

Terminal Review of  
the UNEP/GEF  
Project:

**Development of Minamata Initial  
Assessment and Updating of National  
Action Plan for Artisanal and Small-  
Scale Gold Mining in Lao PDR**

GEFID: 9622

December 2021

Dickson Ho



**Acknowledgements:**

This Terminal Evaluation was prepared by Mr. Dickson Ho as an independent consultant.

The evaluator would like to express his gratitude to all who contributed to this evaluation and those who took the time to participate in the interview process to provide their valuable inputs and insights.

The evaluation team would like to thank the project team and in particular Mr Peter Rosenbluth (Project Manager, Artisanal Gold Council) and Mr Ludovic Bernaudat (UNEP Task Manager responsible for the project) for their contribution and collaboration throughout the Evaluation process.

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**Abbreviations Table:**

EA - Executing Agency

GEF - Global Environment Facility

IA - Implementing Agency

IGO - Intergovernmental Organisation

MEA - Multilateral Environmental Agreements

MgoS - UN Major Groups and Other Stakeholder

MIA - Minamata Initial Assessment

MTS - UNEP Medium Term Strategy

M&E – Monitoring and Evaluation

NAP - National Action Plan

NCM - National Coordination Mechanism

NGO - Non-Governmental Organisation

PCD - Lao PDR Pollution Control Department

PoW – Programme of Work

S-SC – South-South Cooperation Policy

SAICM - Strategic Approach to International Chemicals Management

SDGs – Sustainable Development Goals

ToC - Theory of Change

TR - Terminal Review

UN – United Nations

UNDAF – United Nations Development Assistance Framework

UNEP - United Nations Environment Programme

UNITAR – United Nations Institute for Training and Research

## GEF Project Identification Table:

<b>UNEP Sub-programme:</b>	<b>5. Chemicals, Waste and Air Quality</b>	<b>UNEP Division/Branch:</b>	<b>Chemicals and Health</b>
<b>Expected Accomplishment(s):</b>	<b>Minamata Initial Assessment</b>	<b>Programme of Work Output(s):</b>	<b>5ai, 5bi</b>
<b>SDG(s) and indicator(s)</b>	<b>12.4.1, 12.4.2,</b>		
<b>GEF Core Indicator Targets</b> (identify these for projects approved prior to GEF-7)	9.2, 9.4, 9.6		
<b>Dates of previous project phases:</b>	NA	<b>Status of future project phases:</b>	NA

<b>Project Title:</b>	Development of Minamata Initial Assessment and Updating of National Action Plan for Artisanal and Small Scale Gold Mining in Lao PDR
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<b>Executing Agency:</b>	UNEP
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<b>Project partners:</b>	Artisanal Gold Council (AGC) Ministry of Natural Resources and the Environment of Lao PDR
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<b>Geographical Scope:</b>	Lao People's Democratic Republic LAO
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<b>Participating Countries:</b>	Lao People's Democratic Republic LAO
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<b>GEF project ID:</b>	9622	<b>IMIS number*:</b>	
<b>Focal Area(s):</b>	Chemicals and Waste	<b>GEF OP #:</b>	CW1 Programme 2
<b>GEF Strategic Priority/Objective:</b>	Address the drivers of environmental degradation	<b>GEF approval date*:</b>	18 July 2016
<b>UNEP approval date:</b>	20 October 2016	<b>Date of first disbursement*:</b>	March 2017
<b>Actual start date:</b>	5 April 2017	<b>Planned duration:</b>	24 Months
<b>Intended completion date*:</b>	30 April 2019	<b>Actual completion date:</b>	30 June 2021

<b>Project Type:</b>	Minamata Initial Assessment National Action Plan	<b>GEF Allocation*:</b>	\$700,000.00 USD
<b>PPG GEF cost*:</b>	NA	<b>PPG co-financing*:</b>	NA
<b>Expected MSP/FSP Co-financing*:</b>	NA	<b>Total Cost*:</b>	\$690,000 USD
<b>Mid-term Review/eval. (planned date):</b>	16 April 2017	<b>Terminal Evaluation (planned date):</b>	Dec 2021
<b>Mid-term Review/eval. (actual date):</b>	NA	<b>No. of revisions*:</b>	3
<b>Date of last Steering Committee meeting:</b>	10 March 2017	<b>Date of last Revision*:</b>	Oct 2020
<b>Disbursement as of 30 June 2021*:</b>	5 April 2017	<b>Date of planned financial closure*:</b>	30 April 2019
<b>Date of planned completion*:</b>	30 April 2019	<b>Actual expenditures reported:</b>	\$690,000 USD
<b>Total co-financing realized as of 31 December [year]</b>	Minamata Initial Assessment National Action Plan	<b>Actual expenditures entered in IMIS as of 31 December [year]*:</b>	NA
<b>Leveraged financing:</b>	NA		

## Executive Summary

### Project Overview

1. The Development of a Minamata Initial Assessment in Maldives project was supported by the Global Environment Facility (GEF) funding, under Article 13 of the Minamata Convention, with an approved budget of USD 700,000. The project was implemented by the United Nations Environment Programme (UNEP) and executed by the Artisanal Gold Council (AGC). The project had no co-financing and in-kind contributions. The project was approved in October 2016, and implementation began after the first disbursement in March 2017. The project delivered the Minamata Initial Assessment Report component in March 2021, and the National Action Plan component in January 2021, with two extensions, a budget revision. The total expenditure of the project was USD 690,000 98.6% of the allocated budget. A total of 630,000 USD was disbursed to the EA, USD 60,000 was used by UNEP.
2. The project objective was the ratification, and early implementation of the Minamata Convention, contributing to the protection of human health and the environment from the risks posed by the anthropogenic sources of mercury. Under Article 20 Paragraph 1 of the Minamata Convention, a Minamata Initial Assessment (MIA) is conducted as a precursor to the implementation of the Minamata Convention. The project provides country-specific baseline information on mercury sources and national capacities to implement the Convention in a report that national stakeholders validate. Under Article 7, Section 3, Subsection (a) and (b), parties to the convention are required to submit a National Action Plan (NAP) as outlined in Annex C of the Minamata Convention and reviewed under the mechanism described in Article 21. The NAP outlines the national objectives, actions and strategies to transition to mercury-free artisanal and small-scale gold mining.

### Terminal Review Summary

3. This terminal review is based primarily on a desk review of project documents, outputs and reports, and complemented by responses on questionnaires and interviews of project staff from the executing agency (EA) and the implementing agency.
4. The terminal review was based on the Evaluation Criteria Ratings Matrix of the UNEP Evaluations Office and was conducted to the strategic relevance, quality of the project design, nature of the external context, effectiveness, financial management, efficiency, monitoring and reporting, sustainability, and performance affecting factors of the project. It also includes a reconstructed Theory of Change as a framework to evaluate the project progress towards the overarching project objectives.
5. Below is a summary of the main results of the terminal review, along with a list of lessons learned and recommendations for future projects.

<b>Evaluation Criterion</b>	<b>Assessment Rating</b>
<b>A. Strategic Relevance</b>	<b>Highly Satisfactory</b>
1. Alignment to UNEP's MTS, POW and strategic priorities	Highly Satisfactory
2. Alignment to Donor/GEF/Partner strategic priorities	Highly Satisfactory
3. Relevance to regional, sub-regional and national environmental priorities	Satisfactory
4. Complementarity with existing interventions	Highly Satisfactory
<b>B. Quality of Project Design</b>	<b>Satisfactory</b>
<b>C. Nature of External Context</b>	<b>Highly Favourable</b>
<b>D. Effectiveness</b>	<b>Highly Satisfactory*</b>
1. Availability of outputs	Highly Satisfactory
2. Achievement of project outcomes	Highly Satisfactory
3. Likelihood of impact	Highly Likely
<b>E. Financial Management</b>	<b>Highly Satisfactory</b>
1. Adherence to UNEP's policies and procedures	Highly Satisfactory



<b>Evaluation Criterion</b>	<b>Assessment Rating</b>
2. <i>Completeness of project financial information</i>	Highly Satisfactory
3. <i>Communication between finance and project management staff</i>	Highly Satisfactory
<b>F. Efficiency</b>	<b>Satisfactory</b>
<b>G. Monitoring and Reporting</b>	<b>Highly Satisfactory</b>
1. <i>Monitoring design and budgeting</i>	Highly Satisfactory
2. <i>Monitoring of project implementation</i>	Highly Satisfactory
3. <i>Project reporting</i>	Highly Satisfactory
<b>H. Sustainability</b>	<b>Highly Likely</b>
1. <i>Socio-political sustainability</i>	Highly Likely
2. <i>Financial sustainability</i>	Highly Likely
3. <i>Institutional sustainability</i>	Highly Likely
<b>I. Factors Affecting Performance and Cross-Cutting Issues</b>	<b>Satisfactory</b>
1. <i>Preparation and readiness</i>	Satisfactory
2. <i>Quality of project management and supervision</i>	Satisfactory
3. <i>Stakeholders participation and cooperation</i>	Satisfactory
4. <i>Responsiveness to human rights and gender equity</i>	Moderately Satisfactory
5. <i>Environmental and social safeguards</i>	NA
6. <i>Country ownership and driven-ness</i>	Satisfactory
7. <i>Communication and public awareness</i>	Satisfactory
<b>Overall Project Rating</b>	<b>Highly Satisfactory</b>

### Lessons Learned

1. The stability of the National Project Coordinator role is vital to a project's success.
2. Capacity gaps (including language barriers), both individual and institutional, in less developed nations have a significant impact on project efficiency.
3. Management of cross-cultural teams requires clear communication and expectation management.
4. A key collaborator not included was the Lao Peoples Armed Forces as they have a significant interest in the ASGM sector.
5. There is little to no established ASGM community nor relationship between government and ASGM sector in Lao PDR.
6. Mercury reporting data can be manipulated and politicised.

### Recommendations

1. Implement the NAP and recommendations from the MIA to fill gaps in institutions and policy for the implementation of the Minamata Convention in Lao PDR.
2. Conduct baseline capacity assessment, individually and institutionally, during the project design phase to determine the level of the capacity building required for the project.
3. Include activity to scan for existing ASGM interest groups or communities in future NAP projects.
4. Work with at least one more individual within the main government agency to ensure that capacity and knowledge are retained if staff transition.
5. Set clear expectations for the level of government involvement if the government is subcontracted to the EA.
6. Future project designs should contain a Theory of Change, and an operational context assessment that informs decisions that involve overcoming language barriers (budget for translations) or pandemic risk mitigation in developing nations (to set realistic deliverable deadlines).
7. Include external parties to ensure Minamata reporting data is not manipulated and politicised.

## 1.0 Introduction

### 1.1 Purpose of the Terminal Review

7. The purpose of the Terminal Review (TR) is to assess all aspects of GEF-financed projects across the entire project lifecycle. This is done for four main reasons:
  - promote transparency and ensure accountability of the project;
  - verify the project's outputs and their contribution towards the project's intended objectives;
  - synthesize lessons learned to enhance the selection, design, and implementation of future GEF-financed UNEP projects;
  - and assess the project's contribution to GEF strategic priorities, along with UNEP's priorities and medium-term strategies.

### 1.2 Intended Audience of the Terminal Review

8. There are two main groups of audiences of this TR. The primary audience are those who were directly involved in the design and implementation of the project, including the Executing Agency (EA), Implementing Agency (IA), and other partners of the project. The secondary audience of the TR involve those who seek information regarding the project, including impacted community members, and interested non-governmental organisations (NGOs), governments, and intergovernmental organisations (IGOs). This TR will be written for the primary audience, but in a format and language that is accessible by the secondary audience.

### 1.3 Scope of the Terminal Review

9. The parameters and focus of the TR encompasses all phases of the project's life. The TR will focus on all components of the project, and its intended impact guided by the Theory of Change (ToC) framework (see **4.0 Theory of Change**). The geographic parameters of the review is Lao PDR and offices of connected project personnel. On the temporal scale, this TR will be limited to between the approval date (October 2016) to the operational closure of the project (June 2021). Due to the knowledge-based nature of the MIA, the demographic scope of the TR will also be limited to people directly involved in the project.

## **2.0 Review Methods**

### **2.1 Evaluation Framework**

10. The evaluation framework for this terminal review is based on the Evaluation Criteria Ratings Matrix of the UNEP Evaluations Office. Each criterion and their requirements for the highly satisfactory rating was used to determine the type and detail of evidence and data to effectively evaluate the project. Each criterion has its own evaluation method and to determine how the project addresses the highly satisfactory rating requirements and identify gaps. Where possible, this evaluation used as much quantitative data as possible and supplemented that with qualitative data in the analysis to increase objectivity and lower bias.

### **2.2 Information Sources**

11. The primary sources of information for this report were project documents, online interviews of project managers from both the executing agency and the implementing agency, and online survey responses. The interviews were primarily qualitative and subjective and provided unique perspectives of the project. The data collected from the interviews were converted into quantitative through the binary nature of the evaluation criteria - i.e. if any items were missing from the 'Highly Satisfactory' or not. Additionally, the survey was designed with the 6 point Likert-scale, mimicking the UNEP evaluation criteria matrix. By lowering the requirements of the survey to a selection on a numeric scale, the evaluation reduces the friction to complete the task and somewhat decreases the language barriers to completing the survey, and hence, increases the likelihood of it being completed. However, where the rating was lower than expected, the survey logic includes open-ended response questions where needed. The survey aimed to reduce levels of jargon relating to UNEP GEF processes and procedures and project management theory. As a baseline comparison, this information was then compared with the project's regular monitoring and evaluation mechanisms and actual outcomes. As a secondary source of information, the midterm evaluations and terminal reports were also consulted. Finally, as an external tertiary source of information, general internet searches around the context and the project were used to verify the validity of the reported project outputs.
12. Data was collected with respect for ethics and human rights issues. All pictures taken and other information gathered after prior informed consent. All discussions and data was anonymised in an effort to protect vulnerable people. All information was collected according the tune UN Standards of Conduct.

### **2.3 Limitations**

13. There are two main limitations for this report. Firstly, the low response rate of project stakeholders caused difficulty in obtaining perspectives and experiences of a wide range of stakeholders. This low sample size led to skewed data that is inclusive of outliers, thus lowering the precision and accuracy of the data for evaluation. A second limitation is the subjective nature of the 6 point Likert-scale. The survey includes a Likert scale, however, the perception and self-evaluation of project quality vary depending on the capacity and experience of the respondents. Therefore, there is a discrepancy between the perceived performance of the project in the surveys and interviews and the actual performance of the project.

### 3.0 The Project

#### 3.1 Context

14. Chemicals, waste and air quality is one of the priority areas of the UNEP Medium Term Strategy (MTS) 2018-2021. Supporting Lao PDR to become a Party of the Minamata Convention on Mercury directly falls under the MTS 2030 Impact "Sound management of chemicals leading to reduced negative impacts from chemicals on environment and human health" Indicators 1 (increasing number of Parties to international Multilateral Environmental Agreements (MEAs)) and 2 (reducing levels of heavy metals). The project directly aligns with 2018-2021 MTS activities implementing policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management and sound waste management within frameworks relevant to MEAs and the Strategic Approach to International Chemicals Management (SAICM). Leading to Future MTS activities for mainstreaming and enforcing MEAs and SAICM. As this project increases the number of countries that have used UNEP analysis or guidance in developing or implementing legislation, policies or action plans that promote sound management of mercury, it is in direct alignment with the 2018-2019 UNEP Programme of Work, Subprogramme 5(a)(i) regarding the sound management of hazardous chemicals and has some alignment with 5(b)(i) and 5(c)(i) focusing on waste management and air quality.
15. The government of Lao PDR has expressed their intent to make meaningful steps towards ratifying the Minamata Convention on Mercury. The Ministry of Industry and Commerce has a "Law on the Chemicals" (No.07/NA, 10 Nov 2016) and the revised Environmental Protection Law (No.29/NA, 18 Dec 2012) provides a legal framework for sound management of chemicals and waste including mercury in Lao PDR. However, at the initiation of the project, there was a significant lack of legislation pertaining to the use of mercury in the artisanal and small-scale gold mining (ASGM) sector. To support Lao PDR in this endeavour, this Minamata Initial Assessment (MIA) and updating of the National Action Plan (NAP) for artisan and small-scale gold mining project aims to help ratify and implement the Convention in the Lao PDR. This was performed by building the capacity of national stakeholders, taking inventory, reviewing, and assessing national technical, administrative, infrastructure and regulatory capacities regarding the sound management of mercury, and quantify mercury sources, emissions, releases, and contaminated sites – with a particular focus on ASGM. The MIA then identifies national opportunities, needs, challenges, and gaps to provide key priorities and recommendations to implement the Convention in Lao PDR. Finally, the updated NAP will be endorsed and submitted to the Minamata Secretariat, leading to the Convention's enforcement in Lao PDR.

#### 3.2 Outcomes and Outputs

<b>Project Objective:</b>	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, unsound use and management of mercury
<b>GEF-7 Indicator:</b>	9. Reduction, disposal/destruction, phase out, elimination, and avoidance of chemicals of global concern and their waste in the environment and in processes, materials, and products

<b>Long Term Impacts:</b>	<b>GEF-7 Sub-Indicator:</b>
Sound management of mercury and mercury-based waste in the Lao PDR	9.2. Quantity of mercury reduced

Lao PDR implements the Minamata Convention on Mercury

9.4 Number of countries with legislation and policy implemented to control chemicals and waste

Phase down and phase out of mercury in the Lao PDR, especially in the ASGM sector.

9.6 Quantity of POPs/Mercury containing materials and products directly avoided

**Expected Project Outcome:**

MIA validation, and NAP endorsement and submission to the Minamata Secretariat

**Expected Project Outputs:**

Component 1: Global Technical Support for MIA and NAP Development

		1.1.1	Development of a roster of experts and collection of tools and methodologies for MIA and NAP development;
1.1	Training and guidance provided to relevant national stakeholders in Lao PDR to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention.	1.1.2	Capacity building trainings and assistance with baseline inventories;
		1.1.3	Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools;
		1.1.4	Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation. A gender session will be included in the workshop agenda.

Component 2: Minamata Initial Assessment (MIA) and National Action Plan (NAP) development, validation and endorsement

2.1	Identify and strengthen the national coordination mechanism dealing with mercury management that will guide the project implementation	2.1.1	Organize a National Inception Workshop to raise awareness and to define the scope and objective and to have common understanding of the MIA process;
		2.1.2	Conduct a national assessment on existing sources of information (studies), compile and make them publicly available.
2.2	National institutional and regulatory framework and national capacities on mercury management assessed	2.2.1	Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities;
		2.2.2	Analyse the existing regulatory framework, identify gaps, and identify the regulatory reforms needed for the sound management of mercury in Lao PDR.
2.3	National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed.	2.3.1	Develop a qualitative and quantitative inventory of all mercury sources, emissions and releases;
		2.3.2	Develop a national strategy to identify mercury contaminated sites.

2.4	Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed	2.4.1	Conduct a national and sectoral assessment on challenges, needs and opportunities to implement the Convention in key priority sectors;
		2.4.2	Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury.
2.5	MIA validated by national stakeholders.	2.5.1	Draft and validate MIA Report;
		2.5.2	Develop and implement a national MIA awareness raising and dissemination and outreach strategy.

Component 3: MIA validation and NAP endorsement and submission to the Minamata Secretariat

3.1	Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.	3.1.1	Draft and validate MIA Report;
		3.1.2	Design and conduct national workshops targeting vulnerable groups and miners to complete the final NAPs and to expose the formulated NAPs on ASGM to public consultation and endorsement;
		3.1.3	Design and conduct national workshops targeting appropriate national decision makers that are decisive to NAP endorsement and official submission to the Minamata Secretariat;
		3.1.4	Develop a national MIA and NAP awareness raising and dissemination and outreach strategy.

