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**Terminal Evaluation of the UN Environment Project  
“Global Project on the Updating of National Implementation Plans  
for POPs”**

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**VOLUME I  
MAIN EVALUATION REPORT**



**Evaluation Office of UN Environment**

**June 2019**



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Global Project on the Updating of National Implementation Plans for POPs  
GEF IDs 5307 and 5525 (add-on to umbrella FSP project)

06/19

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**List of acronyms and abbreviations**

UN	United Nations
BRS	Basel, Rotterdam and Stockholm Secretariat
DDT	Dichloro diphenyl trichloroethane
DTIE	Division of Technology, Industry and Economy
GEF	Global Environment Facility
ICA	Internal Cooperation Agreement
IFCS	Intergovernmental Forum on Chemical Safety
M&E	Monitoring and Evaluation
NGO	Non-Governmental Organizations
NIP	National Implementation Plan
PCBs	Polychlorinated Biphenyls
PDF	Proposal for Project Development Funds
PIC	Prior Informed Consent
PIF	Project Identification Form
PIR	Project Implementation Review
POPs	Persistent Organic Pollutants
SC	Stockholm Convention
TE	Terminal Evaluation
UN	United Nations
ToR	Terms of Reference
DTIE	Division of Technology, Industry, and Economics
EA	Executing Agency
IA	Implementing Agency
ToC	Theory of Change
ProDoc	Project Document

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This Terminal evaluation was prepared for the Evaluation Office of UN Environment by Cristóbal Vignal, Senior Evaluation Expert, as the Lead Consultant, with substantive contributions from Suman Lederer, Petr Sharov and Katim S. Touray. The report benefits from a peer review conducted within the Evaluation Office of UN Environment.

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### **Evaluation team**

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Cristóbal Vignal acquired, as part of advanced studies in oceanography, in depth training in fluid mechanics, meteorology, earth sciences, chemistry, physics and geology. He is enjoying over 25 years of experience at senior level as manager, advisor, principal specialist, expert and evaluator both with the UN, and as independent advisor and senior consultant.

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## ABOUT THE EVALUATION

**Joint Evaluation:** No

**Report Language(s):** English

**Evaluation Type:** Terminal Project Evaluation

This Terminal Evaluation, composed of a main Evaluation Report and two Volumes of Supplementary Material was undertaken at completion of the full-size and medium size GEF “Global Project on the Updating of National Implementation Plans for POPs.

The projects’ overall objective, as stated in the Project Identification Form (PIF) is: To assist countries to review and update their National Implementation Plans (NIP) in order to comply with reporting obligations (Article 15<sup>1</sup>) and/or, updating of NIPs (Article 7<sup>2</sup>) under the Stockholm Convention (SC).

**Key words:** Sound Management of Chemicals; SMOC; Small Island Developing States; SIDS; Small Islands; Governance; Persistent Organic Pollutants; POPs; Stockholm Convention; NIPs

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<sup>1</sup> Article 15 Reporting

Each Party shall report to the Conference of the Parties (CoP) on the measures it has taken to implement the provisions of this Convention and on the effectiveness of such measures in meeting the objectives of the Convention.

Each Party shall provide to the Secretariat:

Statistical data on its total quantities of production, import and export of each of the chemicals listed in Annex A and Annex B or a reasonable estimate of such data; and

To the extent practicable, a list of the States from which it has imported each such substance and the States to which it has exported each such substance.

Such reporting shall be at periodic intervals and in a format to be decided by the CoP at its first meeting.

<sup>2</sup> Article 7 Implementation Plans

Each Party shall:

- Develop and endeavor to implement a plan for the implementation of its obligations under this Convention;
- Transmit its implementation plan to the CoP within two years of the date on which this Convention enters into force for it; and
- Review and update, as appropriate, its implementation plans on a periodic basis and in a manner to be specified by a decision of the CoP.

The Parties shall, where appropriate, cooperate directly or through global, regional and sub regional organizations, and consult their national stakeholders, including women’s groups and groups involved in the health of children, in order to facilitate the development, implementation and updating of their implementation plans.

The Parties shall endeavor to utilize and, where necessary, establish the means to integrate NIPs for POPs in their sustainable development strategies where appropriate.



