material.*

*See <https://www.unenvironment.org/about-un-environment/evaluation> for all tools, templates and guidance notes.*

<b>Preliminaries</b>	<p><i>Title page</i> – Name and number of the reviewed project, type of review (mid-term or terminal), month/year review report completed, UNEP 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 3 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 <u>no</u> abbreviations.</p> <p><i>Acknowledgements</i> – This is a maximum of two paragraphs. At the end of acknowledgements name the Task 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>
<b>Project Identification Table</b>	An updated version of the Project Identification Table.
<b>Executive Summary</b> (Kindly avoid all abbreviations in the Executive Summary)	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>
<b>I. Introduction</b>	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 (eg 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

	<p>reviewed/evaluated in the past (eg 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>
<b>II. Review Methods</b>	<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 (eg qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (eg triangulation, review by stakeholders etc). The methods used to analyse data (eg. 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 (ie 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 (eg 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 (eg stated purpose of components; role of management components). <b>(1 page)</b></p>
C. Stakeholders <sup>37</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	<p>A description of the implementation structure with diagram (implementing and</p>

<sup>37</sup> Evaluation Office of UNEP 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 (eg national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (eg households, tradespeople, disadvantaged groups, members of civil society etc).

implementation structure and partners	executing agencies) and a list of key project partners, including their role in project delivery and performance ( <b>½ page narrative + table/diagram</b> )
E. Changes in design during implementation	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> )
F. Project financing	Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing should be provided. ( <i>template available</i> )
<b>IV. Theory of Change</b>	
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 logframe/TOC and b) as formulated in the <i>TOC at Review</i><sup>38</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 UNEP 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>	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>39</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.
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 (eg conflict, natural disaster, political upheaval)

<sup>38</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>39</sup> This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

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 and <i>communication</i> between financial and project management staff. The completed 'financial management' table should be included in this section ( <i>template available</i> )
F. Efficiency	This section should contain a well-reasoned assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: <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 UNEP's environmental footprint.</li> </ul>
G. Monitoring and Reporting	Integrated analysis of all dimensions evaluated under Monitoring and Reporting, including: <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 of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (e.g. <i>PIRS and PIMS reporting; gender disaggregated data</i>)</li> </ul>
H. Sustainability	Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of those benefits achieved at the <u>project outcome level</u> are identified and discussion, including: <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	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.
<b>V. Conclusions and Recommendations</b>	
A. Conclusions	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 review questions should

	<p>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.</p> <p>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.</p> <p>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 integrated into project delivery and/or how they could have could have been taken into consideration, should be highlighted.</p>
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 succinct and actionable 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 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 Task Manager for dissemination of the report to stakeholders)</i></li> <li>3. Summary of co-finance information and a statement of project expenditure by activity</li> <li>4. 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>5. Any other communication and outreach tools used to disseminate results</li> </ol>



	(e.g. power point presentations, charts, graphs, videos, case studies, etc.) 6. List of documents consulted 7. Brief CV(s) of the consultant(s) 8. Review TORs (without annexes). 9. Quality Assessment of the Review Report will be added by the UNEP Evaluation Office as the final annex.
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### **Important note on report formatting and layout**

Reports should be submitted in Microsoft Word .doc or .docx format. Use of Styles (Headings etc.), page numbering and numbered paragraphs is compulsory from the very first draft report submitted. Consultants should make sure to gather media evidence, especially photographs, during the assignment and insert a sample in the final report in the appropriate sections. All media collected during the assignment shall become property of the UNEP; which shall ensure that the authors are recognised as copyright owners. The reviewer grants permission to UNEP to reproduce the photographs in any size or quantity for use in official publications. The reviewer shall seek permission before taking any photographs in which persons are recognisable and to inform them that the photographs may be used in UNEP official publications.

Support materials are available at <https://www.unenvironment.org/about-un-environment/evaluation>.

## Annex 3. Evaluation Programme

People interviewed for the evaluation:

**Me. Ludovic Bernaudat**, Senior Task Manager, Chemicals and Health Branch – Economy Division, UNEP

**Ms. Jewel Batchasingh and Ms. Tahlia Ali Shah**, Director and Project Coordinator, BCRC Caribbean

**Dr. Linroy Christian**, National Project Coordinator of Antigua and Barbuda

**Ms. Lisa Sandy**, National Project Coordinator of Dominica

**Mr. Erwin Henry**, National Project Coordinator of Grenada

**Mr. Brenton Quammie**, National Project Coordinator of St. Vincent and Grenadines

The National Steering Committee in all four countries were informed on submitting their responses to the questionnaire as well, but no responses were received. However, most of the National Coordinators (except St. Vincent and Grenadines) indicated that their responses represent the views of the steering committee members.

## Annex 4. Ratings on Financial Planning and Management

Financial management components			Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations			HS	
Contact/communication between the PM & FMO			HS	
PM & FMO knowledge of the project financials			HS	
FMO responsiveness to financial requests			HS	
PM & FMO responsiveness to addressing and resolving financial issues			HS	
Were the following documents provided to the evaluator:				
A.	An up to date co-financing table	Yes		
B.	A summary report on the projects financial management and expenditures during the life of the project - to date	Yes		
C.	A summary of financial revisions made to the project and their purpose	Yes		
D.	Copies of any completed audits	No		
Availability of project financial reports and audits			S	Audit has not been conducted
Timeliness of project financial reports and audits			S	Audit has not been conducted
Quality of project financial reports and audits			S	Audit has not been conducted
FMO knowledge of partner financial requirements and procedures			S	
<b>Overall rating</b>			<b>HS</b>	

## Annex 5. Project costs and co-financing tables

The tables can be found on pages 12

## Annex 6. References and documents used

GEF 2009. The ROTL Handbook: Towards Enhancing the Impacts of Environmental Projects

GEF 2016. Report of the GEF to the 7th Session of the Intergovernmental Negotiating Committee on Mercury

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

UN Environment 2017. Request for Persistent Organic Pollutants Enabling Activity: Development of Minamata Initial Assessment in the Caribbean

UN Environment 2017. Project Cooperation Agreement for the MIA Project

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

UN Environment 2020. Terms of Reference for the Terminal Review of the UN Environment/Global Environment Facility project “Development of Minamata Initial Assessment in the Caribbean (Caribbean II)”

Minamata Initial Assessment Report for Antigua and Barbuda (advanced draft)

Minamata Initial Assessment Report for Grenada (advanced draft)

Minamata Initial Assessment Report for Dominica (advanced draft)

Minamata Initial Assessment Report for St. Vincent and Grenadines (advanced draft)