### 3.3 Stakeholders

#### 3.3.1 Stakeholder Overview

16. The national stakeholders identified for this project had a moderate amount of representation from the UN Major Groups. The identified stakeholders were predominantly made of local authorities making up 45% of the stakeholders, with one quarter of the stakeholders in the business and industry, 10% non-governmental organisations, and 5% education and academia, and indigenous peoples. The stakeholder list was not gender disaggregated, hence the category for women is undefined.



Figure 1 Distribution of stakeholders by UN Major Group categories of project in percentage.

#### 3.3.2 Gender, Under-represented and Marginalised Groups

17. Regarding gender, data on stakeholders is aggregated rather than disaggregated. The project design included gender, age and poverty considerations.

#### 3.3.3 Stakeholder Power and Interest Analysis

18. There is a wide spread of stakeholders with varying degrees of interest and power in the project at the design phase. In the political context of Lao PDR, all government ministry and departments hold higher power than other groups. It was intended for this project to include a stakeholder advisory group to raise the decision-making power of the group. There is a clear division of three groups in the low power category. Firstly, there are the stakeholders in which the MIA and change in ASGM legislation will directly impact their organisation's portfolio of work (CNP+L, environmental and health organisations, and waste management sector), to those whose day-to-day lives may be impacted (minors, indigenous groups, land-holders, and academics), and finally, those with financial power and have some of their portfolio dealing with mercury (large scale mining, private sector, and finance sector).

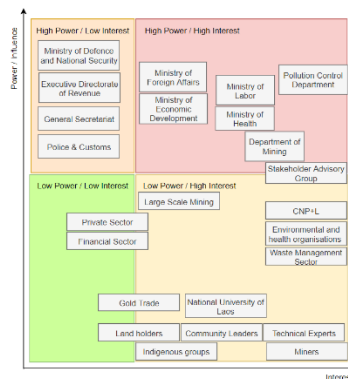


Figure 2 Stakeholders grouped into Power and Interest.

### 3.4 Project implementation structure

19. The project was executed by the Artisanal Gold Council (EA), and implemented by UNEP. The Implementing Agency (IA) was responsible for the overall project supervision and overseeing the project's progress. This was set out to be performed through the monitoring and evaluation of project activities and progress reports. Additionally, UNEP provided the Executing agency with technical and administrative support.
20. As the Executing Agency (EA), the Artisanal Gold Council managed the day-to-day aspects of the project and its activities. It established managerial and technical teams to execute the project. The EA subcontracted the Ministry of Natural Resources and Environment and supervised their work. It acquired necessary equipment, monitored the project, and organized independent audits to guarantee the proper use of funds. The EA provided the IA with administrative, progress and financial reports.
21. The Minamata National Committee operated as the National Coordination Mechanism (NCM). The committee included national stakeholders, evaluated and adjusted the project where necessary. The NCM took decisions on the project in line with the project objectives, and was implemented by the EA.

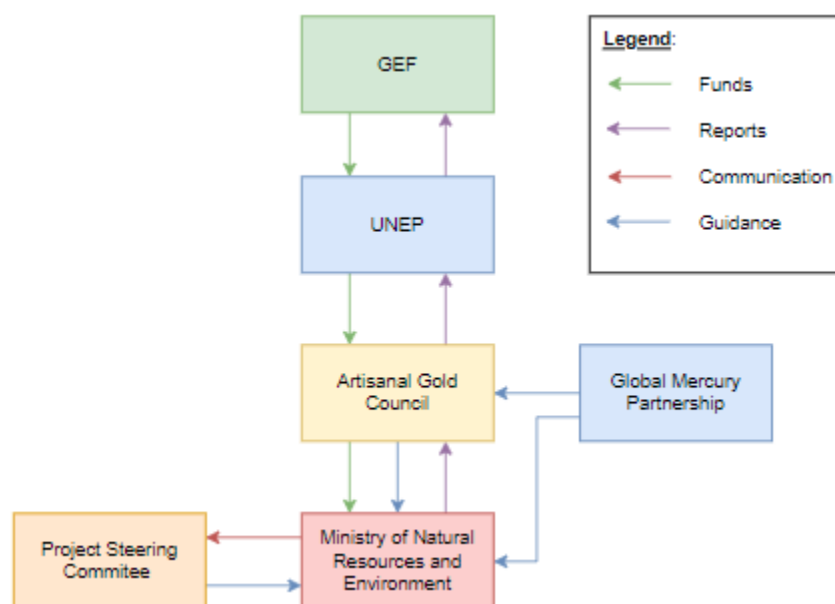


Figure 3 Project Implementation Structure.

### 3.5 Project Financing

22. At the time of the terminal review, the reviewer had access to complete financial information regarding overall expenditures. The project expenditure was tracked and mapped (see appendix XYZ) and analysed in the evaluation findings (Section E – Financial Management). The project had an initial budget at project design and two further revisions as project expenditure was below budget.

Table 1: Expenditure by Component in USD (as of July 2021)

Project Component	Actual Expenditure	Estimated Cost at Design	Expenditure Ratio	Estimated Cost at Revision 1	Expenditure Ratio
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Component 1	Global technical support for MIA and NAP development	0	61,800	0.00	61,423	0.00
Component 2	Minamata Initial Assessment (MIA) and National Action Plan (NAP) development	550,951	516,364	1.07	521,941	1.06
Component 3	MIA validation and NAP endorsement and submission to the Minamata Secretariat	9,148	38,200	0.24	38,000	0.24
PMC		63,599	63,636	1.00	63,636	1.00
M&E		6,305	20,000	0.32	15,000	0.42
Total		630003	700000	0.90	700000	0.90

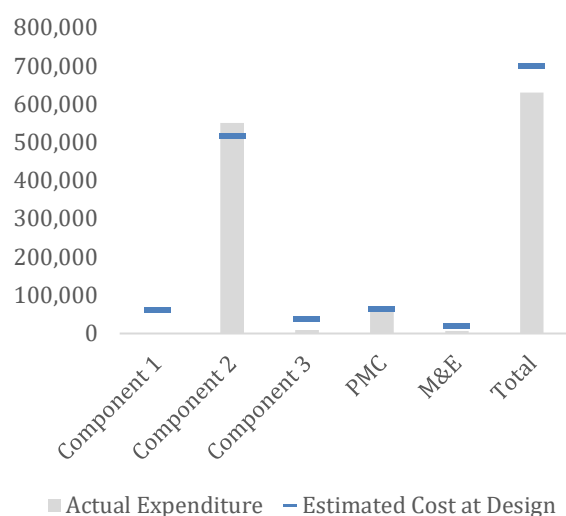


Figure 4a Actual Expenditure and Budget (at Design).

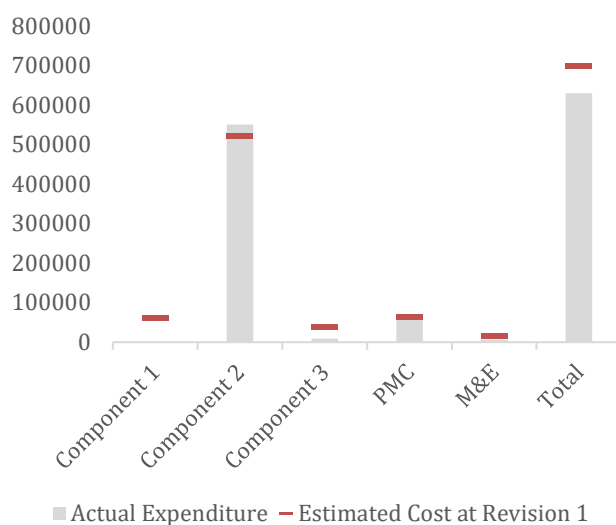


Figure 4b Actual Expenditure and Budget (at Revision 1).

Table 2: Co-Financing Overview

Co-financing (Type/Source)	UN Environment own Financing (US\$1,000)		Government (US\$1,000)		Other* (All co-financing sources to be identified) (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
– Grants	0	0	0	0	0	0	0	0	0
– Loans	0	0	0	0	0	0	0	0	0
– Credits	0	0	0	0	0	0	0	0	0
– Equity investments	0	0	0	0	0	0	0	0	0
– In-kind support	0	0	0	0	0	0	0	0	0

- Other (*)	0	0	0	0	0	0	0	0	0
<b>Totals</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>

- 23. The project did not receive co-financing.
- 24. The total expenditure of the project was USD 690,000, 99% of the initially allocated budget and the final revised budget. A total of 630,000 USD was disbursed to the EA, USD 60,000 was used by UNEP.

## 4.0 Theory of Change

### 4.1 Theory of Change at Project Design

26. Theory of Change was not provided in Project Document, therefore a Theory of Change was reconstructed at the review process.

### 4.2 Method for the Reconstructed Theory of Change

27. As the objective of the project was the ratification and early implementation of the Minamata Convention, the reconstructed theory of change maps the causal pathways of project outcomes to their impacts on the global implementation of the Minamata Convention. The Minamata Initial Assessment (MIA) and the National Action Plan (NAP) must be contextualised within the Minamata Convention. Hence, this project's Theory of Change has been integrated into the larger contextualised picture of the Convention's goals. The project's objective was split to clarify the intended impact and the intermediary state that in the lead up to the impact. Additionally, the scope of the project was clearly redefined and outlined. This was done to evaluate the MIA and NAP within reason, as the two parts of project objectives were placed outside of the project scope as the intermediary state of ratification of the convention and the overarching impact of protecting human health and the environment from anthropogenic sources of mercury (Article 1) seemed to fall out of scope for project at the evaluation stage. The initial assessment is performed to identify and evaluate the contextualised baseline mercury levels and the country's capacity to ratify the convention, to identify next steps, and the NAP is to develop next steps towards a mercury-free ASGM sector. Hence, this project's major causal pathway leads to Article 20 Paragraph 1 (to develop and execute an implementation plan) and the overall objective of the Minamata Convention stated in Article 1 Paragraph 1 (to protect human health and the environment from human caused sources of mercury). Additionally, the overarching assumptions for the sustainability of the project to the impact was also included.

### 4.3 Reconstructed Theory of Change Narrative

28. In **Figure 3** (and **Annex C**), the theory of change diagram can be separated into two sections. Firstly, the global context of the Minamata Convention shows the intended impact and project objective. The intended impact of this project is the protection of human health and the environment from the adverse effects of anthropogenic sources of mercury. To accomplish this, the following series of intermediate states must occur:
- a) all countries enforce the Convention,
  - b) all countries ratify the Convention,
  - c) all countries have the contextualised capacity to ratify and enforce the Convention,
  - d) all countries understand the local context regarding mercury,
  - e) all countries have the capacity to assess their local context and steps required to ratify the convention.
29. The overarching assumptions for the global context are:
- Countries have the desire and will to protect human health and the planet from the anthropogenic sources of mercury,
  - the Minamata Convention covers all sources of anthropogenic sources of mercury,
  - all countries can enforce legal instruments (including the capacity to address corruption and illegal trade), and
  - countries do not capitalise on becoming a "mercury haven".
30. Intermediate state b) all countries ratify the convention was identified as the project objective. However, it was also determined that only intermediate states d) and e) (capacity building to understand and understanding the local country's context on their baseline regarding mercury inventories and national capacity) actually fell within the scope of the MIA. Additionally, intermediate states b) and c) (building capacity to ratify and ratifying the convention) were determined to fall under the scope of a National

Action Plan. In doing this, the evaluation of the project can be performed within reason and scope of the project's outputs and outcomes.

31. The outcome to identify and strengthen a national coordination mechanism (NCM) for the project was a clear first step. It is assumed that the NCM would be able to deliver the project on scope, time, and budget. This outcome supported the following outcomes:

- National institutional and regulatory framework and national capacities on mercury management assessed
  - Assumptions:
    - There are national institutional and regulatory frameworks to assess
    - All stakeholders, including intersectional groups, have input into the assessment
- National inventories of mercury sources and releases developed
  - Assumptions:
    - The country has access to instruments and technology to measure mercury levels accurately
    - The tool used covers all anthropogenic sources of mercury
- Challenges, needs and opportunities assessed, and recommendations to ratify and implement the convention are developed.
  - Assumptions:
    - All social, political, and economic costs and benefits are distributed fairly and justly
    - The recommendations are comprehensive and able to properly implement and enforce the ratification requirements

32. All of these outcomes ultimately culminate into a Minamata Initial Assessment report, which must be validated by national stakeholders (key actors). This is an important outcome as the buy-in of national stakeholders is a key driver for the ratification process. It is assumed that all stakeholders that may be impacted by a change in regulation are included and represented in the validation process.

Output	Project Stated Output	Revised Outcome for ToC	Justification for Revision
1.1	Training and guidance provided to relevant national stakeholders in Lao PDR to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention	<i>Guidance, training, and support for national stakeholders to perform, validate and endorse</i>	Grouped together for diagram
2.1	Identify and strengthen the national coordination mechanism dealing with mercury management that will guide the project implementation	No change	"Goal posts" not moved
2.2	National institutional and regulatory framework and national capacities on mercury management assessed	No change	"Goal posts" not moved
2.3	National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed.	No change	"Goal posts" not moved
2.4	Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed	No change	"Goal posts" not moved
2.5	MIA validated by national stakeholders.	No change	"Goal posts" not moved
3.1	Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.	<i>Guidance, training, and support for national stakeholders to perform, validate and endorse</i>	Grouped together for diagram

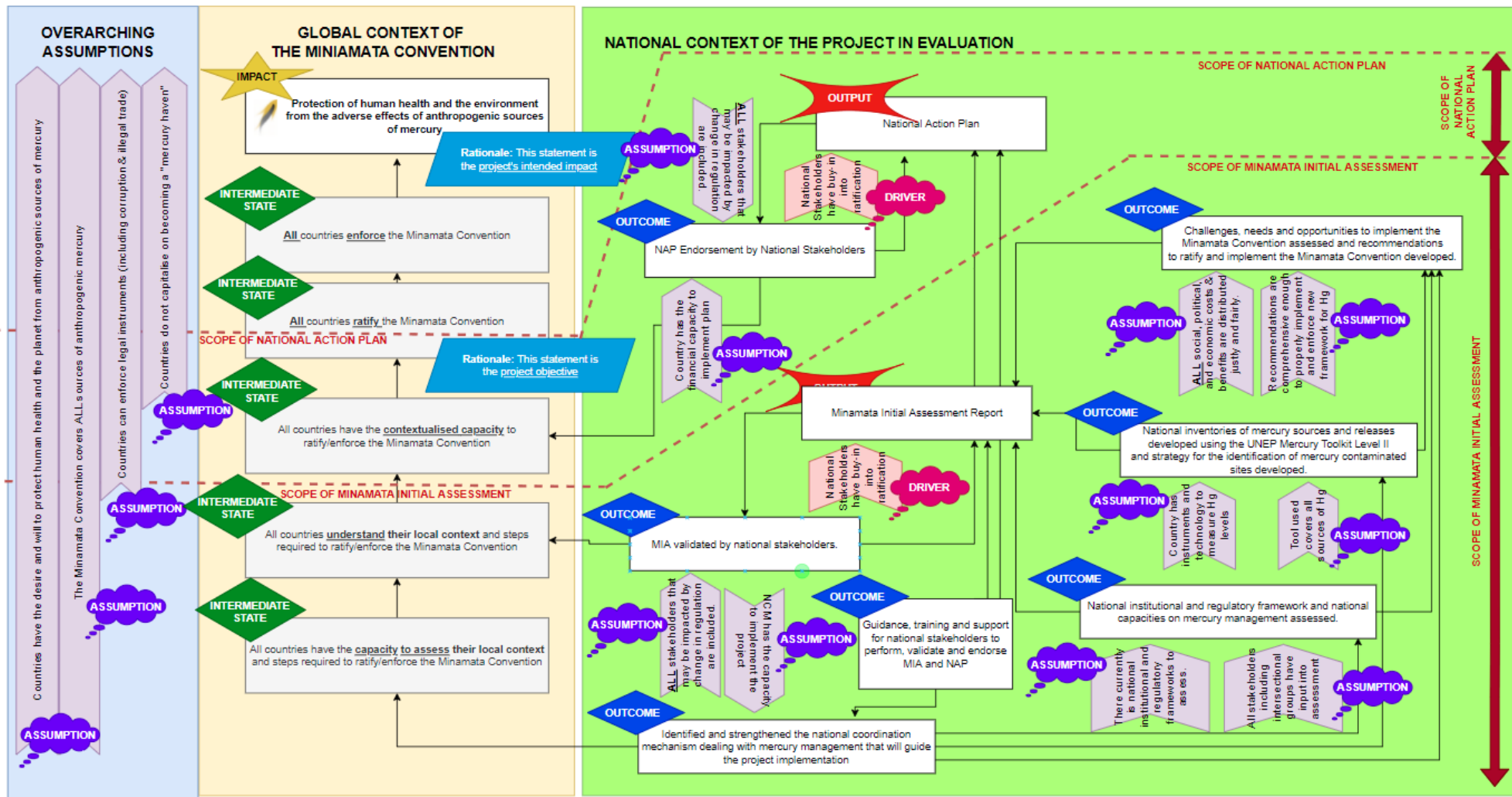


Figure 5. Reconstructed Theory of Change

## 5.0 Review Findings

### Section A. Strategic Relevance

#### A1. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) and Strategic Priorities.

**Rating:** Highly Satisfactory

Criteria Met	Highly Satisfactory Criteria Description
✓	Full alignment with more than one key focal area of UNEP's mandate and thematic priorities, as represented in the MTS and POW
✓ – BSP NA – S-SC	Full alignment with UNEP's Bali Strategic Plan (BSP), and South - South Cooperation (S-SC) policies.
✓	Anticipated identified contribution(s) to reported Expected Accomplishment indicator(s)

33. UNEP's mandate is to provide leadership and encourage partnership in caring for the environment by inspiring, informing, and enabling nations and peoples to improve their quality of life without compromising that of future generations. Under UNEP's leadership, the project's final output provides a baseline information and an assessment of the nation's capacity to improve quality of life for current and future generations from the impacts of anthropogenic sources of mercury. This project falls well within UNEP's mandate.
34. Chemicals, Waste and Air Quality is one of the priority areas of the UNEP Medium Term Strategy (MTS) 2018-2021. Supporting the Lao PDR to implement the Minamata Convention on Mercury directly falls under the MTS 2030 Impact "Sound management of chemicals leading to reduced negative impacts from chemicals on environment and human health" Indicators 1 (increasing number of Parties to international Multilateral Environmental Agreements (MEAs)) and 2 (reducing levels of heavy metals). The project directly contributes to the first expected accomplishment indicator and will catalyse action towards the second.
35. The project directly aligns with 2018-2021 MTS activities implementing policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management and sound waste management within frameworks relevant to MEAs and the Strategic Approach to International Chemicals Management (SAICM). Leading to Future MTS activities for mainstreaming and enforcing MEAs and SAICM. Additionally, this project involves a policy and law component, assessing the capacity of national legislation to identify gaps and recommendations towards ratification of the convention. Thus, creating a link to the Environmental Governance thematic priority areas of the MTS by promoting policy coherence and strong legal and institutional frameworks to achieve an anthropogenic mercury free environment.
36. As this project increases the number of countries that have used UNEP analysis or guidance in developing or implementing legislation, policies or action plans that promote sound management of mercury, it is in direct alignment with the 2018-2019 UNEP Programme of Work, Subprogramme 5(a)(i) regarding the sound management of hazardous chemicals and has some alignment with 5(b)(i) and 5(c)(i) focusing on waste management and air quality.
37. This project satisfies the first Highly Satisfactory criteria of the Evaluation Office of UNEP's Evaluation Criteria Ratings Matrix: "full alignment with more than one key focal area of UNEP's mandate and thematic priorities, as represented in the MST and POW".
38. The Bali Strategic Plan (BSP) for Technology Support and Capacity-building aims to strengthen the capacity of Governments of developing countries and those with transitioning economies. Two major objectives of the project were the assessment of national institutional and regulatory framework and national capacities on mercury management, and then develop an assessment of the challenges, needs and opportunities to implement the Minamata Convention and recommendations to ratify and implement the Minamata Convention. This provides the baseline to satisfy the following objectives of the BSP: (i) targeted capacity building within the mandate of UNEP, to (ii) participate fully in the development of coherent international

environmental policies, (iii) MEA compliance and national implementation, (iv) achieve environmental goals, targets and objectives, and (vi) capacity building for environmental monitoring.