## Project Identification Table

**Table 1: Project Summary – GEF ID 5307 and 5525**

<b>GEF project IDs:</b>	5307 and 5525	<b>Executing Agency</b>	UN Environment and participating National Governments
<b>Sub-programme:</b>	Chemicals and Waste	<b>Expected Accomplishment(s):</b>	Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related multilateral environmental agreements
<b>UNEP approval date:</b>	November 2013	<b>PoW Output(s):</b>	Methodologies to monitor and evaluate impact of actions addressing chemicals releases to support sound management of harmful substances and MEA implemented at the national level
<b>GEF OP #:</b>	GEF-4	<b>Focal Area(s):</b>	Persistent Organic Pollutants (POPs)
<b>GEF approval date:</b>	5307 - August 2013 5525 – November 2013	<b>GEF Strategic Priority/Objective:</b>	CHEM 4 POPs enabling activity
<b>Expected Start Date:</b>	April 2014	<b>Actual start date:</b>	Differs for each country
<b>Planned completion date:</b>	May 2016	<b>Actual completion date:</b>	Differs for each country
<b>First Disbursement:</b>	Differs for each country	<b>Date of financial closure:</b>	Differs for each country
<b>No. of revisions:</b>	5307 – One revision	<b>Date of last revision:</b>	5307 – November 2016 <sup>3</sup>
<b>Mid-term review/ evaluation (planned date):</b>	N/A	<b>Mid-term review/ evaluation (actual date):</b>	N/A
<b>Date of last Steering Committee meeting:</b>	Differs for each country	<b>Terminal Evaluation (actual date):</b>	From December 2018
<b>GEF ID 5307</b>			
<b>Coverage - Countries:</b>	Afghanistan, Albania, Argentina, Benin, Burundi, Cameroon, Chile, Croatia, Djibouti, Equatorial Guinea, Egypt, Gambia, Georgia, Ghana, Kiribati, Kyrgyz Republic, Lebanon, Libyan Arab Jamahiriya, Madagascar, Malawi, Malaysia, Montenegro, Paraguay, Samoa, Solomon Islands, Tuvalu, Uruguay <sup>4</sup>		<b>Coverage - Regions:</b> Global - Africa, West Asia, Europe, Asia and the Pacific, Latin America and the Caribbean
<b>Project Type:</b>	FSP Full-size project (umbrella)		
<b>Planned project budget at approval (GEF ID5307):</b>	US\$ 10,465,753	<b>Total expenditures reported:</b>	6,014,043.45
<b>GEF Allocation:</b>	US\$ 4,965,753	<b>GEF grant expenditures reported as of [date]:</b>	3,482,816.65
<b>Expected FSP co-financing:</b>	US\$ 5,500,000	<b>Secured FSP co-financing:</b>	2,531,226.80
<b>Dates of previous project phases:</b>	Initial NIPs for POPs projects	<b>Status of future project phases:</b>	UN Environment is preparing a large follow-up project for GEF-7
<b>GEF ID 5525</b>			

<sup>3</sup> Extension request was prepared in November 2016 by Portfolio Manager and approved by the Director in January 2017

<sup>4</sup> Equatorial Guinea was cancelled due to lack of responses regarding agreement to proceed with implementation; Malaysia is now an OECD country (not at time of project preparation); Libya was suspended due to lack of progress/response

<b>Coverage - Countries:</b>	Sierra Leone, Yemen <sup>5</sup> , Cook Islands, Marshall Islands, Tonga, Papua New Guinea, Pakistan, Palau, and Nauru	<b>Coverage - Regions:</b>	Global (Africa and Asia and the Pacific)
<b>Project Type:</b>	MSP- Medium-size project (add-on to umbrella project)		
<b>Planned project budget at approval:</b>	US\$ 2,314,552	<b>Total expenditures reported:</b>	1,061,491.83
<b>GEF Allocation:</b>	US\$ 1,321,552	<b>GEF grant expenditures reported as of [date]:</b>	653,841.83
<b>Expected FSP co-financing:</b>	US\$ 993,000	<b>Secured FSP co-financing:</b>	407,650.00
<b>Dates of previous project phases:</b>	Initial NIPs for POPs projects	<b>Status of future project phases:</b>	UN Environment is preparing a follow-up project to be funded under GEF-7