39. As this project only involved one country and no South-South partnerships, and therefore the S-SC policies are not applicable to this evaluation.

## A2. Alignment to GEF Strategic Priorities

**Rating:** Highly Satisfactory

Criteria Met	Highly Satisfactory Criteria Description
✓	Full alignment with <b>more than one</b> key focal area of the donor(s)/funding agenc(ies) priorities
✓	Anticipated identified contribution(s) to donor/funding partners' reported results' indicator(s)

40. As the Financial Mechanism of the Minamata Convention, GEF/UNEP was the sole funding agency of the project. Chemicals and waste is a focal area of the GEF-7 Programming Directions. As stated in paragraph 219 of the GEF-7 Programming Directions, the elimination of mercury emissions and releases covered under the Minamata convention, supporting the development of public-private partnerships to improve the management, storage and disposal of mercury, and supporting governments for the sound management of mercury in ASGM sector are the purposes of the GEF-7 investment framework in chemicals and waste. GEF-7 aims to achieve this through the Chemicals and Waste focal area through Enabling Activities (Program 4) under the Convention such as the Minamata Initial Assessment (MIA) and National Action Plans (NAPs).
41. On the UNEP side, the Minamata Initial Assessment and National Action Plans fall directly under Article 20 of the Minamata Convention regarding Implementation Plans. Under Article 20 Section 1, prior to developing and executing an implementation plan to meet the obligations of the Convention, Parties are required to complete an initial assessment. This is the main output of the project, and hence has high alignment to the Minamata Convention.
42. According to the Evaluation Criteria Ratings Matrix, the requirement for both the Satisfactory and the Highly Satisfactory rating under subsection A2 requires full alignment with **more than one** key focal area of the donors and/or the funding agencies. As the project only addresses one single key focal area, it cannot receive these ratings. However, the Moderately Satisfactory rating (one rating below the Satisfactory rating), only requires partial alignment with a single key focus, and is too low of a rating for this project.
43. The reduction, disposal, phase out, elimination and avoidance of chemicals of global concern and their waste in the environment and in processes, materials and products is one of the Core Indicators of the GEF-7 Programming. This Core Indicator has the target of reducing 100,000 metric tons of toxic chemicals, including mercury. Although the project does not directly reduce metric tons of mercury, it does identify anticipated contributions to this indicator through measuring the anticipated amount of mercury reduced through the mercury inventory component of the project. The flow-on impacts of the project as the country moves towards ratification of the Minamata Convention is where there will be a measurable contribution the target and indicator. Hence, this project has anticipated identified contributions to donors and funding partners' reported results indicators.
44. This project far exceeds the requirements for the Moderately Satisfactory rating and meets the majority of the requirements for the Highly Satisfactory rating. The project had full alignment with only one key focal area and included anticipated contributions to GEF result indicators.

### A3. Relevance to Global, Regional, Sub-regional and National Environmental Priorities

**Rating:** Satisfactory

Criteria Met	Highly Satisfactory Criteria Description
	<b>full alignment</b> (i.e. consistency) with <b>more than one key focal area</b> a) global, regional, sub-regional and / or national environmental priorities (e.g. NAMAs / UNDAFs) or b) identified target group and beneficiary needs and priorities
✓	Anticipated identified contribution(s) to regional, sub-regional and/or national environmental results' indicator(s)

45. Under the United Nations Partnership Framework (UNPF) 2017-2021. As the MIA project has both capacity assessment and building components around environmental governance around the sound management of anthropogenic sources mercury in the environment, the project addresses more than one key focal area in the national environmental priorities outlined in the UNPF 2017-2021.
46. Under the Institution Building focal area, Outcome 7 of the UNPF 2017-2021 aimed to Institutions and policies at the national and local level support the delivery of quality services that better respond to people's needs. The MIA project contributes to the outcome through the strengthening of institutional capacities to implement legislative reform and oversight to enforce the Minamata Convention properly. The project has full alignment with sections of Outcome 7.
47. Within the Climate Change, Disaster Management and Environment focal area, Outcome 3 of the UNPF 2017-2021 was Forests and other ecosystems are protected and enhanced, and people are less vulnerable to climate-related events and disaster. The project contributes directly to part b of output 3.4 "signature and ratification of the Minamata Convention on Mercury". With the signature being the anticipated identified contribution to the environmental results indicators.

### A4. Complementarity with Existing Interventions /Coherence

**Rating:** Highly Satisfactory

Rationale:

Criteria Met	Highly Satisfactory Criteria Description
✓	The intervention design/adjustments during inception show full complementarity/ additionality of results (but no duplication) with other recent, ongoing or planned interventions by UNEP or other organisations working in the project area or on the same problem/issue.
✓	The design anticipates identified benefits to collaboration with other recent, ongoing or planned interventions by UNEP or other organisations working in the project area or on the same problem/issue

48. UNEP has worked with the Lao PDR on a variety of interventions ranging from climate adaptation to disaster risk reduction. In the problem area of chemicals and waste, there seems to be a vacuum of projects in Lao PDR. From the objectives of the UNPF 2017-2021, it seems that other humanitarian priorities have taken precedence over chemicals and waste. The lack of legislation and awareness of mercury and the ASGM sector highlighted by the Project Document is indicative of this. As stated in Section A1, the project has full alignment with UNEP priorities, strategies and interventions in anthropogenic mercury elimination. However, this project is also additional to these priorities and interventions as there is potential for more chemicals and waste related work in Lao PDR.
49. This project was setup to draw from technical expertise, tools and best practises from UNEP's Global Mercury Partnership. Hence the design anticipates identified benefits to collaboration with other UNEP organisations working in the project area.



## Section B. Quality Of Project Design

**Project Design Rating:** Satisfactory  
**Overall Weighted Score:** 4.59 / 6.00  
**Gender Marker Score:** 1 / 2

	SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x Weighting)
A	Operating Context	3.00	0.4	1.20
B	Project Preparation	5.25	1.2	6.30
C	Strategic Relevance	5.50	0.8	4.40
D	Intended Results and Causality	4.20	1.6	6.72
E	Logical Framework and Monitoring	5.14	0.8	4.11
F	Governance and Supervision Arrangements	6.00	0.4	2.40
G	Partnerships	2.50	0.8	2.00
H	Learning, Communication and Outreach	5.33	0.4	2.13
I	Financial Planning / Budgeting	6.00	0.4	2.40
J	Efficiency	4.25	0.8	3.40
K	Risk identification and Social Safeguards	3.00	0.8	2.40
L	Sustainability / Replication and Catalytic Effects	5.00	1.2	6.00
M	Identified Project Design Weaknesses/Gaps	6.00	0.4	2.40
<b>TOTAL SCORE :</b>				4.59 <b>Satisfactory</b>

50. Using the UNEP Evaluation Office's Project Design Quality Assessment tool that was revised on the 9<sup>th</sup> of December 2019, the GEF Project 9548 – Development of Minamata Initial Assessment and Updating of National Action Plan for Artisanal and Small-Scale Gold Mining in Lao PDR obtained the rating of Satisfactory (see Annex C).
51. The areas of excellence in the project design were in the Financial Planning & Budgeting and Governance & Supervision Arrangements categories. Under the Governance & Supervision Arrangements category, the project governance and supervision framework was comprehensive - containing through descriptions of the role, responsibilities and reporting lines of each agency. Their interactions and implementation arrangements were clearly outlined and communicated in written and graphic form. The governance and supervision structure was undoubtedly adequate for the project implementation. In relation to the Financial Planning and Budgeting category, the full budget was coherent, detailed and without internal discrepancies. The budget set was also within range of projects that are of a similar size and scope. The resource mobilization strategy was both reasonable and realistic. At the time of the review, expectations for the deliverables seem to be neither over-ambitious nor under-ambitious.
52. An additional strength during the project design was the project preparation. The analysis to justify the project, highlighting the lack of legislation regarding ASGM in Lao PDR, was very clear and emphasised the importance of the project. The stakeholder list was quite extensive and covered a wide group of impacted people groups. A weakness in the project preparation was the lack of integrating a rights-based approach into the project. Poor, marginalised, and vulnerable people were unable to influence decisions directly affecting their lives and rights - especially in ASGM where decisions can change livelihoods. In not doing so, the project runs the risk of reinforcing unequal power relations and widening the inequality gap in Lao PDR.

53. There are three main weaknesses to the project design. Firstly, as mentioned previously, not including a rights-based approach to stakeholders and stakeholder representation (gender and populations that may be negatively impacted). Secondly, missing core elements in retrospective project assessment using new criteria. And lastly, an array of other smaller details that exist in the evaluation document (Annex C).

### Section C. Nature of External Context

**Rating:** Highly Favourable

Criteria Status	Highly Favourable Criteria Description
Favourable	Climatic events (hurricanes, droughts floods etc.) that could affect project operations have not occurred (and are highly unlikely).
Highly Favourable	Security situation was favourable and stable. Security issues have not affected project operations
Favourable	Economic conditions are favourable and stable allowing efficient project operations.
Highly Favourable	Political context is favourable and stable allowing efficient project operations.

54. The external factors for the project have been increasingly favourable as the project progressed from 2016 onwards. However, other external factors such as the COVID-19 pandemic caused delays to project implementation.
55. Lao PDR is a mountainous landlocked country. Its weather is dependent on the northern and southern monsoons. Due to its geography, the country is protected from typhoons and rainstorms, however the country suffers from floods, infestations, droughts, landslides, earthquakes and fires. Floods and droughts usually occur every 1.5 years. Over the course of the project, according to the OCHR's ReliefWeb relief response records in Lao PDR, there have been floods (2020, 2019, 2018, 2017, and 2016), drought (2019), and an earthquake (2019).
56. On the security front, there were no significant threats to the project. According to the Fund for Peace, Lao PDR has shown a constant decrease in its Security Threats Index from its peak in 2014. The Security indicator considers the security threats to a state, such as bombings, attacks and battle-related deaths, rebel movements, mutinies, coups, or terrorism.
57. Regarding the political context, Lao PDR has had a stable government during the course of the project with President Bounnhang Vorachith remaining in power until March 2021. However, sudden changes in government officials in centralised governments poses a risk to staff turnover in the project.
58. Economically, prior to the COVID-19 pandemic, World Bank data showed consistent growth in GDP per capita. However, GDP growth by percentage has decreased by a small percentage per year (7.023% in 2016 and 5.458% in 2019), and significant decrease since the COVID-19 pandemic (0.503% in 2020).
59. Survey and interview data with the Project Managers and Task Managers of the EA and IA showed that most incidents and external context mentioned above had no significant impact on the project's performance. However, the political context had a moderate impact on the project due to sudden staff changes.
60. COVID-19 caused delay to the project, as an "unknown known" risk, it is difficult to anticipate and mitigate the unexpected global pandemic. Measures taken to slow the spread of the virus and reluctance to run virtual meetings also slowed down the project's implementation.

**Section D. Effectiveness**

**D1. Availability of Outputs**

**Rating:** Highly Satisfactory\*

<b>Criteria Rating:</b>	<b>Highly Satisfactory Criteria Description</b>
Highly Satisfactory*	All (100%) of planned/approved outputs delivered fully.
Satisfactory	All outputs delivered at the time required to maximise their intended use.
Highly Satisfactory	All outputs deemed to be of excellent quality / utility by users and reviewers.
Satisfactory	High levels of user ownership - intended users of key outputs closely involved in / party to their preparation
Highly Satisfactory	Where additional relevant outputs were delivered or output level targets were exceeded: this work was available on time for its intended use and was of excellent quality.

\*Limitations due to COVID-19 pandemic factored into consideration.

61. Overall, the project achieved a Highly Satisfactory rating. The project completed most planned and approved outputs fully, some activities were cancelled due to the COVID-19 pandemic. The outputs were delivered at the time to maximise their intended use and adaptive management strategies were implemented around planned delivery times due to dependant deliverables being delayed by changes in external factors, staffing, capacity, and communication line deterioration. All outputs deemed to be excellent is a high bar, the project users deemed the outputs of moderate to very good quality, and the reviewer deemed the project outputs to be of very good to excellent quality. Although the project was implemented by the AGC, the Lao PDR Pollution Control Department (PCD) was subcontracted to perform many of the project activities. Other intended users of key outputs such as civil society and the AGSM sector seemed to have low levels of ownership in the project. Hence levels of user ownership of project outputs was satisfactory. Additionally, it is the perspective of the evaluator that the AGC provided timely and high quality capacity building to the PCD that exceeded output target requirements.

62. The 7 main outputs of the project listed in the Project Document are as follows:

- 1.1 Training and guidance provided to relevant national stakeholders in Lao PDR to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention
- 2.1 Identified and strengthened the national coordination mechanism dealing with mercury management that will guide the project implementation.
- 2.2 National institutional and regulatory framework and national capacities on mercury management assessed.
- 2.3 National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed.
- 2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed
- 2.5 Draft NAP developed as per Annex C of the Minamata Convention
- 3.1 Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.

63. A desk review of the project documentation, reporting and feedback received during stakeholder consultations, and wider internet search has confirmed the completion of the deliverables, timeliness of delivery, overall quality of work and levels of user ownership of the project outputs. The section below evaluates all outputs and planned activities to check for the criteria mentioned above.

**Output 1.1:**

1.1 Training and guidance provided to relevant national stakeholders in Lao PDR to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Mostly	Yes	Moderate to Very High	Excellent	Good / Satisfactory

**Activities:**

Activity 1.1.1 Development of a roster of experts and collection of tools and methodologies for MIA and NAP development

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
April 2019	S1 2019	Moderate to Very High	Highly Satisfactory	<p><b>Primary:</b> Tools and methodologies within training modules &amp; use of UNEP Inventory Toolkit.</p> <p><b>Secondary:</b> Progress report (Roster of Experts developed by GMP), and Surveys.</p>

Activity 1.1.2: Capacity building trainings and assistance with baseline inventories.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
April 2019	S1 2019	Moderate to Very High	Excellent	<p><b>Primary:</b> Evidence supplied in progress report annexes (list of participants, minutes, photos, and training material in annexes to 2017S1, 2017S2, 2018S1, 2018S2, and 2019S1 reports)</p> <p><b>Secondary:</b> Progress report and survey.</p>

Activity 1.1.3: Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
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April 2019	S1 2019	Moderate to Very High	Highly Satisfactory	<p><b>Primary:</b> Tools and materials on the Global Mercury Partnership website</p> <p><b>Secondary:</b> Progress report and survey.</p>
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Activity 1.1.4: Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation. A gender session will be included in the workshop agenda.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
April 2019	Unable to complete due to COVID-19 pandemic & lack of access to virtual platforms.	NA	NA	NA

#### Output 2.1:

2.1 Identified and strengthened national coordination mechanisms and stakeholder advisory groups that will guide the project implementation.

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Yes	Yes	Moderate to Very Good	Highly Satisfactory	Good / Satisfactory

#### Activities:

Activity 2.1.1: Organize a National Inception Workshop to raise awareness and to define the scope and objective of the MIA and NAP processes, convene the national steering group, and hire national experts

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
February 2019 *IA included all National Steering Group meetings into this activity.	S1 2018	Moderate to Very High	Highly Satisfactory	<p><b>Primary:</b> List of participants to National Inception Workshop and National Steering Group meetings. List of National Experts hired.</p> <p><b>Secondary:</b> Progress report and survey.</p>

Activity 2.1.2: Conduct a national assessment on existing sources of information (studies), compile and make them available.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
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December 2017	October 2018	Moderate to Very High	Satisfactory	<p><b>Primary:</b> Progress report and survey.</p> <p><b>Secondary:</b> Evidence present in MIA report (p74-76).</p>
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### Output 2.2:

2.2 National institutional and regulatory framework and national capacity on mercury management assessed.

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Yes	<p>Yes</p> <p>*Minor edits extended delivery, however this did not affect the intended use of the deliverable.</p>	Moderate to Very High	Satisfactory	Highly Satisfactory

### Activities:

Activity 2.2.1: Assess key national stakeholders, their roles in mercury management and institutional interest and capacities.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
February 2018	<p>Mostly complete: S2 2018</p> <p>English language edits complete: S2 2020</p>	Moderate to Very High	Satisfactory	<p><b>Primary:</b> Legal and Institutional Capacity Assessment (p.12-14).</p> <p><b>Secondary:</b> Progress report and survey.</p>

Activity 2.2.2: Analyse the regulatory framework, identify gaps and assess the regulatory reforms needed for the ratification and early implementation of the Minamata Convention in Lao PDR

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
February 2018	<p>Mostly complete: S2 2018</p> <p>English language edits complete: S2 2020</p>	Moderate to Very High	Highly Satisfactory	<p><b>Primary:</b> Legal and Institutional Capacity Assessment (p.12-14).</p> <p><b>Secondary:</b> Progress report and survey.</p>

### Output 2.3:

2.3 National inventories of mercury sources and releases and strategy for the identification of mercury contaminated sites developed

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Yes	Yes	Moderate to Very High	Moderately Satisfactory	Good / Satisfactory

Activity 2.3.1: Develop a qualitative and quantitative inventory of all mercury sources and releases

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
March 2018	Mostly complete: S2 2018  English language edits complete: S2 2020	Moderate to Very High	Highly Satisfactory	<b>Primary:</b> Mercury Inventory Report for Loa PDR, Lao PDR Hg Inventory (UNEP Toolkit) & MIA.  <b>Secondary:</b> Progress reports and survey.

Activity 2.3.2: Develop a national strategy to identify and assess mercury-contaminated sites

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
December 2017	Mostly complete: S2 2018  English language edits complete: S2 2020	Moderate to Very High	Satisfactory	<b>Primary:</b> Legal and Institutional Capacity Assessment (p.31-32), and MIA (p.44)  <b>Secondary:</b> Progress report and survey.

#### Output 2.4:

2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Yes	Yes	Moderate to Very High	Satisfactory	Good / Satisfactory

Activity 2.4.1: Conduct a national and sectoral assessment on challenges and opportunities to implement the Convention in key priority sectors

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
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May 2018	Mostly complete: S2 2019  English language edits complete: S2 2020	Moderate to Very High	Satisfactory  Challenges and opportunities for key priority sectors implicitly described in the MIA.	<b>Primary:</b> MIA  <b>Secondary:</b> Progress report and survey.
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Activity 2.4.2: Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
July 2018	Mostly complete: S2 2019  English language edits complete: S2 2020	Moderate to Very High	Highly Satisfactory	<b>Primary:</b> MIA (p.52-65)  <b>Secondary:</b> Progress report and survey.

#### Output 2.5:

2.5 Draft NAP developed as per Annex C of the Minamata Convention.

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
NA – Additional to ProDoc	NA – Still in progress at the time of the Terminal Review	Excellent	Excellent	<b>Primary:</b> Progress report, final report, interview, and survey.  <b>Secondary:</b> Interview with IA Task Manager.  <b>Tertiary:</b> Ministry of Environment, Climate Change and Technology public advertisement for tender.

Activity 2.5.1: Development of the national overview of the ASGM sector according to the NAP guidance by local teams

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
April 2018	S2 2019	Moderate to Very High	Highly Satisfactory	<b>Primary:</b> NAP  <b>Secondary:</b> Progress report and survey.