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<sup>5</sup> Yemen was suspended due to lack of progress/response

## Executive Summary

1. This report presents the findings of the Terminal Evaluation of the “Global Project on the Updating of National Implementation Plans for POPs”. It covers two identically named GEF-funded and UN Environment-implemented projects: one Full-Sized umbrella project (FSP 5307, approved in August of 2013) and one Mid-sized add-on to the umbrella project (MSP 5525, approved in November of 2013), under which specific country-level enabling activity projects were implemented between 2014 and 2018 (with some still to be completed exceptions at time of evaluation, in June 2019).

2. The project consisted of a global/regional component and country level components that were implemented under the GEF Enabling Activities modality and covering 27 countries (GEF ID 5307). The add-on Project to the full-size Project (GEF ID 5525) aimed to support an additional 8 countries. At time of writing of this report total expenditures reported for 5307 were of US\$ 6,014,043.45 (of an expected US\$ 10,465,753) and, for 5525 of US\$ 1,061,491.83 (of an expected US\$ 2,314,552).

3. The overall objective of the Terminal Evaluation is to assess in a systematic and objective manner the performance of the projects against the Theory of Change using the UN Environment Evaluation Office’s standard evaluation criteria. It also assesses whether the projects have achieved or are likely to achieve their project objectives.

4. The main project objective and specific objectives were the same for both projects and the key question of the Terminal Evaluation was whether the project has achieved or is likely to achieve the project objective of “assisting countries to review and update their National Implementation Plan (NIP) in order to comply with reporting obligations (Article 15) and updating of National Implementation Plans (Article 7) under the Stockholm Convention”. As the two projects share the same overall structure (main outputs, components and objective), the Terminal Evaluation was undertaken jointly, and a single Theory of Change was developed and tested during the evaluation.

5. The Terminal Evaluation was conducted in accordance with UN Environment Evaluation Policy and the UN Environment Programme Manual. It was carried out as an independent in-depth evaluation using a participatory approach whereby all key parties and stakeholders associated with the project were kept informed and regularly consulted throughout the evaluation. This evaluation report is supported by two volumes of supplementary material covering the information gathered from country visits (Volume II) and country status reports (Volume III).

6. In order to determine project achievements against the expected Outputs, Outcomes and likelihood of Impacts, the Evaluation Team used different methods to ensure that data gathering and analysis delivered evidence-based qualitative and quantitative information, based on diverse sources. These included desk studies and literature review, statistical analysis, individual interviews, surveys and direct observation during the field missions. This approach not only enabled the Evaluation Team to assess causality through quantitative means but also to provide reasons for why certain results were achieved or not and to triangulate information for higher reliability of findings.

7. In the second half of 2018 and early in 2019, the Evaluation Team visited 8 of the participating countries and prepared Country Studies for each. Country Status Reports, based on a desk review of project related documentation, providing a succinct snapshot of progress-to-date, were prepared for the remaining countries as it was not possible for the Evaluation Team to conduct field missions to all participating countries (please see Table 2 Case Studies (field Visits highlighted in blue), and Status Reports (desk-based, no highlight). These Studies

and Reports are presented respectively in Volume II and Volume III, as Supplementary Material to the Terminal Evaluation.

## Evaluation findings

8. The overall evaluation rating of the project is **Satisfactory**. The ratings for the evaluation criteria are detailed in Table 23 Ratings Table.

9. The strategic relevance of the project was found to be **Highly Satisfactory**, it is aligned with the mandate, MTS and thematic priorities of UN Environment; with regional, sub-regional and national environmental priorities; with target group and beneficiaries' needs and priorities; with GEF Strategic priorities and is complementary to existing interventions. In addition, it also shows alignment with UN Environment capacity building and South-South cooperation policies.

10. The projects were designed to respond to concerns regarding lack of capacities to update NIPs in the region and sought to build on previous efforts and structures put in place during NIP development. The project documents laid out goals and objectives in a manner consistent with their respective priorities and were developed using the appropriate standards of the time. In general, the narrative synthesis is consistent and fact based; the products are necessary to achieve the expected results.