Activity 2.5.2: Organize national workshops to develop the draft NAP and a roadmap for NAP endorsement and submission to the Minamata Secretariat



Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
February 2019	September 2018	Moderate to Very High	Highly Satisfactory	<b>Primary:</b> 4x Workshop Agenda, Minutes, Photos, and, Lists and Signature of participants.  <b>Secondary:</b> Progress report and survey.

### Output 3.1:

3.1 Technical support provided to participating country to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.

Output Delivered Fully	Delivered at time required to maximize intended use	Quality Rating (from users)	Quality Rating (from reviewer)	Level of User Ownership
Yes	Yes	Moderate to Very High	Highly Satisfactory	Good / Satisfactory

Activity 3.1.1: Draft and validate MIA report

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
February 2019	S1 2021  Delay caused by communication breakdown.	Moderate to Very High	Highly Satisfactory	<b>Primary:</b> MIA  <b>Secondary:</b> Progress report and survey.

Activity 3.1.2: Design and conduct national workshops targeting vulnerable groups and miners to complete the final NAPs and to expose the formulated NAPs on ASGM to public consultation and endorsement

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
October 2018	S2 2019  Delay caused by COVID-19.	Moderate to Very High	Satisfactory	<b>Primary:</b> Progress report and survey.

Activity 3.1.3: Design and conduct national workshops targeting appropriate national decision makers that are decisive to NAP endorsement and official submission to the Minamata Secretariat

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
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February 2019	S2 2021  Delay caused by COVID-19.	Moderate to Very High	Satisfactory	<b>Primary:</b> NAP available on Minamata Secretariat Website at the time of the review.  <b>Secondary:</b> Progress report and survey.
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Activity 3.1.4: Develop a national MIA and NAP awareness raising and dissemination and outreach strategy

Planned Completion Date	Actual Completion Date	Quality Rating (from users)	Quality Rating (from reviewer)	Evidence of Activity
July 2018	S1 2020  Delay caused by COVID-19.	Moderate to Very High	Satisfactory	<b>Primary:</b> Progress report and survey.

## D2. Achievement of Outcomes

**Rating:** Highly Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
Highly Satisfactory	All project outcomes fully achieved.
Highly Satisfactory	Assumptions for progress from project outputs to project outcome(s) hold fully.
Highly Satisfactory	Drivers to support transition from outputs to project outcome(s) are fully in place.

64. The project's stated outcome is the 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, unsound use and management of mercury in Lao PDR.

65. As described in the reconstructed ToC, there are three main outcomes of the project:

1. Strengthening the country's capacity to effectively assess the mercury situation and steps required to ratify the convention in their local context.
2. The country understands their local situation and the steps required to be able to ratify the convention.
3. The country takes steps towards ratification and early implementation of the Minamata Convention.

64. A desk review of the project documentation, reporting and feedback received during stakeholder consultations, and wider internet search has confirmed the achievement of project outcomes. The section below evaluates all outcomes and their underlying drivers and assumptions to check for the criteria mentioned above. The PESTLE (Political, Economic, Social, Technological, Legal, Environmental) framework will be used to categorise key drivers.

### Overarching Assumptions and Drivers:

Assumption	Does the Assumption Hold?	Evidence
Countries have the desire and will to protect human health and the planet from the anthropogenic sources of mercury.	Yes	Lao PDR has taken steps to reduce anthropogenic sources of mercury emissions and ratify the convention. They have not shown indication that this will not continue. Lao PDR is party to the Minamata Convention.
The Minamata Convention covers all sources of anthropogenic sources of mercury.	Yes	No indication that the Convention is lacking in this regard in the Lao PDR.
All countries can enforce legal instruments (including the capacity to address corruption and illegal trade),	Somewhat	As reported in the MIA, Lao PDR has some legal instruments to ratify the convention, however, also has some gaps in the legislation to be addressed.
Countries do not capitalise on becoming a "mercury haven"	Yes	Mercury or mercury-related trade and mining is not a major economic driver for the Lao PDR.

Drivers (PESTLE)	Is the Driver Fully in Place?	Evidence
<b>Political:</b> International political pressure to phase out mercury	Yes	Minamata Convention
<b>Economic:</b> Financing for early ratification available	Yes	Under the Financial Mechanism (Article 13), funding for Enabling Activities towards early ratification is available for signatories and parties.  In the final report, Lao PDR is actively searching for additional funding to implement the NAP and implement the Minamata Convention.
<b>Social:</b> Decreasing consumer demand for mercury as consumer understanding of mercury increases	Yes	Capacity building, awareness raising, and training project activities.
<b>Technological:</b> Mercury alternatives developed and widely available.	Yes	R&D driven by Minamata disease and mercury toxicity awareness.
<b>Legal:</b> International trade laws (Article 3) and Domestic environmental protection, public health and trade laws.	Yes & requires strengthening domestically	This is one of the key impacts pathways for the MIA project.
<b>Environmental:</b> Anthropogenic mercury in the environment is currently a threat to human health, environment, and economy (fisheries & agriculture).	Yes	MIA report outcomes & Mercury Inventory output

**Outcome 1:** Strengthening the country's capacity to effectively assess the mercury situation and steps required to ratify the convention in their local context.

**Status:** Fully achieved.

Assumption	Does the Assumption Hold?	Evidence
Trainings and workshops were adequate to enable NCM and key stakeholders to conduct MIA/NAP activities	Yes	Project outputs were delivered with very good to excellent quality.
All key stakeholders were included in the training & workshops.	Yes	See Section I 7.
Trainings and workshops increased country capacity	Yes	No pre- and post-assessment data made available at the time of review for training and capacity building project activities.  However, as no previous training or work had been done on AGSM in Lao PDR, it can be assumed that country capacity has increased.  Additionally, capacity growth was observed by the AGC.

**Outcome 2:** The country understands their local situation and the steps required to be able to ratify the convention.

**Status:** Fully achieved.

Assumption	Does the Assumption Hold?	Evidence
Information made available	Yes	Mercury Inventory, MIA report, and NAP – including national validation
Information made available is accessible & understandable.	Yes	Mercury Inventory, MIA report, and NAP – including national validation
Information is <i>accurate</i> (how close the reported value is to the true value) and <i>precise</i> (how close are different reported values to one another).  Hence, the information and reported values are free of both <i>systematic error</i> and <i>observational error</i> .	Mostly	The MIA reported data sources for the Inventory were gathered across multiple agencies and sectors, and at different grain of detail. Additionally, there were some data gaps identified.  Therefore, the MIA and the inventory data may contain some level of both systematic and observational errors due to low grain or missing data. Confidence intervals not included.

**Outcome 2:** The country takes steps towards ratification and early implementation of the Minamata Convention.

**Status:** Fully achieved.

Assumption	Does the Assumption Hold?	Evidence
Country is acting on the findings of the MIA & Mercury inventory	Yes	NAP for Lao PDR submitted to Minamata Secretariat and made publicly available. Outlines action on ASGM mercury reduction in Lao PDR 2020-2030.

Action taken to facilitate the ratification and becoming party of the Minamata Convention.	Yes	Lao is listed as party to the Minamata Convention
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### D3. Likelihood of Impact

**Rating:** Highly Likely

65. The likelihood of impact assessment is a tool used to assess prospect of the project's contribution to the intended impact. This is a theoretical and qualitative approach to assessing the impact of the project. The MIA and NAP's likelihood of impact is highly likely. The project catalyses action towards the ratification of the convention and provides clear steps forward to do so. At the time of the review, Lao PDR has submitted their NAP to the Minamata Convention and has a plan forward to 2030 to reduce ASGM mercury use.

66. The tool utilises the criteria for D3. Likelihood of Impact of the UNEP Evaluation Office Evaluation Matrix. The criteria, rating (and input to the tool) and evidence is outlined below.

Criteria	Input	Evidence
Drivers to support transition from Outputs to Project Outcomes are ...	In place	See section D2.
Assumptions for the change process from Outputs to Project Outcomes ...	Hold	See section D2.
Proportion of Project Outcomes fully or partially achieved?	Some	See section D1.
Which Project Outcomes? (the most important to attain intermediate states / impact or others)	The most important to attain intermediate states/impact	See sections D1 and D2.
Level of Project Outcome achievement?	Full	See ToC and Sections D1 and D2.
Drivers to support transition from Project Outcome(s) to Intermediate States are ...	In Place	See section D2.
Assumptions for the change process from Project Outcomes to Intermediate States ...	Hold	See section D2.
Proportion of Intermediate States achieved?	All	See ToC Intermediate States d) and e).
Level of Intermediate State achievement?	Full	See section D1, D2 and ToC Intermediate States d) and e).
Assumptions for the change process from Intermediate States to Impact ...	Hold	See Section D2.

## Section E. Financial Management

### E1. Adherence to UNEP's Financial Policies and Procedures

**Rating:** Highly Satisfactory

Criteria Met	Highly Satisfactory Criteria Description
✓	Timely approval and disbursement of cash advances to partners
✓	Regular analysis of actual expenditure against budget and workplan
✓	Timely submission of regular expenditure reports (six-monthly and annual)
✓	Expenditure is within the approved annual budget (or a timely revision submitted/approved)
✓	Regular budget revisions made when relevant and for expenditure variations of 10% and above

67. There were eight cash advances disbursed to the partner, with a total of 630,000USD over 5 years, with no funds disbursed in 2020. 90,000USD in March 2017, 260,799 USD in November 2017, 203,796 USD in May 2018, 43,905USD in October 2019, 8,883 USD in May 2021, 7,428 USD and 2,878 USD in July 2021, and 12,311 USD in November 2021.
68. A sudden change in the national project coordinator on the 26 of June 2018 without adequate handover caused payment delays to national experts.
69. Adaptive management and adjustments of the expected delivery dates were made during project implementation. This is indicative of the regular analysis of actual expenditure against the workplan and budget, and budget revisions made when relevant for expenditure variations of >10%.

## E2. Completeness of Financial Information

**Rating:** Highly Satisfactory

### Rationale:

Criteria Met	Highly Satisfactory Criteria Description
✓	All applicable items a-k are complete and made available to the evaluation.
✓	Items d & e are presented at annual/quarterly level
✓	Item e is signed/stamped by the Project Manager/FMO
✓	Item e is presented at results level (outputs/outcomes)

70. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 12 items (a-l) to measure the completeness of financial information. They are listed below, along with the evidence to satisfy the criteria.

Criteria Met	Item	Evidence
✓	a) High level project budget (costs) for secured and unsecured funds.	Project Document
✓	b) High level project budget by funding source(s) for secured and unsecured funds.	Project Document
NA	c) Disbursement (Funds Transfer) document from funding source(s) to UNEP.	NA
✓	d) Project expenditure sheet (to-date).	UNEP GEF Chemicals and Waste Unit Project Information Sheet & Tracking Tool
✓	e) Detailed project budget (by output/outcome) for secured funds.	Project Document, Project Budget, Project Budget revisions,
NA	f) Proof/report of delivery of in-kind contributions.	NA
✓	g) Partner legal agreements and documentation for all amendments exist.	2 x Signed Project Cooperation Agreement between UNEP and the Artisanal Gold Council
Where applicable:		
✓	h) Re-approved project budget by budget line for project extensions (both cost and no-cost extension).	Revised Budgets and Project Cooperation Agreements
✓	i) Disbursement (Funds Transfer) documents (cash statement) from UNEP to Partners.	No direct evidence supplied – however this is an automated process and does occur.
For GEF funded projects:		
NA	j) Proof/report of delivery of in-kind contributions exists.	NA
✓	k) For externally executed GEF projects, audit reports for the Executing Agency exist.	

NA	I) Management response to audit reports exists.	NA
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### E3. Communication Between Finance and Project Management Staff

**Rating:** Highly Satisfactory

**Rationale:**

Criteria Met	Highly Satisfactory Criteria Description
✓	the project manager has strong awareness of the current financial status of project
✓	the FMO has strong awareness of overall project progress when financial disbursements are made. (i.e. Disbursements made against good quality financial and technical progress reports).
✓	there is regular / frequent contact between PM and FMO.
✓	evidence that PM or FMO are proactive in raising and resolving financial issues.
✓	all narrative and financial reports are reviewed by both finance and project staff members prior to submission.
✓	there is evidence that good communication between financial and project staff members has positively affected project implementation (i.e. within budget, no extensions, more outputs than planned etc).

- 71. Survey data showed that the finance staff and the project management staff of the EA does review all narrative and financial reports before submission. Additionally, there was regular and frequent contact between the project manager and the finance management. Interviews with the IA indicated that the strong communication between the Task Manager and Finance Management Officer at the IA.
- 72. There was a breakdown in communication when there was a staff transition within the subcontracted government agency that led to payment delays, and subsequently, delaying the deliverables.
- 73. The project was within budget.
- 74. Breakdown of communication between projects staff and the finance staff exposes the project to financial risks (over or under budget) and temporal risks (running over time). This is particularly evident in traditional organizational structures with hierarchy with only one line of reporting – such as government.

### Section F. Efficiency

**Rating:** Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
Moderately Satisfactory	The project was implemented within the originally intended (first approval) timeframe (i.e. duration) or was implemented within the timeframe and against an appropriately revised results framework specified by a formal revision that secured additional resources. OR The project had a 'costed' extension (ie. additional funds were awarded to either continue or extend the agreed scope of work)
Highly Satisfactory	Evidence suggests that cost-effective approaches supported project targets being exceeded.
Highly Satisfactory	The project operated within existing roles, mechanisms or institutions or expanded them in an efficient and effective manner

- 63. This evaluation includes an assessment on the cost-effectiveness and timeliness of the project execution. The project's original end date was the 30<sup>th</sup> of April 2019. However, project had a total of two justified no

cost extensions. According to the UNEP Evaluation Office Criteria Matrix, the project receives a moderately unsatisfactory rating as it had two justified no cost extensions. However, some of this was due to the COVID-19 pandemic and not the efficiency of the project implementation.

- 64. There was evidence that the AGC implemented cost-effective approaches. For example, implementing lessons learnt from audit reports of other MIANAP projects while the MIA NAP project for Lao PDR was on going, and collaboration with other UNEP projects such as the Global Mercury Partnership (GMP)
- 65. Subcontracting the PCD and other national experts in their field demonstrated the projects operation within existing roles, mechanisms, and institutions.

## Section G. Monitoring and Reporting

### G1. Monitoring Design and Budgeting

**Rating:** Highly Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
Highly Satisfactory	At project launch/mobilisation a monitoring plan exists that covers all items a-i and is owned by the project team.

- 66. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 9 items (a-i) to evaluate monitoring plans at the design and budgeting phase. The project must satisfy all 9 items to receive a Highly Satisfactory rating and does not satisfy item g) on disaggregated data by relevant stakeholder groups including gender and minority or disadvantaged groups, and item h) When applicable, additional gender specific indicators are developed. However, these items are not applicable to this project. All 9 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.
- 67. The survey data showed that there was a low level of involvement of the EA during the inception phase in developing the monitoring and evaluation plan. The project team Somewhat Agreed that they were aware that there was a monitoring and evaluation (M&E) plan and metrics used for this project during the project launch phase. The reporting templates did not give the EA enough fields to supply reporting data to their preferred level of detail.

Criteria Met	Item	Comment
✓	a) Covers all indicators appropriately in the logical framework	All indicators (Reports (inception, progress, financial, and terminal)) appropriate for a knowledge generation project.
✓	b) Has data collection methods	Collected in narrative form via reports
✓	c) Has data collection frequency	3-6 months or immediately after once off project meetings.
✓	d) Data collection frequency is appropriate for the indicator	Sufficient for project – Technical progress report (6 months), Financial Progress reports (3 months)
✓	e) The project has a dedicated budget by monitoring activity.	M&E included in Project Manager role description (excluding terminal evaluation and independent financial audit).
✓*	f) Person responsible for monitoring progress against each indicator is identified.	*Party responsible listed – not person. However, the evaluator considers it within reason to design a project this way to minimise staff transition related project risks.



NA	g) Is disaggregated by relevant stakeholder groups including gender and minority/disadvantaged groups.	NA
NA	h) When applicable, additional gender specific indicators are developed	NA
✓	i) Funds for mid-term and terminal evaluations/reviews are considered adequate by the Evaluation Office (and are available to the evaluation).	Sufficient for terminal evaluation for a project this size. Mid-term evaluation is not applicable to this project.

## G2. Monitoring of Project Implementation

**Rating:** Highly Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
NA	Complete and relevant baseline data were collected and used to contribute to the project's monitoring, knowledge management and final reporting.
Highly Satisfactory	Complete, relevant and detailed monitoring data were collected regularly in accordance with a monitoring plan and workplan, these data were analysed and shared with appropriate project managers and steering partners.
Highly Satisfactory	Detailed data by indicator are made available to the evaluators.
NA	Data collected is disaggregated by vulnerable/marginalized groups, including gender
NA	Tools and methodologies that are responsive to the needs of different stakeholder groups are utilised during monitoring
Satisfactory	An adequate, planned monitoring budget was reasonably spent.
NA	Information generated by the implementation of the monitoring plan during the life of the project has been used to adapt and improve project execution, achievement of outcomes and to ensure sustainability.

68. The MIA and Mercury inventory conducted forms the baseline for which further mercury projects will base their monitoring and evaluation data upon. In the scope of the ratifying the Minamata Convention shown in the Theory of Change, this project is the baseline data collection component. In the scope of monitoring the project implementation and tracking results and progress towards project objectives, monitoring and evaluation reporting of the project was complete, relevant, and provided a high level of detail.
69. A Minamata Initial Assessment is the baseline data for future projects towards the intended impact of the ToC. This is not applicable to a MIA NAP project.
70. Monitoring data for this project was generated by the bi-annual technical progress reports. These were mostly brief, containing only a progress percentage with a few comments. There were no other supporting documents or evidence supplied to indicate or support the reports. At evaluation, evidence does not suggest that complete, relevant, and detailed monitoring data was collected regularly in accordance with a monitoring plan and workplan, and the data was analysed and shared with appropriate project managers and steering partners.
71. M&E data was made available to the evaluator through the form of reports. The reports were of a high quality, thorough and detailed, and contained many annexes to include evidence of deliverables.
72. Day-to-day management and monitoring of project activities, progress update reporting, and financial reporting fall under the duties of the EA. Hence, budget for project staff was also considered as monitoring budget for the terminal evaluation.

### G3. Project Reporting

**Rating:** Highly Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
Highly Satisfactory	Complete and high-quality documentation of project progress available.
Highly Satisfactory	Evidence of highly-effective collaboration and communication with appropriate UNEP colleagues
NA	Data reported is disaggregated by vulnerable/marginalized groups, including gender.

73. Reporting for the project was rated Highly Satisfactory. Project progress reports were of a very high standard. There was evidence of collaboration and communication with appropriate UNEP colleagues. Reports did not disaggregate data, however, this is not applicable to a project of this nature.

74. Reporting documents as described in the Project Document were all submitted. All technical update reports were submitted. These reports were brief and succinct. However, the evidence or record for deliverables reported were not submitted. Financial reports were all submitted and was of high quality.

75. The reports were aggregated and did not include mention of vulnerable and marginalised groups, and gender.

### Section H. Sustainability

The following section uses the Dependency-Mitigation Matrix supplied by the Evaluation Office of UNEP shown below.

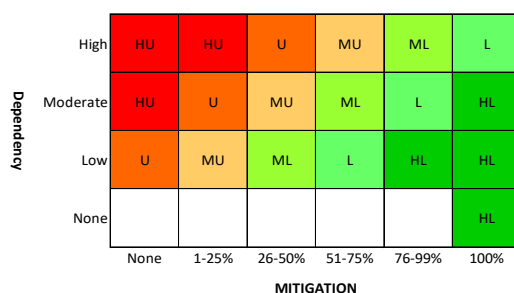


Figure 6. Dependency and Mitigation Matrix

### H1. Socio-political Sustainability

**Rating:** Highly Likely

Criteria Rating	Highly Likely Criteria Categories
✓	Moderate dependency 100% mitigation
	Low dependency 75-100% mitigation
	No dependency

76. The project has little to no socio-political sustainability dependencies. Survey data shows relatively low social-political ownership towards the ratification and implementation of the Minamata Convention in the Lao PDR. The long-term sustainability of the project towards the intended impact depends on this. Inter-ministerial and vertically inclusive structures were developed to consider mercury use and exposure in Lao PDR, and implement new Minamata related projects. According to the final project report, NAP

implementation has already begun. Using the Dependency-Mitigation Matrix supplied by the Evaluation Office of UNEP, the factors above indicate that the project has a High Likelihood of sustainability.