11. Overall the quality of project design was rated as **Satisfactory**. It assisted countries in addressing sometimes challenging issues and needs related to POPs; its main strengths relate to having used and/or built on previously conducted work on POPs. Weaknesses include issues with reporting, and the fact that no particular attention was given to gender balance, which was not included in the project proposal template of that time.

12. As regards the nature of the external context, although very different external and country specific conditions occurred during the period of implementation, in general this criteria is not considered to have had a significant negative effect on delivery of the expected Outputs. Overall this was rated as **Moderately Favourable**.

13. Effectiveness of the projects' components was assessed based on the delivery of the outputs, on achievement of the direct outcomes, and likelihood of impact.

14. A summary of the status of the delivery of the projects' outputs is presented in Table 13 on page 53. Delivery of key outputs, or progress towards delivering these by project closure, are presented below the table. Overall, UN Environment as Implementing Agency acted quickly to put in place the necessary contracts with the Executing Agencies and to effect the first disbursements. However, evidence indicates that it took the Executing Agencies over one year to deliver the first activities. In addition, unforeseeable events hindered the implementation of the early stages of the projects of which the most notable was that there were four UN Environment Task Managers during the life of the projects. Each needed to be inducted into the workings of the projects (estimated to have required a minimum of three months each).

15. The Evaluation Team was able to document significant qualitative and quantitative results for all Direct Outcomes. It is however important to note that this review took into consideration the fact that, at time of writing of this Terminal Evaluation, a number of the outputs have yet to be delivered (most notably in SIDS – see Table 13 Summary of the Delivery of Project Outputs (compiled from various sources)).

16. The **Satisfactory** overall rating for Effectiveness is based both on the results of the Country Studies, and on the results of the Country Reports. Delivery of outputs and achievement of direct outcomes are both rated **Satisfactory**; likelihood of impact is considered to be **Moderately Likely**.

## **Component G: Support to share information and evaluate NIPs updating worldwide**

17. Planned outputs were the development of a regional position on POPs on the basis of updated NIPs; the development of an information exchange (discussion forum, expert sessions, webinars, etc.) using existing platforms; incorporation of inventory data into the SSC clearinghouse; development of a database of experts on POPs management; identification and dissemination of lessons learned; and, training on project coordination and access to lessons learned as well as good practices from previous projects. This overarching global component was delivered and followed by 5 main components common to both umbrella project 5307 and add-on project 5525.

### **Component 1: Initiation of the process of reviewing and updating NIPs**

18. Planned Outputs included the identification of key stakeholders and agreement on their roles; initial assessment of institutional needs and strengths; and, establishment of coordination mechanism for POPs management. The evaluation was able to document the delivery of these outputs in all project countries (with the exception of the Marshall Islands reporting, at time of evaluation, No Progress). This was achieved with the designation and support of project management structures and coordination team(s) which were either established or reactivated from previous NIP related work. Inception workshops were successfully delivered to an average of 50 participants, representing all stakeholder groups.

### **Component 2: Assessment of national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment.**

19. Planned Outputs were: Comprehensive overview of national infrastructure and regulatory framework to manage POPs available; Quantitative and qualitative inventories covering all 22 POPs available: including updated inventories for POPs covered in initial NIP and first inventories for newly-listed POPs; Overview of POPs impacts to human health and the environment available.

20. The Evaluation Team was able to ascertain that assessments of the countries' regulatory and institutional frameworks for POPs were completed (with the exception of Samoa, see paragraph 189 below), and that inventories were developed; as well all countries having been the subject of a Country Study delivered on the assessment of impacts of POPs to health and the environment (with the exception of Cameroun - see paragraph 189 below). Of the countries subject of a Country Report, only Pacific Island countries did not successfully complete this Component (namely Kiribati, Nauru, Palau, Samoa, Tonga and Tuvalu where it was reported that this had however been More than Half Completed; and the Marshall Islands where it reportedly has Not Started).

21. At the time of evaluation, Cameroun reported that it had not been able to deliver on the assessment of impacts of POPs to human health and the environment and this was due to "non-availability of funds given the delays in their disbursement from UN Environment"; similarly Samoa had not updated the comprehensive overview of national infrastructure and regulatory framework to manage POPs, indicating that this would be completed in the early part of 2019, once a suitable consultant was identified and recruited.

### **Component 3: Development of Actions Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis**

22. Planned Outputs were: Action Plans for all POPs updated and validated; and, a Comprehensive overview of POPs management gaps and practices is available.

23. Country Study data demonstrates that these were successfully completed in all countries, with the following exceptions: Kyrgyz reported at the time of the evaluation that the gap analysis report was not yet available to all stakeholders; no indication was provided as to when this would occur. Samoa reported that the updated Action Plans and overview of POPs management gaps and practices would be available in the early part of 2019, having identified and contracted a national expert from the National University of Samoa at the end of 2018.

24. As regards countries covered by Status Reports, data indicated that Djibouti, Nauru, Pakistan, Palau, Papua and New Guinea, had progressed and work was More than Half Completed; while for the Marshall Islands, Tonga and Tuvalu work had Not Started.

#### **Component 4: Formulation of revised and updated NIP with its associated Action Plans for all 22 POPs**

25. Planned Outputs were: Revised National objectives and priorities for POPs including new POPs; and, Draft NIP updated available to all stakeholders. These were fully delivered in countries covered by Country Studies, with the exception of The Gambia and Samoa. The Gambia reported that "significant progress has been made at time of the evaluation" however the NIP is yet to be completed and finalized. In Samoa it was reported to be Less than Half Completed for the following reason: At the time of the evaluation mission, the TOR were being developed for the recruitment of an International Expert to carry out a desk review and compile the updated NIP.

26. Outputs were delivered in all project countries with the exception of Djibouti, Egypt, Nauru, Pakistan, Papua New Guinea and, Sierra Leone where this Component is Less than Half Completed); for Palau and Samoa this is Less than Half Completed; for The Marshall Islands, Tonga and Tuvalu this is Not Started.

#### **Component 5: Endorsement of NIP**

27. Planned Outputs were: NIP outreach strategy report includes consultations with key national stakeholders; NIP endorsed by the Government. This was fully completed in 4 out of the 8 countries having participated in a Country Study. At time of the evaluation it was More than Half Completed in Gambia, Kyrgyz and Salomon Islands, and Less than Half Completed in Samoa.

28. Gambia provided data indicating this had not been completed given delays in accessing funds sent by UN Environment "because they were directed to the wrong account" as well as moderately unfavourable external political and governance context. In addition, capacity constraints and difficulties obtaining information delayed collection and compilation of POPs data in the country. As regards Kyrgyz, although the NIP was presented to the government apparatus in July of 2017, and again in August of 2018, endorsement was refused. Evidence provided by UN Environment indicated that "UN Environment comments to improve the document have not been taken into account. There is no evidence that the NIP promotion has resulted in the improvement of the document or its endorsement". At time of drafting of this evaluation it was not clear when this would happen.

29. For the Solomon Islands, although the NIP had at time of evaluation been endorsed by the Cabinet (end 2018), this had not yet submitted to the Secretariat of the Stockholm Convention; hence this Component could not be considered as having been completed.

30. Finally, for Samoa, NIP approval could only take place once the appointed experts had completed the draft, consultations with stakeholders had taken place and the document had received subsequent approval by the Cabinet Decision Committee for endorsement. At the time of evaluation this had not taken place.

31. As regards countries assessed via a Status Reports, data indicates that Cook Islands, Djibouti, Egypt, Malawi, Montenegro, Nauru, Pakistan, Samoa and, Sierra Leone had More than Half Completed this Component; Kiribati and Papua New Guinea reported having Less than Half Completed it; Marshall Islands and Palau reported the activities related to this Component as Not Started.

32. Overall, it is interesting to single out the performance of Small Island developing States (SIDS) having participated in this project as, in general, data clearly indicates that there are considerable differences between progress registered for SIDS, and non-SIDS (see Table 11, and Table 12, below). Evidence indicates that the recruitment of a Regional Technical Body - not only to coordinate meetings, but above all to provide technical support to the countries - could have played a significant role in ensuring timely and effective implementation. It was furthermore repeatedly noted that the lack of a regional inception workshop at project commencement, and presence of EN Environment representatives at the national inception workshop, would also have been beneficial.