## H2. Financial Sustainability

**Rating:** Highly Likely

Criteria Rating	Highly Likely Criteria Categories
✓	Moderate dependency 100% mitigation
	Low dependency 75-100% mitigation
	No dependency

77. The project to develop a MIA and NAP itself does not require further funding. However, to achieve the intended objective of early implementation and ratification of the convention, the project's sustainability will require financing. Hence, it has a moderate to high financial dependency. Lao PDR is a party to the Minamata Convention and has access to the financial mechanism provided under Article 13. Additionally, it was reported that Lao PDR is actively seeking additional funding to implement its NAP.

## H3. Sustainability of the Institutional Framework

**Rating:** Highly Likely

Criteria Rating	Highly Likely Criteria Categories
✓	Moderate dependency 100% mitigation
	Low dependency 75-100% mitigation
	No dependency

78. The sustainability of the project is dependent on robust institutional frameworks. Indicated by survey data, a strong mechanism has been put in place by the MIA and NAP project to sustain and support the institutionalisation of the project outcomes. Implementing the recommendations made in the MIA and the actions covered in the NAP will help mitigate this dependency. The final report also shows that Lao PDR is taking steps to find technical partners to ensure they achieve the project's intended objective.

## Section I. Factors Affective Performance

### I1. Preparation and Readiness

**Rating:** Satisfactory

Criteria Rating	Criteria Description
Satisfactory	Evidence suggests that, where the following (items a to m) had not already been undertaken or were out of date, they were done/updated between project approval and first disbursement.

79. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 13 items (a-m) to evaluate a project's preparation and readiness prior to first disbursement.

80. The project must have completed all 13 items to receive a Highly Satisfactory rating and does not satisfy the following items:

g) All partners capacity was confirmed/addressed

81. During the project design phase, there was an expectation to subcontract work to the government of Lao PDR. However, there was little to no evidence of a comprehensive stakeholder analysis or capacity assessment. Survey data indicated that the project scoping process should have included the IA, EA, and the Lao PDR government.
82. Finally, according to the Technical Progress Reports, there were delays in staff recruitment for the project.
83. All 13 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.
84. According to the survey data, the EA stated that the elements required for the project implementation were ready and well prepared prior to the project start.

Criteria Met	Item	Comment/Evidence
✓	a) A comprehensive inception meeting was held and reported on	Inception Meeting report
✓	b) An annual, costed workplan was developed with appropriate detail	Project Document
NA	c) A detailed and compliant procurement plan was developed	
✓	d) A Steering Committee was established with full, appropriate representation	Project Document
✓	e) A good ESE safeguards assessment was carried out, with stakeholder participation.	Project Document
✓	f) Comprehensive and relevant stakeholder analysis undertaken (or reviewed/revised).	Project Document
✗	g) All partners capacity was confirmed/addressed,	Project Progress Reports & Final Report
✓	h) Legal agreements were signed with partners in a timely manner.	Project Cooperation Agreement
✓	i) Staffing mobilisation was undertaken in a timely manner.	Progress reports
✓	j) Appropriate and adequate governance arrangements established.	Project Document & Project Reports
NA	k) All necessary measures were taken to implement PRC recommendations or respond to contextual changes that took place during the inception/mobilisation period. These were timely and of good quality.	
✓	l) The period between project approval and first disbursement is 6 months or less.	Project approved: July 2016 (GEF CEO Approval) First disbursement: Jan 2017 – 45,000USD
✓	m) Measures taken between approval and inception noticeably strengthened the project design.	Survey data

## 12. Quality of Project Management and Supervision

**Rating:** Satisfactory

Criteria Rating	Criteria Description
Satisfactory	Evidence suggests that following 11 items a to l occurred.

85. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 11 items (a-l) to evaluate the quality of project management and supervision of a project.
86. The project must have completed all 11 items to receive a Highly Satisfactory rating and many items have a high bar requiring excellence or contain "all" qualifiers.
87. The project does not satisfy the following Highly Satisfactory item:  
d) Turnover of staff associated with highly effective handover processes and information exchange between outgoing and incoming staff.
88. As stated previously, the national project coordinator for the project changed abruptly over the course of the project. This caused many issues to the project ranging from capacity and knowledge loss, to delay in payment of contracted national experts. This is indicative of inadequate staff handover procedures between outcoming and incoming staff.
89. According to the survey data the project management and supervision of the project as rated Highly Satisfactory.
90. All 11 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.

Criteria Met	Item	Comment/Evidence
✓	a) Steering Committee (or equivalent oversight/guidance mechanism) established and functioning very well (all conditions under 'Satisfactory', plus demonstrating leadership)	National Steering Group formed, consulted, and functioning as per progress reports.
✓	b) Teams involved in implementation structures have been managed excellently.	Implementation arrangement described in project document.  Progress reports indicated the EA managed subcontractors excellently.  Survey data suggests the IA managed the implementation structures at a highly satisfactory level.
✓	c) The working relationship between the PM/TM and project partners has been constructive and/or effective to an excellent extent.	Survey data suggested there was a constructive working relationship between the IA and EA.
✗	d) Turnover of staff associated with highly effective (i.e. systematized, complete and ensures smooth transition) handover processes and information exchange (supported by good documentation) between outgoing and incoming staff.	Staff turnover with the subcontracted government department caused delays to the project and loss of knowledge and capacity. Handover processes and information exchange was insufficient.

✓	e) All project staff have capacity that is aligned with project requirements	Many capacity building activities were conducted as part of the project to aid the subcontracted project staff to have capacity to meet project requirements.
✓	f) All project staff are located appropriately for efficient project implementation	Project staff were located in Lao PDR and went to Lao PDR when required.
✓	g) An excellent amount of regular and constructive information exchange between project team, PM/TM and UNEP colleagues has taken place.	Surveys indicated that communication between EA and IA was frequent, responsive, constructive, timely, and supportive.
✓	h) Implementation Agency and/or Executing Agency provide excellent leadership towards achieving the planned outcomes.	All outcomes possible in a global pandemic achieved.
And excellent adaptive management, assessed based on :		
✓	i) Speed of responses to execution challenges or contextual changes (evidenced through email correspondence and / or other communication/reporting)	Adaptive project management clearly evident over the course of the project.
✓	j) Adequacy of management response to any financial shortfalls, response shows clear prioritization and movement of funds to meet implementation and all accountability requirements where required	Budget alterations were made in a timely manner.
✓	k) Frequency and relevance of advice provided by PM/TM to deal with known problems, risks or challenges	Financial advice regarding allocation of budget to UNEP services not directly contracted by the EA taken in a timely manner.

### 13. Stakeholders' Participation and Cooperation

**Rating:** Satisfactory

Criteria Rating	Criteria Description
Satisfactory	Evidence suggests that following 6 items a to f occurred.

91. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 6 items (a-f) to evaluate the quality of stakeholders' participation and cooperation.
92. The project must have excellence in all 6 items to receive a Highly Satisfactory rating.
93. The project does not satisfy the following Highly Satisfactory item:
  - c) There was excellent (always effective, regular and well-timed) consultation and/or communication with stakeholder groups during the life of the project.
94. Survey results indicate that there was frequent engagement with stakeholders during the duration of the project. However, they had minimal impact on project decision making, and stakeholders were not completely representative of all stakeholder groups.

95. All 6 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.

Criteria Met	Item	Comment/Evidence
✓	a) Implementation began, and was undertaken, with an excellent analysis of stakeholder groups (all those who are affected by or could affect this project).	List of suggested national stakeholders for the stakeholder advisory group
✓	b) There have been strong and fully effective efforts made by Project Team to promote stakeholder ownership (of process or outcome)	IA strongly encouraged EA to subcontract Lao PDR government stakeholders.
	c) There was excellent (always effective, regular and well-timed) consultation and/or communication with stakeholder groups during the life of the project.	Survey results indicate that there was frequent engagement with stakeholders during the duration of the project. However, they had minimal impact on project decision making, and stakeholders were not completely representative of all stakeholder groups.
✓	d) Excellent support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)	Inter-ministerial collaboration was supported by the project. However, this is only one stakeholder group.  The Global Mercury Partnership helped support collaboration and collective action between stakeholder groups.
✓*	e) Linkages to poverty alleviation or impact on economic livelihoods have been considered and addressed in the project excellently (e.g. full consideration given and all attempts are complete and well-timed) to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made	Linkages to poverty alleviation and economic livelihoods made in the project document, and intentions were made to consult at risk communities. The project document claimed that the MIA was to assess and define at-risk populations.  The MIA report has a chapter on identifying populations at risk. Workshop targeting vulnerable groups conducted.  *Mitigation of negative impacts on livelihoods, equal opportunity, and human rights are not applicable for this project.
NA	f) Positive effects on equity are demonstrated.	NA

#### 14. Responsiveness to Human Rights and Gender Equity

**Rating:** Moderately Satisfactory

Criteria Rating	Criteria Description
Moderately Unsatisfactory	Evidence suggests human rights/ gender considerations are demonstrated in ALL of the items below: <ul style="list-style-type: none"> <li>a) project implementation ✓</li> <li>b) interpretation of results ✓</li> <li>c) project expenditure *</li> </ul>

Highly Satisfactory	Strong human rights/gender considerations in project implementation OR Project implementation improves on the gender score at approval (e.g. project approved with 1 score and implementation demonstrates 2a) OR Was approved as gender being n/a but demonstrated gender sensitivity or responsiveness during implementation.
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\*All project staff and contracted workers for this project are male.

96. The UNEP Evaluation Office Terminal Review Criteria Matrix contains 3 items (a-c) to evaluate the quality of stakeholders' participation and cooperation.
97. The project must satisfy all 3 items to receive a Moderately Unsatisfactory rating or higher. And have strong human rights and gender considerations in project implementation or improve on gender score to satisfy the Highly Satisfactory component.
98. The Project Document states that the project will ensure opportunities are provided for women to contribute and benefit from the project, a gender specialist will advise the project. The MIA report has a chapter on gender related mercury exposure. According to the survey data, during the project implementation, women were included as stakeholders. However, all project staff and contracted staff were male for this project.
99. At its core, this criterion aims to ensure the poor, vulnerable, and minority populations are given the opportunity to influence decisions affecting their lives and rights, and challenge unequal power relations. This project has taken significant action to bridge the gap between civil society and government in the ASGM sector.

## 15. Environmental and Social Safeguards

**Rating:** NA

Criteria Rating	Highly Satisfactory Criteria Description
NA	Evidence suggests safeguarding considerations are demonstrated in ALL the items below to a high level of quality, detail and consistency. <ul style="list-style-type: none"> <li>a) management plan for addressing safeguarding ✓</li> <li>b) review(s) of risk ratings - NA</li> <li>c) monitoring of project implementation for safeguarding issues - NA</li> <li>d) response (where relevant) to safeguarding issues - NA</li> <li>e) reporting on safeguarding issues/reporting that no safeguarding issues arose - NA</li> </ul>
NA	Environmental and social impacts to the key stakeholders and, in particular, to the most vulnerable groups are considered or taken into account to a large extent and positive equity gains have been observed.
NA	Frequent, planned and substantive efforts were made, by UNEP or its partners, to minimize the project's environmental footprint

100. The evaluator concurs with the Project Document that the MIA does not take direct action on the ground and its purpose is to assess the environmental and social impacts of mercury in Lao PDR.

## 16. Country Ownership and Driven-ness

**Rating:** Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
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Satisfactory	Evidence suggests that all Government ministries / public sector agencies that are essential for moving from outputs to project outcomes or from project outcomes to intermediate states took a leadership role in ALL of the following items.
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101.The UNEP Evaluation Office Terminal Review Criteria Matrix contains 5 items (a-e) to evaluate the level of country ownership and driven-ness.

102.The project satisfied all 5 items to receive a Highly Satisfactory rating.

103.The project did not satisfy item d) Initiating non-cost complementary or additional activities. Non-cost complementary or additional activities were performed by the EA, not the government.

104.All 5 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.

Criteria Met	Item	Comment/Evidence
✓	a) Strategic guidance of project delivery	National Steering Group
✓	b) Driving or advocating for change to achieve higher level results	The purpose of the MIA is to drive and catalyse change to achieve higher level results.
✓	c) Endorsing / accepting project results	MIA and NAP endorsed and validated by government
✗	d) Initiating non-cost complementary or additional activities	Driven by EA not government.
NA	e) Provision of in-kind and / or cash co-financing contributions; making provisions in forward-looking budgetary plans or securing additional external resources	NA

## 17. Communication and Public Awareness

**Rating:** Satisfactory

Criteria Rating	Highly Satisfactory Criteria Description
Satisfactory	Evidence suggests all the following items was completed.

105.The UNEP Evaluation Office Terminal Review Criteria Matrix contains 5 items (a-e) to evaluate the quality of communication and public awareness components of the project.

106.The project must satisfy all 5 items to receive a Highly Satisfactory rating.

107.The project does not satisfy the following Highly Satisfactory items:

- b) Strong communication activities and channels.
- d) Strong and comprehensive experience sharing between project partners and other interested groups / stakeholders.

108.Communication activities generally fell out of scope for this project. Survey indicated that there was a moderately unsatisfactory level of communication and knowledge sharing with project partners and interested groups.

109. All 5 items are listed below, along with the evaluator's comments regarding the project's qualification to satisfy the criteria.

Criteria Met	Item	Comment/Evidence
✓	a) All key audiences driving the desired change have strong awareness of project's main messages.	Survey data suggests the following stakeholder groups had awareness of project's main messages: <ul style="list-style-type: none"> <li>- Business and Industry</li> <li>- NGO</li> <li>- Scientific &amp; Technological Community</li> <li>- Women</li> <li>- Workers &amp; Trade Unions</li> <li>- Education &amp; Academia</li> <li>- Local Authorities</li> <li>- IGO</li> </ul>
	b) Communication activities and channels were: <ul style="list-style-type: none"> <li>• Well-targeted towards all key audiences</li> <li>• Continuous over the life of the project</li> <li>• Always interactive / responsive to audience feedback</li> <li>• Very well monitored</li> <li>• Fully budgeted/financed</li> </ul>	Out of scope.
✓	c) Communication / public awareness efforts have been highly effective in driving change towards results beyond outputs.	Effective towards implementing the Minamata Convention in Lao PDR
	d) Strong and comprehensive experience sharing between project partners and other interested groups / stakeholders.	Survey indicated that there was a moderately unsatisfactory level of communication and knowledge sharing with project partners and interested groups.
✓*	e) A strong and comprehensive communication plan/strategy was prepared and was fully implemented	Communication and outreach strategy created. *Implementation falls out of project scope.

## 6.0 Conclusions and Recommendations:

### 6.1 Conclusions:

110. The project has successfully reached the intended project outcome: to contribute to the implementation of the Minamata Convention through the reduction of the risks posed by the unsound use, management and releases of mercury, in particular in the ASGM sectors. Lao PDR has submitted their MIA and NAP to the Minamata Secretariat and is on its way towards fully implementing the Minamata Convention.
111. A noteworthy area of strength for the project was in Monitoring and Reporting. The project's progress was monitored and thoroughly reported. The reports included a highly detailed narrative report separated by component and activity, and included detailed descriptions of progress and explanations where needed. Management of issues that arose from the project were well documented and tracked. Most progress reports included annexes and supporting documents for further detail.
112. Some other key areas of strength for the project were in strategic priorities and financial management. The project aligned with UNEP's MTS, POW and strategic priorities, GEF strategic priorities, and was relevant to the regional environmental priorities. Financially, the project was on budget, approval and disbursement was timely. Expenditure reports were submitted on time without discrepancies.
113. An area for continuous development is quality of project design. With the project design, the theory of change was not included into the MIA as this project predates the ToC requirement in the project design phase. Secondly, operational context is becoming increasingly important factor in project design. Language barriers and low translation budgets caused delays in the project; hence, during the project design phase, a country's UN language literacy should be considered. Additionally, as developing countries impacted by the COVID-19 may not have the capacity to continue the project virtually. Lastly, projects designed through rights-based and whole-of-society approaches can increase the likelihood of achieving the project's intended impact.
114. Another area for continuous development is gender. The project went to great lengths to include a gender dimension to the project, the MIA and the data collected. However, the project fell short when gender equality was not reflected on its male-only payroll.
115. One area of weakness for this project was in expectation management and capacity assessment. It was evident from the interviews, survey, and reports, that the expectation to have high involvement of the Government of Lao PDR in the project was not initially made clear. Additionally, the scope of the work expected to be performed by the subcontracted government and its subsidiaries was also not made clear. Likewise, the expectations and roles of the national experts were not clearly defined at project design, hence, contracts initially issued by the Government of Lao PDR were not robust enough to encompass the deliverables required of them effectively. Furthermore, as the AGC was accountable to UNEP for the project, the AGC delivered high volume and quality outputs. However, this volume and quality of work exceeded the capacity of the PCD. The AGC performed the time-consuming effort of capacity building and capacity filling.
116. Lastly, another weakness of the project was politicised data. Underlying assumptions made to develop a national mercury inventory is vulnerable to exploitation from different interests. This was evident during the project when conflicting data was collected from different institutions on the same data point.

### 6.2 Lessons Learned

1. The stability of the National Project Coordinator role is vital to a project's success.
2. Capacity gaps (including language barriers), both individual and institutional, in less developed nations has a significant impact on project efficiency.
3. Management of cross-cultural teams requires clear communication and expectation management.

4. A key collaborator not included was the Lao Peoples Armed Forces as they have significant interest in the ASGM sector.
5. There is little to no established ASGM community nor relationship between government and ASGM sector in Lao PDR.
6. Mercury reporting data can be manipulated and politicised.

### **6.3 Recommendations**

1. Implement the NAP and recommendations from the MIA to fill gaps in institutions and policy to implement the Minamata Convention in Lao PDR.
2. Conduct baseline capacity assessment, individually and institutionally, during the project design phase to determine the level of the capacity building required for the project.
3. Include activity to scan for existing ASGM interest groups or communities in future NAP projects.
4. Work with at least one more individual within the main government agency to ensure that capacity and knowledge are retained if staff transition.
5. Set clear expectations for the level of government if the government is subcontracted to the EA.
6. Future project designs should contain a Theory of Change, and an operational context assessment that informs decisions that involve overcoming language barriers (budget for translations) or pandemic risk mitigation in developing nations (to set realistic deliverable deadlines).
7. Include external parties to ensure Minamata reporting data is not manipulated and politicised.