33. As regards achievement of direct outcomes, evidence indicates that significant progress was made, and this is supported by the Satisfactory rating for delivery of Outputs. This, combined with interview and survey data confirms that it is highly likely that adoption of NIPs in most participating countries will likely occur in the course of 2019 (with the notable exception of the Marshall Islands).

34. Although the project has, at this stage, not achieved “documented changes” in reducing risks from POPs to human health and the environment, interview data does indicate that as a result of the coordination and awareness raising interventions of the project, progress in this direction has been made and it is considered likely that results will be achieved.

35. Based on the above, the Evaluation Team considers that achievement of Direct Outcomes is **Satisfactory** (as per the ratings presented in Table 3: Point equivalent and corresponding rating).

36. Finally, the likelihood of achieving impact is assessed by the Evaluation Team as being **Moderately Likely**. Overall, even though not all the direct outcomes were fully achieved, progress has delivered results, and indications are most will be achieved or are likely to be achieved. Failure to do so at time of evaluation was due to shortcomings discussed in the report, and the Evaluation Team is confident in stating that it is Likely these will be delivered in the near future for all countries (with the possible exception of the Marshall Islands).

37. As regards financial management, the Evaluation Team was not made aware of any major deficiencies of the completeness of financial information. However, for in-kind and cash co-finance, there was only very little to no information, and this has proven challenging to obtain. This criterion is rated as **Moderately Unsatisfactory**. Communication between finance and project management staff was rated, based on available information and interview data as being **Satisfactory**, and overall, the rating for financial management for the project is rated **Moderately Satisfactory**.

38. As regards efficiency, the Evaluation Team was not made aware of any concerns regarding cost effectiveness or costliness, and considers, that although to date the project has not delivered all of the expected results, those achieved have been delivered at a reasonable cost. Efficiency is rated as **Moderately Satisfactory**. Even though no-cost extensions were

required, and the project is currently facing delays in implementation, not having produced all results within the initial time frame available (i.e. by May 2016), the Evaluation Team considers that there are mitigating factors that partially account for this.

39. The M&E for the project was designed according to both the GEF and UN Environment's standard procedures for monitoring and evaluation in place at the time of project design. The logframe included "objectively verifiable indicators of achievements, sources and means of verification for the project outcomes and outputs, and the timeframe for monitoring activities" were specified in the projects' Monitoring and Evaluation Plans.

40. Following the appointment of the current Task Manager in 2015 and in order to address the significant delays the Projects had experienced, additional measures were put in place to improve the supervision and support provided by UN Environment to the Executing Agencies. This helped to bring the Project back on track and have been a major driver in the development of more systematic UN Environment supervision systems.

41. Monitoring systems were put in place at the level of the Executing Agencies, in line with their own standards and evidence suggests that these allowed the persons responsible for monitoring progress against indicators to track results and progress toward project objectives. Monitoring of project progress is considered to have been adequate, given most indicators were at output level and easily tracked, however monitoring of performance in terms of achievement of the overall project objective was unavailable given inadequacy of indicators.

42. Overall Monitoring and Reporting are rated **Satisfactory**.

43. Sustainability was rated at the national level for each of the countries in each of the projects and averaged to produce a single sustainability rating for the project. While there were some differences between the ratings of countries within the same project, the average rating for each of the three projects was similar. Socio-political sustainability is rated as **Likely**; financial sustainability, which depends on the commitment of the countries to provide the necessary long-term resources both financial and human, is considered **Moderately Likely**; and, institutional sustainability, which is considered **Likely**. Overall sustainability for the projects was rated as **Moderately Likely**.