## Annexes

### Annex A. References

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## Annex B. Documents Consulted

<b>Project Documents</b>
GEF CEO Endorsement Appendix 1. Project Document
Project Budget: Original, Revision 1
<b>Project Output</b>
Minamata Initial Assessment Report
National Action Plan
ASGM Outreach Strategy
<b>Project Reports</b>
Progress Reports & Annexes: 2017S1, 2017S2, 2018S1, 2018S2, 2019S1, 2019S2, 2020S1, 2020S2, 2021S1
GEFID9622 Final Report & Annexes
Expenditure Reports: 2017Q2, 2017Q3, 2017Q4, 2018Q1 (25 April 2018), 2018Q2, 2018Q3, 2018Q4, 2019Q1, 2019Q2, 2019Q3, 2019Q4, 2020Q1, 2020Q2, 2020Q3, 2020Q4, 2021Q1, 2021Q2
<b>Other Documents:</b>
Project Cooperation Agreements (Original, Amendment 1, & Amendment 2)
Hg Inventory (UNEP Toolkit)
GEF Chemicals and Waste Unit Projects Master Spreadsheet

Annex C. Assessment of the Quality of Project Design

A.	Operating Context		YES/NO	Comments/Implications for the review design	Section Rating:
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	NO	× - Identifies conflict as risk to project  Risk not identified & risk event did not occur.  <b>Moderately Unsatisfactory = 3</b>	3.00
		ii)Ongoing/high likelihood of natural disaster?	NO	× - Identifies natural disaster as risk to project  Risk not identified & risk event did not occur.  <b>Moderately Unsatisfactory = 3</b>	
		iii)Ongoing/high likelihood of change in national government?	NO	× - Identifies change in national government as risk to project  Risk not identified & risk event did not occur.  <b>Moderately Unsatisfactory = 3</b>	
B.	Project Preparation		YES/NO	Comments/Implications for the review design	Section Rating:
2	Does the project document entail a clear and adequate problem and situation analysis?		YES	✓ - Problem and situation analysis present ✓ - Clear ✓ - Adequate  <b>Highly Satisfactory = 6</b>	5.25
4	Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings or indigenous peoples?		YES	✓ - Stakeholder Analysis present ✓ - Clear ✓ - Adequate ✓ - Includes gender/minority groupings and indigenous peoples	



			<b>Highly Satisfactory = 6</b>	
5	Does the project document provide a description of stakeholder consultation/participation during project design process? <i>(If yes, were any key groups overlooked: government, private sector, civil society, gendered groups and those who will potentially be negatively affected)</i>	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Includes stakeholder consultation/participation during project</li> <li>✓ - Includes government</li> <li>✓ - Includes private sector (&amp; health sector)</li> <li>✓ - Includes civil society</li> <li>✓ - Includes gendered groups</li> <li>✗ - Includes potentially negatively affected groups</li> </ul> <p>Perhaps there could have been some inclusion of potentially negatively affected groups within ASGM communities by their livelihood impact and find ways to help transition local people to move from ASGM to other forms of employment.</p> <p><b>Satisfactory = 5</b></p>	
6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development? (e.g. integrated approach to human/natural systems; gender perspectives, rights of indigenous people.	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Identifies concerns with respect to human rights</li> <li>✗ - Human rights are in relation to sustainable development</li> <li>✗ - Project preparation demonstrates a rights-based approach</li> </ul> <p>Most concerns with respect to human rights are marked with “No” or “Not Applicable” as MIA does not take direction action on the ground and has little direct downstream impacts. No clear indication that a rights-based approach was taken.</p> <p><b>Moderately Satisfactory = 4</b></p>	
<b>C</b>	<b>Strategic Relevance</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>

7	Is the project document clear in terms of its alignment and relevance to:	i) UNEP MTS and PoW	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Aligned and relevant to UNEP MTS</li> <li>✓ - Aligned and relevant to UNEP PoW</li> <li>✓ - Present in project document</li> <li>✓ - Clear in project document</li> </ul> <p>Project has high alignment with UNEP MTS and PoW. Only PoW mentioned, however, this feeds into the MTS so it was evaluated as included.</p> <p><b>Highly Satisfactory = 6</b></p>	<b>5.5</b>
		ii) UN Environment /GEF/Donor strategic priorities (including Bali Strategic Plan and South-South Cooperation)	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Aligned and relevant to GEF-7 Indicators and Sub-Indicators</li> <li>✗ - Present in project document</li> <li>✗ - Clear in project document</li> </ul> <p>Project has high alignment with GEF-7 strategic priorities. However, this was implied in the project document.</p> <p><b>Satisfactory = 5</b></p>	
		iii) Regional, sub-regional and national environmental priorities?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Aligned and relevant to environmental priorities of SIDs &amp; national government priorities</li> <li>✓ - Present in project document</li> <li>✓ - Clear in project document</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	
		iv. Complementarity with other interventions	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Complementarity with other interventions on POPs and SAICM</li> <li>✓ - Present in project document</li> <li>✗ - Clear in project document</li> </ul> <p>Project complements other interventions/MEAs. This was mentioned in the project document; however, it was not</p>	

			clearly stated. <b>Satisfactory = 5</b>	
<b>D</b>	<b>Intended Results and Causality</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
8	Is there a clearly presented Theory of Change?	<b>NO</b>	<ul style="list-style-type: none"> <li>× - ToC present in project document</li> <li>× - ToC clear in project document</li> </ul> <p>Implied in project logic.</p> <p><b>Unsatisfactory = 2</b></p>	<b>4.2</b>
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Causal pathways present in project document</li> <li>✓ - Causal pathways link long term &amp; collective change with project outcomes towards impacts</li> <li>× - Causal pathways clear in project document</li> <li>× - Causal pathways convincingly described in project document</li> </ul> <p>Implied in narrative and project plan.</p> <p><b>Moderately Satisfactory = 4</b></p>	
10	Are impact drivers and assumptions clearly described for each key causal pathway?	<b>YES</b>	<ul style="list-style-type: none"> <li>× - Impact drivers and assumptions described</li> <li>× - Impact drivers and assumptions described for each key causal pathway</li> <li>× - Impact drivers and assumptions are made clear in project document</li> </ul> <p>Somewhat implied in project logic.</p> <p><b>Moderately Unsatisfactory = 3</b></p>	
11	Are the roles of key actors and stakeholders, including	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Roles of key actors and stakeholders described</li> <li>✓ - Includes gendered/minority groups</li> </ul>	

	gendered/minority groups, clearly described for each key causal pathway?		<ul style="list-style-type: none"> <li>✓ - Roles of key actors and stakeholders linked to each key causal pathway</li> <li>✓ - Roles are clearly described</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	
1 2	Are the outcomes realistic with respect to the timeframe and scale of the intervention?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Outcomes realistic with respect to the timeframe and scale of the intervention</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	
<b>E</b>	<b>Logical Framework and Monitoring</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
1 3	Does the logical framework ...			5.14
	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	<b>NO</b>	No ToC included in project planning	
	ii) Have appropriate and 'SMART' results at output level?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Outputs are specific</li> <li>✓ - Outputs are measurable</li> <li>✓ - Outputs are attainable</li> <li>✓ - Outputs are realistic</li> <li>✓ - Outputs are time-bound</li> </ul>	
	iii) Have appropriate and 'SMART' results at outcome level?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Outcomes are specific</li> <li>✓ - Outcomes are measurable</li> <li>✓ - Outcomes are attainable</li> <li>✓ - Outcomes are realistic</li> <li>✓ - Outcomes are time-bound</li> </ul>	
	iv) Reflect the project's scope of work and ambitions?	<b>YES</b>	<b>Satisfactory = 5</b>	

1 4	Is there baseline information in relation to key performance indicators?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Baseline information present in project document</li> <li>✓ - KPIs present in project document</li> <li>✗ - Baseline information is related to KPIs</li> </ul> <p><b>Moderately Satisfactory = 4</b></p>	
1 5	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?	<b>YES</b>	<p>Targets are binary – done or not done. This is acceptable for an MIA. Quality of outcome/targets not specified.</p> <p><b>Satisfactory = 5</b></p>	
1 6	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Milestones present in monitoring plan</li> <li>✓ - Milestones are appropriate and sufficient</li> <li>✓ - Milestones track progress towards outputs and outcomes</li> <li>✓ - Milestones foster management towards outputs and outcomes</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	
1 7	Have responsibilities for monitoring activities been made clear?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Responsibilities are present for monitoring activities</li> <li>✓ - Responsibilities have been made clear</li> </ul> <p>No clarity around the required detail and quality of reports.</p> <p><b>Satisfactory = 5</b></p>	
1 8	Has a budget been allocated for monitoring project progress?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - budget been allocated for monitoring project progress</li> </ul> <p>Budget only allocated for monitoring and evaluation activities at the project close phase.</p> <p><b>Satisfactory = 5</b></p>	
1 9	Is the workplan clear, adequate and realistic? (eg. Adequate time	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - The work plan is clear</li> <li>✓ - The work plan is adequate</li> </ul>	

	<i>between capacity building and take up etc)</i>		✓ - The work plan is realistic  <b>Highly Satisfactory = 6</b>	
<b>F</b>	<b>Governance and Supervision Arrangements</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
20	Is the project governance and supervision model comprehensive, clear and appropriate? ( <i>Steering Committee, partner consultations etc.</i> )	<b>YES</b>	✓ - The project governance and supervision model is comprehensive ✓ - The project governance and supervision model is clear ✓ - The project governance and supervision model is appropriate  <b>Highly Satisfactory = 6</b>	<b>6</b>
21	Are roles and responsibilities within UNEP clearly defined? ( <i>If there are no stated responsibilities for UNEP Regional Offices, note where Regional Offices should be consulted prior to, and during the evaluation</i> )	<b>YES</b>	✓ - The roles and responsibilities within UNEP are defined ✓ - The roles and responsibilities within UNEP are clear  <b>Highly Satisfactory = 6</b>	
<b>G</b>	<b>Partnerships</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
22	Have the capacities of partners been adequately assessed?	<b>NO</b>	✗ - The capacities of partners have been assessed ✗ - The capacities of partners been adequately assessed  <b>Highly Unsatisfactory = 1</b>	<b>2.5</b>
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	<b>YES</b>	✓ - The roles and responsibilities of external partners are specified ? - The roles and responsibilities of external partners are appropriate to their capabilities	

			<p>Capabilities not assessed, therefore, whether the roles and responsibilities are appropriate is unevaluatable. However, it is a reasonable assumption that the national focal point would be capable of carrying out the MIA with UNEP support.</p> <p><b>Moderately Satisfactory = 4</b></p>	
<b>H</b>	<b>Learning, Communication and Outreach</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
2 4	Does the project have a clear and adequate knowledge management approach?	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - The project has a knowledge management approach</li> <li>✓ - The knowledge management approach is clear</li> <li>✓ - The knowledge management approach is adequate</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	<b>5.33</b>
2 5	Has the project identified appropriate methods for communication with key stakeholders, including gendered/minority groups, during the project life? <i>If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?</i>	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - The project identified appropriate methods for communication with key stakeholders</li> <li>✓ - Including gendered/minority groups</li> <li>✓ - During the project life</li> <li>✗ - Builds on an analysis of existing communication channels and networks used by key stakeholders</li> </ul> <p>Stakeholder Advisory Group formed for project.</p> <p><b>Satisfactory = 5</b></p>	
2 6	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	<b>YES</b>	<ul style="list-style-type: none"> <li>✓ - Plans are in place for dissemination of results and lesson sharing at the end of the project</li> <li>✗ - Builds on an analysis of existing communication channels and networks used by key stakeholders</li> </ul> <p><b>Satisfactory = 5</b></p>	

I	Financial Planning / Budgeting	YES/NO	Comments/Implications for the review design	Section Rating:
27	Are the budgets / financial planning adequate at design stage? ( <i>coherence of the budget, do figures add up etc.</i> )	YES	<ul style="list-style-type: none"> <li>✓ - The budget is coherent</li> <li>✓ - Financial planning is adequate</li> <li>✓ - The budget is within range in comparison to projects similar in size and scope</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	6
28	Is the resource mobilization strategy reasonable/realistic? ( <i>E.g. If the expectations are over-ambitious the delivery of the project outcomes may be undermined or if under-ambitious may lead to repeated no cost extensions</i> )	YES	<ul style="list-style-type: none"> <li>✓ - The resource mobilization strategy is reasonable</li> <li>✓ - The resource mobilization strategy is realistic</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	
J	Efficiency	YES/NO	Comments/Implications for the review design	Section Rating:
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	YES	<ul style="list-style-type: none"> <li>✓ - The duration of the project is appropriate</li> <li>✓ - The level of secured funding is appropriate</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	4.25
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	YES	<p>The project makes use of / builds upon pre-existing:</p> <ul style="list-style-type: none"> <li>✓ - Institutions</li> <li>✓ - Agreements and partnerships</li> <li>✓ - Data sources</li> <li>✓ - Synergies and complementarities with other initiatives</li> <li>✓ - Programmes and projects</li> </ul> <p><b>Highly Satisfactory = 6</b></p>	



3 1	Does the project document refer to any value for money strategies (i.e. increasing economy, efficiency and/or cost-effectiveness)?	YES	The project refers to the following in monetary value: <ul style="list-style-type: none"> <li>✘ - Return on Investment</li> <li>✘ - Costs mitigated</li> <li>✘ - Cost efficiency</li> <li>✓ - Cost reductions or effectiveness</li> </ul> <p><b>Moderately Satisfactory = 4</b></p>	
3 2	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the evaluation)</i>	YES	✘ - The project was completed within planned timeframe  Reasons for extension need further investigation.  <b>Highly Unsatisfactory = 1</b>	
<b>K</b>	<b>Risk identification and Social Safeguards</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
3 3	Are risks appropriately identified in both the TOC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC at Review Inception)</i>	<b>NO</b>	✘ - Risks to project identified in TOC ✘ - Risks to project identified in logic framework ✘ - Risks identified are appropriate  No risk analysis in project design phase.  <b>Highly Unsatisfactory = 1</b>	<b>3</b>
3 4	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>	<b>YES</b>	✓ - Environmental impacts assessed and potential negative impacts identified NA - Negative environmental impacts have a mitigation strategy ✘ - Economic impacts assessed and potential negative impacts identified ✘ - Negative economic impacts have a mitigation strategy ✓ - Social impacts assessed and potential negative impacts identified ✓ - Negative social impacts have a mitigation strategy	

			<p>Downstream economic impacts of changing the ASGM sector need to be assessed and addressed. People whose livelihood depends on the current ASGM practises (and products) will be impacted economically.</p> <p><b>Moderately Satisfactory = 4</b></p>	
3 5	<p>Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management and work implemented by UNEP partners)</i></p>	<b>YES</b>	<p>✘ - The project has mechanisms to reduce its negative environmental foot-print</p> <p>✘ - The project's mechanisms to reduce its environmental foot print is adequate.</p> <p>Due to the nature of the MIA, the negative environmental footprint is small to begin with. As a flagship environmental protection agency, UNEP needs to set the example here, and there are still measures that can be taken to reduce environmental impact.</p> <p><b>Moderately Satisfactory = 4</b></p>	
<b>L</b>	<b>Sustainability / Replication and Catalytic Effects</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
3 6	<p>Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?</p>	<b>YES</b>	<p>The design addresses the following sustainability issues:</p> <ul style="list-style-type: none"> <li>✓ - Socio-political</li> <li>✘ - Financial</li> <li>✓ - Institutional</li> <li>✓ - Environmental</li> </ul> <p><b>Satisfactory = 5</b></p>	<b>5</b>

3 7	Was there a credible sustainability strategy and/or appropriate exit strategy at design stage?	<b>NO</b>	<p>Project design included:</p> <ul style="list-style-type: none"> <li>✘ - Sustainability strategy</li> <li>✘ - Exit strategy</li> </ul> <p>Regarding sustainability, moving towards ratifying the convention, the project falls under a larger ongoing process of global ratification – and handing over the project to the Minamata Secretariat &amp; the local government to carry the project forward is implied.</p> <p>No exit strategy provided.</p> <p><b>Moderately Satisfactory = 4</b></p>	
3 8	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action? <i>(if yes, capture this feature in the reconstructed TOC at Review Inception)</i>	<b>YES</b>	<p>The design promotes the following action:</p> <ul style="list-style-type: none"> <li>✘ - Scaling up</li> <li>✘ - Replication</li> <li>✓ - Catalytic action</li> </ul> <p>MIA &amp; NAP leads to highlighting contextualised actions needed to ratify the convention.</p> <p><b>Highly Satisfactory = 6</b></p>	
<b>M</b>	<b>Identified Project Design Weaknesses/Gaps</b>	<b>YES/NO</b>	<b>Comments/Implications for the review design</b>	<b>Section Rating:</b>
3 9	Were recommendations made by the PRC adopted in the final project design? If no, what were the critical issues raised by PRC that were not addressed.	N/A		
4 0	Were there any critical issues not flagged by PRC?	N/A		

N	Gender Marker Score	SCOR E	Comments	No rating.
4 1	<p>What is the Gender Marker Score applied by UN Environment during project approval? (<i>This applies for projects approved from 2017 onwards</i>)</p> <p>UNEP Gender Scoring:  <b>0 = gender blind:</b> Gender relevance is evident but not at all reflected in the project document.  <b>1 = gender partially mainstreamed:</b> Gender is reflected in the context, implementation, logframe, <b>or</b> the budget.  <b>2a = gender well mainstreamed throughout:</b> Gender is reflected in the context, implementation, logframe, <b>and</b> the budget.  <b>2b = targeted action on gender:</b> (to advance gender equity): the principle purpose of the project is to advance gender equality.  <b>n/a = gender is not considered applicable:</b> A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.</p>	1	<p>✓ - Gender relevance is evident.</p> <p>Gender is reflected in the:</p> <p>✓ - context  ✓ - implementation  × - logframe  × - budget.</p> <p>× - The principle purpose of the project is to advance gender equality</p>	

	<b>SECTION</b>	<b>RATING (1-6)</b>	<b>WEIGHTING</b>	<b>TOTAL (Rating x Weighting)</b>
A	Operating Context	3.00	0.4	1.20
B	Project Preparation	5.25	1.2	6.30
C	Strategic Relevance	5.50	0.8	4.40
D	Intended Results and Causality	4.20	1.6	6.72
E	Logical Framework and Monitoring	5.14	0.8	4.11
F	Governance and Supervision Arrangements	6.00	0.4	2.40
G	Partnerships	2.50	0.8	2.00
H	Learning, Communication and Outreach	5.33	0.4	2.13
I	Financial Planning / Budgeting	6.00	0.4	2.40
J	Efficiency	4.25	0.8	3.40
K	Risk identification and Social Safeguards	3.00	0.8	2.40
L	Sustainability / Replication and Catalytic Effects	5.00	1.2	6.00
M	Identified Project Design Weaknesses/Gaps	6.00	0.4	2.40
			<b>TOTAL SCORE :</b>	4.59 <b>Satisfactory</b>

1 (Highly Unsatisfactory)	< 1.83	4 (Moderately Satisfactory)	>=3.5 <=4.33
2 (Unsatisfactory)	>= 1.83 < 2.66	5 (Satisfactory)	>4.33 <= 5.16
3 (Moderately Unsatisfactory)	>=2.66 <3.5	6 (Highly Satisfactory)	> 5.16



Annex D. Tracked Expenditure as reported in financial reports by component and budget line (Original and Revised)

Component	DESIGN Component	Update Component	2017		2018				2019				2020				2021		
			Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
	UNEP BUDGET LINE/OBJECT OF EXPENDITURE																		
10	PROJECT PERSONNEL COMPONENT																		
	1100	Project Personnel																	
1161	1101	Project coordinator																	
1161	1102	Project assistant																	
	1199	Sub-Total																	
	1200	Consultants w/m																	
1161	1201	Int'l consultant for inventory training and development or review																	
	1299	Sub-Total																	
	1300	Administrative Support																	
1161	1301	Project Financial Officer																	
	1600	Travel on official business (above staff)																	
1561	1601	Travel Project coordinator/project staff																	
	1699	Sub-Total																	
	1999	Component Total																	
20	SUB CONTRACT COMPONENT																		
	2100	Sub contracts (UN Organizations)																	
2261	2101	60,000	60,000							60,000								-60,000	
	2199	Sub-Total																	
	2200	Sub contracts (SSEA, PCAs, non UN)																	
	2201	Sub-contract for national implementation in Lao PDR																	
	2299	Sub-Total																	
	2999	Component Total																	
40	EQUIPMENT AND PREMISES COMPONENT																		
	4100	Expendable equipment (under 1,500 \$)																	
4261	4101	500	277																
	4199	Sub-Total																	
	4200	Non expendable equipment																	
4261	4201	500	500																
4261	4202	500	606																
	4299	Sub-Total																	
	4999	Component Total																	
50	MISCELLANEOUS COMPONENT																		
	5200	Reporting costs (publications, maps, NI)																	
5161	5201	Summary reports, visualization and diffusion of results																	
5161	5202	Preparation of final report																	
	5299	Sub-Total																	
	5300	Sundry (communications, postages)																	
5161	5301	300	40																
	5399	Sub-Total																	
	5500	Evaluation																	
5581	5501	Independent Terminal Evaluation																	
5161	5502	Independent Financial Audit																	
	5599	Sub-Total																	
	5999	Component Total																	
	TOTAL	61,800	61,423	0	0	0	0	0	0	60,000	0	0	0	0	0	0	0	-60,000	#NAME?

				Design Component 2	Update Component 2	Actual	2017		2018				2019				2020				2021		
							Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
							Minamata Initial Assessment (MIA) and National Action Plan (NAP) development 1	Minamata Initial Assessment (MIA) and National Action Plan (NAP) development 1															
<b>UNEP BUDGET LINE OBJECT OF EXPENDITURE</b>				US\$	US\$																		
<b>10</b>	<b>UMOJA C</b>	<b>1100</b>	<b>PROJECT PERSONNEL COMPONENT</b>																				
		1161	1101 Project coordinator			0																	
		1161	1102 Project assistant			0																	
		1199	Sub-Total			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		1200	Consultants w/m			0																	
		1161	1201 Int'l consultant for inventory training and development or review	30,000	100,235	113,220	11,324	12,913	50,973	-37,842	33,370	11,045	335	-9,145	-6,052	14,942	1,948	6,720	2,201	17,615	2,023	5,599	-4,749
		1299	Sub-Total	30,000	100,235	113,220	11,324	12,913	50,973	-37,842	33,370	11,045	335	-9,145	-6,052	14,942	1,948	6,720	2,201	17,615	2,023	5,599	-4,749
		1300	Administrative Support			0																	
		1161	1301 Project Financial Officer			0																	
		1600	Travel on official business (above staff)			0																	
		1561	1601 Travel Project coordinator/project staff	25,064	11,016	11,119	5,888	-3,831	2,108	2,295	5,684	2,136	-3,579	99	216	-17	134	71				272	-357
		1699	Sub-Total	25,064	11,016	11,119	5,888	-3,831	2,108	2,295	5,684	2,136	-3,579	99	216	-17	134	71	0	0	0	272	-357
		1999	Component Total	55,064	111,251	124,339	17,212	9,082	53,081	-35,547	39,054	13,181	-3,244	-9,046	-5,836	14,925	2,082	6,791	2,201	17,615	2,023	5,871	-5,106
<b>20</b>			<b>SUB CONTRACT COMPONENT</b>			0																	
		2100	Sub contracts (UN Organizations)			0																	
		2261	2101 UN Sub-contract			0																	
		2199	Sub-Total			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		2200	Sub contracts (SSFA, PCAs, non UN)			0																	
		2201	Sub-contract for national implementation in Lao PDR	435,300	407,906	417,867	18,939	6,948	84,629	162,439	18,215	-23,689	0	-4,832	5,258	142,338	4,983	2,639					
		2299	Sub-Total	435,300	407,906	417,867	18,939	6,948	84,629	162,439	18,215	-23,689	0	-4,832	5,258	142,338	4,983	2,639	0	0	0	0	0
		2999	Component Total	435,300	407,906	417,867	18,939	6,948	84,629	162,439	18,215	-23,689	0	-4,832	5,258	142,338	4,983	2,639	0	0	0	0	0
<b>40</b>			<b>EQUIPMENT AND PREMISES COMPONENT</b>			0																	
		4100	Expendable equipment (under 1,500 \$)			0																	
		4261	4101 Operational costs	2,000	764	1,078	1,000						76		2		1	-718				719	-2
		1199	Sub-Total	2,000	764	1,078	1,000	0	0	0	0	0	76	0	2	0	1	-718	0	0	0	719	-2
		4200	Non expendable equipment			0																	
		4261	4201 Computer, fax, photocopier, projector	5,500	1,000	1,500	1,000											-1,000				1,500	
		4261	4202 Software	2,500		606						558	48					-606				606	
		1299	Sub-Total	8,000	1,000	2,106	1,000	0	0	0	558	48	0	0	0	0	0	-1,606	0	0	0	2,106	0
		1999	Component Total	10,000	1,764	3,184	2,000	0	0	0	558	48	76	0	2	0	1	-2,324	0	0	0	2,825	-2
<b>50</b>			<b>MISCELLANEOUS COMPONENT</b>			0																	
		5200	Reporting costs (publications, maps, NI)			0																	
		5161	5201 Summary reports, visualization and diffusion of results	11,000	1,000	2,566									1,000	443	17	10				218	878
		5161	5202 Preparation of final report	3,000		1,939																	1,939
		6299	Sub-Total	14,000	1,000	4,505	0	0	0	0	0	0	0	0	1,000	443	17	10	0	0	0	218	878
		5300	Sundry (communications, postages)			0																	
		5161	5301 Communications (postage, bank transfers, etc)	2,000	20	1,056	27	-20	14	-1	14	6	-21					503			562	637	-691
		1399	Sub-Total	2,000	20	1,056	27	-20	14	-1	14	6	-21	0	0	0	0	503	0	562	637	-691	26
		5500	Evaluation			0																	
		5581	5501 Independent Terminal Evaluation			0																	
		5161	5502 Independent Financial Audit			0																	
		5999	Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		5999	Component Total	16,000	1,020	5,561	27	-20	14	-1	14	6	-21	0	1,000	443	17	513	0	562	855	187	1,865
			<b>TOTAL</b>	<b>516,364</b>	<b>521,941</b>	<b>550,951</b>	<b>38,178</b>	<b>16,010</b>	<b>137,724</b>	<b>126,891</b>	<b>57,841</b>	<b>-10,454</b>	<b>-3,189</b>	<b>-13,878</b>	<b>424</b>	<b>157,706</b>	<b>7,083</b>	<b>7,619</b>	<b>2,201</b>	<b>18,177</b>	<b>2,878</b>	<b>8,883</b>	<b>-3,143</b>



UNEP Budget Line/Component	Object of Expenditure	Design Component 3	Update Component 3	2017		2018				2019				2020				2021		
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
				MIA validation and NAP endorsement and submission to the Minamata Secretariat	MIA validation and NAP endorsement and submission to the Minamata Secretariat															
<b>UNEP BUDGET LINE/OBJECT OF EXPENDITURE</b>																				
<b>10</b>	<b>UOJA C</b>	<b>PROJECT PERSONNEL COMPONENT</b>																		
	<b>1100</b>	<b>Project Personnel</b>																		
	1161	1101																		
	1161	1102																		
		1199		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		1200																		
	1161	1201																		
		1299		0	14,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		1300																		
	1161	1301																		
		1600																		
	1561	1601		10,000	2,000															
		1699		10,000	2,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		1999		10,000	16,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>20</b>		<b>SUB CONTRACT COMPONENT</b>																		
		2100																		
	2261	2101																		
		2199		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		2200																		
		2201		20,000	20,000														9,148	
		2299		20,000	20,000	0	0	0	0	0	0	0	0	0	0	0	0	0	9,148	
		2999		20,000	20,000	0	0	0	0	0	0	0	0	0	0	0	0	0	9,148	
<b>40</b>		<b>EQUIPMENT and PREMISES COMPONENT</b>																		
		4100																		
	4261	4101		500	0															
		4199		500	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		4200																		
	4261	4201																		
	4261	4202																		
		4299		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		4999		500	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>50</b>		<b>MISCELLANEOUS COMPONENT</b>																		
		5200																		
	5161	5201		5,000																
	5161	5202		2,000	2,000															
		5299		7,000	2,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		5300																		
	5161	5301		700																
		5399		700	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		5500																		
	5581	5501																		
	5161	5502																		
		5599		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		5999		7,700	2,000	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
		<b>TOTAL</b>		<b>38,200</b>	<b>38,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,148</b>	

		Design	Update																	
		Project Management	Project Management	2017			2018				2019				2020				2021	
				Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
UNEP BUDGET LINE/OBJECT OF EXPENDITURE		US\$	US\$																	
<b>10</b>	<b>UNEP BUDGET LINE/OBJECT OF EXPENDITURE</b>	US\$	US\$																	
	<b>PROJECT PERSONNEL COMPONENT</b>																			
	<b>1100 Project Personnel</b>																			
1161	1101 Project coordinator	41,400	45,555	10,267	-1,330	13,974	786	8,802	5,020	5,368	2,667					1	-3,126	3,126		
1161	1102 Project assistant	22,200	18,045		873	2,007	84	49	10,997	1,483	1,524	613	147	267						
	1199 Sub-Total	63,600	63,600	10,267	-457	15,981	870	8,851	16,017	6,851	4,191	613	147	268	-3,126	3,126	0	0	0	
	<b>1200 Consultants w/m</b>																			
1161	1201 Int'l consultant for inventory training and development or review																			
	1299 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>1300 Administrative Support</b>																			
1161	1301 Project Financial Officer	0	0																	
	<b>1600 Travel on official business (above staff)</b>																			
1561	1601 Travel Project coordinator/project staff																			
	1699 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	1999 Component Total	63,600	63,600	10,267	-457	15,981	870	8,851	16,017	6,851	4,191	613	147	268	-3,126	3,126	0	0	0	
<b>20</b>	<b>SUB CONTRACT COMPONENT</b>																			
	<b>2100 Sub contracts (UN Organizations)</b>																			
2261	2101 UN Sub-contract																			
	2199 Sub-Total			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>2200 Sub contracts (SSFA, PCAs, non UN)</b>																			
	2201 Sub-contract for national implementation in Lao PDR																			
	2299 Sub-Total			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	2999 Component Total			0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>40</b>	<b>EQUIPMENT and PREMISES COMPONENT</b>																			
	<b>4100 Expendable equipment (under 1,500 \$)</b>																			
4261	4101 Operational costs	36	36																	
	4199 Sub-Total	36	36	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>4200 Non expendable equipment</b>																			
4261	4201 Computer, fax, photocopier, projector																			
4261	4202 Software																			
	4299 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	4999 Component Total	36	36	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>																			
	<b>5200 Reporting costs (publications, maps, NL)</b>																			
5161	5201 Summary reports, visualization and diffusion of results																			
5161	5202 Preparation of final report																			
	5299 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>5300 Sundry (communications, postages)</b>																			
5161	5301 Communications (postage, bank transfers, etc)																			
	5399 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>5500 Evaluation</b>																			
5581	5501 Independent Terminal Evaluation																			
5161	5502 Independent Financial Audit																			
	5599 Sub-Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	5999 Component Total	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>TOTAL</b>	<b>63,636</b>	<b>63,636</b>	<b>10,267</b>	<b>-457</b>	<b>15,981</b>	<b>870</b>	<b>8,851</b>	<b>16,017</b>	<b>6,851</b>	<b>4,191</b>	<b>613</b>	<b>147</b>	<b>268</b>	<b>-3,126</b>	<b>3,126</b>	<b>0</b>	<b>0</b>	<b>0</b>	

UNEP BUDGET LINE/OBJECT OF EXPENDITURE	Design	Update			2017				2018				2019				2020				2021	
			Monitoring and Evaluation	Monitoring and Evaluation	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	
<b>10</b>	<b>UNEP BUDGET LINE/OBJECT OF EXPENDITURE</b>																					
	<b>PROJECT PERSONNEL COMPONENT</b>																					
	<b>1100 Project Personnel</b>																					
1161	1101 Project coordinator																					
1161	1102 Project assistant																					
	1199 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>1200 Consultants w/m</b>																					
1161	1201 Intl consultant for inventory training and development or review																					
	1299 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>1300 Administrative Support</b>																					
1161	1301 Project Financial Officer																					
	<b>1600 Travel on official business (above staff)</b>																					
1561	1601 Travel Project coordinator/project staff																					
	1699 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	1999 Component Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>20</b>	<b>SUB CONTRACT COMPONENT</b>																					
	<b>2100 Sub contracts (UN Organizations)</b>																					
2261	2101 UN Sub-contract																					
	2199 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>2200 Sub contracts (SSFA, PCAs, non UN)</b>																					
	2201 Sub-contract for national implementation in Lao PDR																					
	2299 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	2999 Component Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>40</b>	<b>EQUIPMENT and PREMISES COMPONENT</b>																					
	<b>4100 Expendable equipment (under 1,500 \$)</b>																					
4261	4101 Operational costs																					
	4199 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>4200 Non expendable equipment</b>																					
4261	4201 Computer, fax, photocopier, projector																					
4261	4202 Software																					
	4299 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	4999 Component Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
<b>50</b>	<b>MISCELLANEOUS COMPONENT</b>																					
	<b>5200 Reporting costs (publications, maps, NL)</b>																					
5161	5201 Summary reports, visualization and diffusion of results																					
5161	5202 Preparation of final report																					
	5299 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>5300 Sundry (communications, postages)</b>																					
5161	5301 Communications (postage, bank transfers, etc)																					
	5399 Sub-Total				0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	<b>5500 Evaluation</b>																					
5581	5501 Independent Terminal Evaluation	10,000	10,000																			
5161	5502 Independent Financial Audit	10,000	5,000																		6,305	
	5599 Sub-Total	20,000	15,000																		6,305	
	5999 Component Total	20,000	15,000																		6,305	
	<b>TOTAL</b>	<b>20,000</b>	<b>15,000</b>																		<b>6,305</b>	

			ACTUAL EXPENDITURE					BUDGET ALLOCATION		ACTUAL EXPENDITURE								
			Componen t 1	Componen t 2	Componen t 3	PMC	M&E	Total (Design)	Total (Rev1)	2017	2018	2019	2020	2021	Total	Reported	Variation (Mapped Total - Reported total)	
			Global technical support for MIA and NAP development	Minamata Initial Assessment (MIA) and National Action Plan (NAP) development	MIA validation and NAP endorsement and submission to the Minamata Secretariat													
UNEP BUDGET LINE/OBJECT OF EXPENDITURE			US\$					US\$										
<b>10</b>	<b>UOJA C0</b>	<b>PROJECT PERSONNEL COMPONENT</b>																
		<b>1100 Project Personnel</b>																
	1161	1101 Project coordinator	41,400	0	0	0	45,555	0	41,400	45,555	22,911	19,976	2,668	0	0	45,555	45,555	0
	1161	1102 Project assistant	22,200	0	0	0	18,044	0	22,200	18,045	2,880	12,613	2,551	0	0	18,044	18,045	-1
		<b>1199 Sub-Total</b>	<b>63,600</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>63,599</b>	<b>0</b>	<b>63,600</b>	<b>63,600</b>	<b>25,791</b>	<b>32,589</b>	<b>5,219</b>	<b>0</b>	<b>0</b>	<b>63,599</b>	<b>63,600</b>	<b>0</b>
		<b>1200 Consultants w/m</b>																
	1161	1201 Int'l consultant for inventory training and development or review	30,000	0	113,220	0	0	0	30,000	114,235	75,210	6,908	1,693	28,559	850	113,220	113,218	2
		<b>1299 Sub-Total</b>	<b>30,000</b>	<b>0</b>	<b>113,220</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>30,000</b>	<b>114,235</b>	<b>75,210</b>	<b>6,908</b>	<b>1,693</b>	<b>28,559</b>	<b>850</b>	<b>113,220</b>	<b>113,218</b>	<b>2</b>
		<b>1300 Administrative Support</b>																
	1161	1301 Project Financial Officer	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
		<b>1600 Travel on official business (above staff)</b>																
	1561	1601 Travel Project coordinator/project staff	35,064	0	11,119	0	0	0	35,064	13,016	4,165	6,536	432	71	-85	11,119	11,118	1
		<b>1699 Sub-Total</b>	<b>35,064</b>	<b>0</b>	<b>11,119</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>35,064</b>	<b>13,016</b>	<b>4,165</b>	<b>6,536</b>	<b>432</b>	<b>71</b>	<b>-85</b>	<b>11,119</b>	<b>11,118</b>	<b>1</b>
		<b>1999 Component Total</b>	<b>128,664</b>	<b>0</b>	<b>124,339</b>	<b>0</b>	<b>63,599</b>	<b>0</b>	<b>128,664</b>	<b>190,851</b>	<b>105,166</b>	<b>46,033</b>	<b>7,344</b>	<b>28,630</b>	<b>765</b>	<b>187,938</b>	<b>187,938</b>	<b>0</b>
<b>20</b>		<b>SUB CONTRACT COMPONENT</b>																
		<b>2100 Sub contracts (UN Organizations)</b>																
	2261	2101 UN Sub-contract	60,000	0	0	0	0	0	60,000	60,000	0	0	60,000	-60,000	0	0	0	0
		<b>2199 Sub-Total</b>	<b>60,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>60,000</b>	<b>60,000</b>	<b>0</b>	<b>0</b>	<b>60,000</b>	<b>-60,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>
		<b>2200 Sub contracts (SSEA, PCAs, non UN)</b>																
	2201	2201 Sub-contract for national implementation in Lao PDR	455,300	0	417,867	9,148	0	0	455,300	427,906	110,516	156,965	147,747	2,639	9,148	427,015	427,014	1
		<b>2299 Sub-Total</b>	<b>455,300</b>	<b>0</b>	<b>417,867</b>	<b>9,148</b>	<b>0</b>	<b>0</b>	<b>455,300</b>	<b>427,906</b>	<b>110,516</b>	<b>156,965</b>	<b>147,747</b>	<b>2,639</b>	<b>9,148</b>	<b>427,015</b>	<b>427,014</b>	<b>1</b>
		<b>2999 Component Total</b>	<b>515,300</b>	<b>0</b>	<b>417,867</b>	<b>9,148</b>	<b>0</b>	<b>0</b>	<b>515,300</b>	<b>487,906</b>	<b>110,516</b>	<b>156,965</b>	<b>207,747</b>	<b>-57,361</b>	<b>9,148</b>	<b>427,015</b>	<b>427,015</b>	<b>0</b>
<b>40</b>		<b>EQUIPMENT and PREMISES COMPONENT</b>																
		<b>4100 Expendable equipment (under 1,500 \$)</b>																
	4261	4101 Operational costs	3,036	0	1,078	0	0	0	3,036	1,077	1,000	76	3	-718	717	1,078	1,077	1
		<b>4199 Sub-Total</b>	<b>3,036</b>	<b>0</b>	<b>1,078</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3,036</b>	<b>1,077</b>	<b>1,000</b>	<b>76</b>	<b>3</b>	<b>-718</b>	<b>717</b>	<b>1,078</b>	<b>1,077</b>	<b>1</b>
		<b>4200 Non expendable equipment</b>																
	4261	4201 Computer, fax, photocopier, projector	6,000	0	1,500	0	0	0	6,000	1,500	1,000	0	0	-1,000	1,500	1,500	1,500	0
	4261	4202 Software	3,000	0	606	0	0	0	3,000	606	0	606	0	-606	606	606	606	0
		<b>4299 Sub-Total</b>	<b>9,000</b>	<b>0</b>	<b>2,106</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>9,000</b>	<b>2,106</b>	<b>1,000</b>	<b>606</b>	<b>0</b>	<b>-1,606</b>	<b>2,106</b>	<b>2,106</b>	<b>2,106</b>	<b>0</b>
		<b>4999 Component Total</b>	<b>12,036</b>	<b>0</b>	<b>3,184</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>12,036</b>	<b>3,183</b>	<b>2,000</b>	<b>682</b>	<b>3</b>	<b>-2,324</b>	<b>2,823</b>	<b>3,184</b>	<b>3,184</b>	<b>0</b>
<b>50</b>		<b>MISCELLANEOUS COMPONENT</b>																
		<b>5200 Reporting costs (publications, maps, NL)</b>																
	5161	5201 Summary reports, visualization and diffusion of results	16,000	0	2,566	0	0	0	16,000	1,000	0	0	1,460	228	878	2,566	2,566	0
	5161	5202 Preparation of final report	5,000	0	1,939	0	0	0	5,000	2,000	0	0	0	0	1,939	1,939	1,939	0
		<b>5299 Sub-Total</b>	<b>21,000</b>	<b>0</b>	<b>4,505</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>21,000</b>	<b>3,000</b>	<b>0</b>	<b>0</b>	<b>1,460</b>	<b>228</b>	<b>2,817</b>	<b>4,505</b>	<b>4,505</b>	<b>0</b>
		<b>5300 Sundry (communications, postages)</b>																
	5161	5301 Communications (postage, bank transfers, etc)	3,000	0	1,056	0	0	0	3,000	60	21	-2	0	1,702	-665	1,056	1,057	-1
		<b>5399 Sub-Total</b>	<b>3,000</b>	<b>0</b>	<b>1,056</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>3,000</b>	<b>60</b>	<b>21</b>	<b>-2</b>	<b>0</b>	<b>1,702</b>	<b>-665</b>	<b>1,056</b>	<b>1,057</b>	<b>-1</b>
		<b>5500 Evaluation</b>																
	5581	5501 Independent Terminal Evaluation	10,000	0	0	0	0	0	10,000	10,000	0	0	0	0	0	0	0	0
	5161	5502 Independent Financial Audit	10,000	0	0	0	0	6,305	10,000	5,000	0	0	0	0	6,305	6,305	6,305	0
		<b>5599 Sub-Total</b>	<b>20,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6,305</b>	<b>20,000</b>	<b>15,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>6,305</b>	<b>6,305</b>	<b>6,305</b>	<b>0</b>
		<b>5999 Component Total</b>	<b>44,000</b>	<b>0</b>	<b>5,561</b>	<b>0</b>	<b>0</b>	<b>6,305</b>	<b>44,000</b>	<b>18,060</b>	<b>21</b>	<b>-2</b>	<b>1,460</b>	<b>1,930</b>	<b>8,457</b>	<b>11,866</b>	<b>11,866</b>	<b>0</b>
		<b>TO TAL.</b>	<b>700,000</b>	<b>0</b>	<b>550,951</b>	<b>9,148</b>	<b>63,599</b>	<b>6,305</b>	<b>700,000</b>	<b>700,000</b>	<b>217,703</b>	<b>203,678</b>	<b>216,554</b>	<b>-29,125</b>	<b>21,193</b>	<b>630,003</b>	<b>630,003</b>	<b>0</b>

## TERMS OF REFERENCE

### Terminal Review of the UNEP/GEF project “Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Lao PDR” and “GEF ID 9622”

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

##### 1. Project General Information

Table 1. Project summary

<b>UNEP Sub-programme:</b>	5	<b>UNEP Division/Branch:</b>	<b>Economy/Chemicals and Health</b>
<b>Expected Accomplishment(s):</b>	5(a) 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>GEF Core Indicator Targets (identify these for projects approved prior to GEF-7<sup>1</sup>)</b>	n/a		
<b>Dates of previous project phases:</b>	n/a	<b>Status of future project phases:</b>	n/a

##### FROM THE PROJECT’S PIR REPORT (use latest version) :

<b>Project Title:</b>	Development of Minamata Initial Assessment and National Action Plan for Artisanal and Small-Scale Gold Mining in Lao PDR
<b>Executing Agency:</b>	Artisanal Gold Council

<sup>1</sup> This does not apply to Enabling Activities

<b>Project partners:</b>	Global Mercury Partnership; Pollution Control Department, Ministry of Natural Resources and the Environment Lao PDR, Chemicals and Health Branch
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<b>Geographical Scope:</b>	National
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<b>Participating Countries:</b>	Lao PDR
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<b>GEF project ID:</b>	9622	<b>IMIS number*<sup>2</sup>:</b>	01453
<b>Focal Area(s):</b>	Chemicals and Waste	<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>	20 October 2016
<b>UNEP approval date:</b>	10 March 2017	<b>Date of first disbursement*:</b>	01 March 2017
<b>Actual start date<sup>3</sup>:</b>	05 April 2017	<b>Planned duration:</b>	24 months
<b>Intended completion date*:</b>	28 February 2020	<b>Actual or Expected completion date:</b>	30 June 2020
<b>Project Type:</b>	Enabling Activity	<b>GEF Allocation*:</b>	\$700,000
<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>	\$700,000
<b>Mid-term Review/eval. (planned date):</b>	n/a	<b>Terminal Evaluation (planned date):</b>	Q2 2020
<b>Mid-term Review/eval. (actual date):</b>	n/a	<b>No. of revisions*:</b>	2
<b>Date of last Steering Committee meeting:</b>	n/a	<b>Date of last Revision*:</b>	25 September 2021
<b>Disbursement as of 30 June 2017*:</b>	\$617,689.00	<b>Date of planned financial closure*:</b>	31 August 2021
<b>Date of planned completion<sup>4</sup>:</b>	30 June 2020	<b>Actual expenditures reported as of 30 June 2015<sup>5</sup>:</b>	\$679,999.00

<sup>2</sup> Fields with an \* sign (in yellow) should be filled by the Fund Management Officer

<sup>3</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.

<sup>4</sup> If there was a “Completion Revision” please use the date of the revision.

<sup>5</sup> Information to be provided by Executing Agency/Task Manager

<b>Total co-financing realized as of 31 December [year]:</b>	n/a	<b>Actual expenditures entered in IMIS as of 31 December 2017*:</b>	\$679,999.00
<b>Leveraged financing:<sup>6</sup></b>	n/a		

## 2. Project Rationale<sup>7</sup>

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 . It identifies two entities that will function as the Financial Mechanism:

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

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

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

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). This document was complemented by the "Guidance document on the preparation of national action plans for artisanal and small-scale gold mining , adopted by the Conference of the Parties (COP) (decision MC-1/13).

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.

On 9<sup>th</sup> May 2016, the SAICM national focal point in Lao PDR notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On 9<sup>th</sup> May 2016, the GEF Operational Focal Point of Lao PDR endorsed the development of a Minamata Initial Assessment and an ASGM National Action Plan in Lao PDR with GEF funding, and UNEP's technical support. The project was developed based on the guidelines for Minamata Initial Assessments, developed by the GEF Secretariat, and National Action Plans, approved by the Minamata COP. On 11<sup>th</sup> May 2016 the Minister of Natural Resources and Environment sent a letter stating that Lao PDR was taking meaningful steps towards becoming a Party to the Minamata Convention on Mercury and requested for consideration as eligible for financial support for enabling activities. The GEF Chief

<sup>6</sup> See above note on co-financing

<sup>7</sup> Grey =Info to be added

Executive Officer endorsed the project on 20<sup>th</sup> October 2016 as part of GEF's efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 "develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes"; program 2 "support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring".

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

The project was aimed at facilitating the ratification and early implementation of the Minamata Convention and contribute to the protection of human health and the environment from the risks posed by unintentional and intentional emissions and releases, unsound use and management of mercury in Lao PDR.

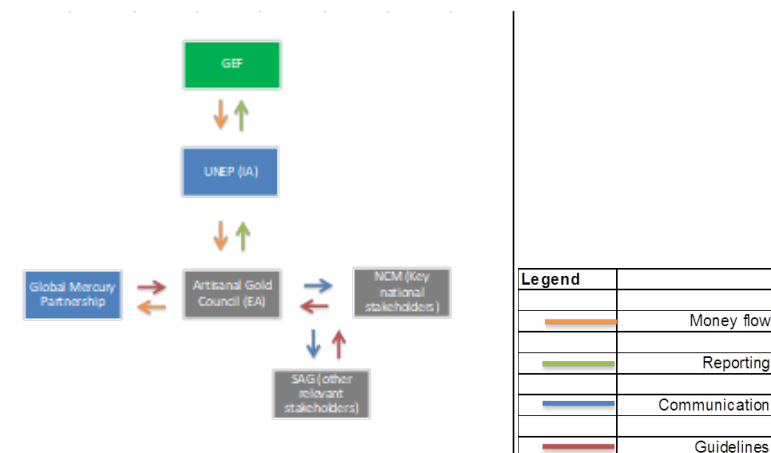
Lao PDR accessed the Minamata Convention on 21<sup>st</sup> September 2017.

### **3. Project Results Framework**



<b>Project Outcome:</b> Minamata Initial Assessment and National Action Plan for the ASGM sector developed and endorsed by the national government and key stakeholders facilitating the ratification and early implementation of the Minamata Convention in Lao PDR.			
<b>Project Objective:</b> 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, unsound use and management of mercury in Lao PDR.			
<b>Project Components</b>	<b>Project Outputs</b>	<b>(in \$)</b>	
		<b>GEF Project Financing</b>	<b>Confirmed Co-financing<sup>1</sup></b>
1. Global technical support for MIA and NAP development	1.1 Training and guidance provided to relevant national stakeholders in Lao PDR to develop a MIA and develop and implement a NAP as per Annex C of the Minamata Convention	61,800	
2. Minamata Initial Assessment (MIA) and National Action Plan (NAP) development	2.1 Identified and strengthened national coordination mechanisms and stakeholder advisory groups that will guide the project implementation	516,364	0
	2.2 National institutional and regulatory framework and national capacities on mercury management assessed		
	2.3 National inventories of mercury sources and releases and strategy for the identification of mercury contaminated sites developed		
	2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed		
	2.5 Draft NAP developed as per Annex C of the Minamata Convention		
3. MIA validation and NAP endorsement and submission to the Minamata Secretariat	3.1 Technical support provided to participating countries to facilitate the MIA validation and NAP endorsement and submission to the Minamata Secretariat.	38,200	
Subtotal		616,364	0
Project Management Cost <sup>2</sup>		63,636	0
Monitoring and Evaluation		20,000	0
<b>Total Project Cost</b>		<b>700,000</b>	<b>0</b>

#### 4. Executing Arrangements



## 5. Project Cost and Financing

For project budget broken down per component see table above under section 3. Project Results Framework.

Expenditures in 2021:

Quarter of 2021	Cumulative expenditure in 2021
Q1	\$8,883
Q2	\$21,193

Total expenditures (from start of the project):

	Cumulative expenditure in 2021
UNEP expenditures	\$50,000
EA expenditures	\$629,999.00
Total expenditures	\$679,999.00

## 6. Implementation Issues

Because of delays - resulting from a lack of candidates, withdrawals of selected candidates, etc - in hiring for certain positions at the start of the project, some activities were delayed. Other delays resulted from internal issues in the country's Pollution Control Department (PCD).

## Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

### 7. Objective of the Review

In line with the UNEP Evaluation Policy<sup>8</sup> and the UNEP Programme Manual<sup>9</sup>, the Terminal Review (TR) is undertaken at operational 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, Global Mercury Partnership; Pollution Control Department, Ministry of Natural Resources and the Environment Lao PDR, Chemicals and Health Branch. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

## 8. Key Review principles

Review 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.

**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 consultant(s)’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultant(s) 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.

**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 reviews. 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.

**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 consultant will plan with the Task Manager 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.

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<sup>8</sup> <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

<sup>9</sup> <https://wecollaborate.unep.org>

## 9. Key Strategic Questions

In addition to the review criteria outlined in Section 10 below, the Review will address the **strategic questions**<sup>10</sup> listed below (no more than 3 questions are recommended). These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution. Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

Q1: Has the project facilitated the ratification of the Minamata Convention by Lao PDR?

Q2: Why Lao PDR has not yet ratified the Minamata Convention?

Q3: Has the project facilitated the early implementation of the Minamata Convention?

Q4: Are national stakeholders aware of their obligations under the Convention?

Q5: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project's performance?

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report**:

- a) Under Monitoring and Reporting/Monitoring of Project Implementation:

What was the performance at the project's-completion against Core Indicator Targets? (For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided<sup>11</sup>).

- b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:

What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*

- c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:

What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*

- d) Under Factors Affecting Performance/Environmental and Social Safeguards:

What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this Review should be shared with the Task Manager for uploading in the GEF Portal)*

- e) Under Factors Affecting Performance/Communication and Public Awareness:

What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

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<sup>10</sup> The strategic questions should not duplicate questions that will be addressed under the standard review criteria described in section 10.

<sup>11</sup> This does not apply to Enabling Activities

## 10. Review Criteria

All review criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the review criteria. The set of review 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 availability 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.

Annex 1 of these Terms of Reference provides a table with a list of various tools, templates and guidelines that can help Review Consultant(s) to follow a thorough review process that meets all of UNEP's needs.

### A. Strategic Relevance

The Review will assess the extent to which the activity is suited to the priorities and policies of the donors, implementing regions/countries and the target beneficiaries. 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. 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's Medium-Term Strategy<sup>12</sup> (MTS), Programme of Work (POW) and Strategic Priorities**

The Review should assess the project's alignment with the 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. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>13</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.

#### ii. **Alignment to Donor/GEF/Partner Strategic Priorities**

Donor strategic priorities will vary across interventions. The Review will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

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

The Review will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. 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 will also be considered. 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. Within

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<sup>12</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP'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>13</sup> <http://www.unep.fr/ozonaction/about/bsp.htm>

this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

**iv. Complementarity with Relevant Existing Interventions/Coherence<sup>14</sup>**

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization<sup>15</sup>, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies within the same country, sector or institution) 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

**B. Quality of Project Design**

The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established. The complete Project Design Quality template should be annexed in the Review Inception Report. Later, the overall Project Design Quality rating<sup>16</sup> should be entered in the final review 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 within the body of the Main Review Report.

*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**

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>17</sup>). This rating is entered in the final review ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or *Highly Unfavourable* external operating context, 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.

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<sup>14</sup> This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

<sup>15</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.

<sup>16</sup> In some instances, based on data collected during the review process, the assessment of the project's design quality may change from Inception Report to Main Review Report.

<sup>17</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. From March 2020 this should include the effects of COVID-19.

## **D. Effectiveness**

### **i. Availability of Outputs<sup>18</sup>**

The Review will assess the project's success in producing the programmed outputs and making them available to the intended beneficiaries as well as its success in 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 provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in delivering 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>19</sup>

### **ii. Achievement of Project Outcomes<sup>20</sup>**

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed<sup>21</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. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes 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**

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

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<sup>18</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>19</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.

<sup>20</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>21</sup> UNEP staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during a review 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 review.

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 reviews is outlined in a guidance note 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.

The Review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Review will consider the extent to which the project has played a catalytic role<sup>22</sup> or has promoted scaling up and/or replication as part of its Theory of Change (either explicitly as in a project with a demonstration component or implicitly as expressed in the drivers required to move to outcome levels) and as factors that are likely to contribute to greater or long lasting impact.

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-lasting or broad-based changes. However, the Review 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)
- 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 Review will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The Review 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 Review will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The Review will assess the level of communication between the Project Manager and the Fund Management Officer

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<sup>22</sup> The terms *catalytic effect*, *scaling up* and *replication* are inter-related and generally refer to extending the coverage or magnitude of the effects of a project. *Catalytic effect* is associated with triggering additional actions that are not directly funded by the project – these effects can be both concrete or less tangible, can be intentionally caused by the project or implied in the design and reflected in the TOC drivers, or can be unintentional and can rely on funding from another source or have no financial requirements. *Scaling up* and *Replication* require more intentionality for projects, or individual components and approaches, to be reproduced in other similar contexts. *Scaling up* suggests a substantive increase in the number of new beneficiaries reached/involved and may require adapted delivery mechanisms while *Replication* suggests the repetition of an approach or component at a similar scale but among different beneficiaries. Even with highly technical work, where scaling up or replication involves working with a new community, some consideration of the new context should take place and adjustments made as necessary.



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**

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.

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.

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>23</sup> with other initiatives, programmes and projects etc. to increase project efficiency.

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.

*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**

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***

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>24</sup> results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the Review 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.

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<sup>23</sup> Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

<sup>24</sup> SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

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

The Review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards project 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, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it 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.

The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

## **iii. Project Reporting**

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)

## **H. Sustainability**

Sustainability<sup>25</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 (i.e. '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**

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**

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project outcomes may be dependent on a continuous flow of action

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<sup>25</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)

that needs to be resourced for them to be maintained, e.g. continuation of a new natural 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**

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

## **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 review criteria, above. If these issues have not been addressed under the Review Criteria above, then independent summaries of their status within the reviewed project should be given in this section)*

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

This criterion focuses on the inception or mobilisation stage of the project (i.e. 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**

For GEF funded projects 'project management and supervision' may refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as Implementing Agency. The performance of parties playing different roles should be discussed and a rating provided for both types of supervision (UNEP/Implementing Agency; Partner/Executing Agency) and the overall rating for this sub-category established as a simple average of the two.

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.); maintaining project relevance within changing external and strategic contexts; 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**

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 and the executing partner(s). 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.

The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval.

### **iv. Responsiveness to Human Rights and Gender Equality**

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>26</sup>.

The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equality and Human Rights are adequately taken into account. 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 and those living with disabilities) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially women, youth and children and those living with disabilities) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent.

### **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 Review will confirm whether UNEP requirements<sup>27</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 reviewed above under Quality of Project Design).

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<sup>26</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)

<sup>27</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.

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

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

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

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**

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

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

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

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

The findings of the Review will be based on the following

- (a) A **desk review** of:
  - Relevant background documentation, inter alia GEF guidance on MIAs and Minamata Convention;

- 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);
- Evaluations/Reviews of similar projects.

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

- UNEP Task Manager (TM);
- Project Manager (PM)
- Project management team;
- UNEP Fund Management Officer (FMO);
- Portfolio Manager and Sub-Programme Coordinator, where appropriate;
- Project partners, list to be obtained from the executing agency and cross-checked with the TM.
- Relevant resource persons;
- Representatives from civil society and specialist groups (such as women's, farmers and trade associations etc).

(c) **Other data collection tools**

## 11. Review Deliverables and Review Procedures

The Review Consultant will prepare:

- **Inception Report:** (see Annex 1 for a list of 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:** containing an executive summary that can act as a stand-alone document; detailed analysis of the review findings organised by review criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

A **Review Brief** (a 2-page overview of the evaluation and review 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.

**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.

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.

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

The Review Consultant will work under the overall responsibility of the Task Manager, Ludovic Bernaudat, in consultation with the Fund Management Officer, Anuradha Shenoy, the Portfolio Manager, Kevin Helps, and the Sub-programme Coordinators, Tessa Govern.

The Review 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 (where applicable) 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 as per cover TORs.

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 Review Consultant will ensure that all review criteria and questions are adequately covered.

## 13. Schedule of the Review

The table below presents the tentative schedule for the Review.

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

<b>Milestone</b>	<b>Tentative Dates</b>
Inception Report	31 October 2021
Review Mission	n/a
E-based interviews, surveys etc.	30 November 2021
PowerPoint/presentation on preliminary findings and recommendations	15 December 2021
Draft Review Report to Task Manager (and Project Manager)	20 December 2021
Draft Review Report shared with wider group of stakeholders	31 December 2021
Final Review Report	31 January 2022
Final Review Report shared with all respondents	31 January 2022

## 14. Contractual Arrangements

The Review Consultant(s) 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.

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:

Schedule of Payment:

Deliverable	Percentage Payment
Approved Inception Report (as per Annex I document #9)	30%
Approved Draft Main Review Report (as per Annex I document #10)	30%
Approved Final Main Review Report	40%

Fees only contracts: Where applicable, 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.

The consultant may be provided with access to UNEP’s information management systems (e.g. PIMS, Anubis, SharePoint, etc.) 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.

In case the consultant is 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 Head of Branch or Portfolio Manager until the consultants have improved the deliverables to meet UNEP’s quality standards.

If the consultant fails to submit a satisfactory final product to the Project Manager 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 or completion.