## Main conclusions<sup>6</sup>

44. The satisfactory performance of the project is considered a success in support of governments' efforts to eliminate POPs and reduce exposure of their populations. In addition, it was an indispensable step to comply with obligations under the Stockholm Convention;

45. National and/or Regional Inception Workshops during which participants identify principal stakeholders and decide on the composition and roles of multi-stakeholder or coordinating steering committees help to further strengthen ownership in support of timely project implementation;

46. Despite these strengths, the project suffered delays in implementation, however these were for circumstances beyond the control of the project and all efforts were deployed to circumvent and overcome these;

47. As mentioned in para 259 below, and as discussed in different sections of the report, for example under Socio-Political Sustainability, below, these NIPs for POPs projects have been

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<sup>6</sup> Although at this time, there are no approved direct follow-on projects, the conclusions and recommendations are relevant to the design and implementation of future UN Environment projects



satisfactorily mainstreamed into the countries policy processes; the projects are aligned with national, regional and international priorities and strongly support ownership. It is clear that these Enabling Activities support countries to comply with Convention obligations, however it is unfortunate that at the time of design, no consideration was given to understanding and measuring how this support could translate into quantifiable global environmental benefits. In this sense, UN Environment should ensure that the conclusions, lessons learned and recommendations from this and similar Evaluations are carefully taken into account in the design and implementation of like-minded interventions.

### **Lessons Learned**

48. The implementation and long-term mainstreaming of project priorities is greatly improved when a multi-sectorial inter-ministerial Steering Committee takes the wheel and effectively assumes ownership. This is further strengthened when not only the government, but civil society and industry are closely involved in the design and implementation of activities, contributing to continuously build stakeholder capacity and increase awareness of POPs;

49. Use of national consultants helps increase the likelihood of the sustainability of the project's intended results;

50. Assumptions regarding capacities were not always correct and this lack of capacities and/or other constraints, in particular among women, leads to not all stakeholders participating at the expected levels, and this is not deemed to be a voluntary lack of participation;

51. Unrealistic project implementation timeframes that are not modified prior to the initiation of activities, contribute to no-cost extensions. In addition, delays in the disbursement of funds from UN Environment as well as other administrative hurdles can further hinder timely implementation. Budgets that are generally considered low may lead to key activities not taking place, (for example, here the low budgets did not allow for thorough field work or laboratory analyses to take place and to support of completion of the inventories. Low budgets may also further contribute to delays;

52. Guidelines for carrying out activities using project-led approaches need to be updated and adapted to national conditions (for example, here conducting POPs inventories, and the Toolkit for preparing the NIP were helpful but needed to be updated and adapted to national conditions);

53. The use of Geographic Information Systems (GIS) can be very helpful in tracking physical installations (for example, here GIS was useful in monitoring transformers which use POPs);

54. Guidelines on resource mobilization, and funding mechanisms (including co-financing) available to support project approaches are needed (for example, here such guidelines would have supported the measures to be taken on POPs). In this project co-finance was provided and spent, however, not documented. With guidelines on resource mobilization, and funding mechanisms (including co-financing) available to support measures taken on POPs, the funds available for the project are likely to have been greater and consequently, increased its impact;

55. Financial reporting based on Components supports results based management.

### **Recommendations**

56. To ensure sustainability of this and other interventions, UN Environment should strongly urge Governments to continue to support the work of Steering Committees by ensuring these

are mainstreamed into the respective permanent coordinating structures. Similarly, UNEP should strongly advise Governments to seek to mobilize resources in support of the activities and/or provide additional resources to continue POPs related sensitization activities and implement strategies developed by the project, actively sharing information with stakeholders;

57. UNEP should urge Government and development partners to provide stakeholders (especially, civil society sector as well as women and marginalized groups) with training and guidelines in resource mobilization, co-financing and funding mechanisms available to support efforts to eliminate POPs;

58. In future work, the capacities of local staff and consultants involved in all aspects of POPs management should be continuously strengthened, and more nationals should be provided with additional and advanced training in POPs management to mitigate the effects of attrition of trained personnel over time;

59. UN Environment projects aimed at improving POPs management, and sensitizing the public about POPs, should pay particular attention to the needs of women and youths and ways to engage them effectively in nation-wide behaviour changing initiatives;

60. Vulnerable groups, and in particular women, should be actively sought out and provided with awareness raising materials and information to support efforts to eliminate POPs and reduce their exposure, thereby protecting their health;

61. UN Environment/Stockholm Convention Secretariat should continue to provide backstopping support to the governments to consolidate the project's impacts;

62. When projects are designed for implementation in countries in conflict or having recently emerged from situations of conflict, UN Environment should ensure that timeframes are adjusted to address national realities and avoid having to obtain "no-cost extensions"; these extensions affect the in-kind contribution of the countries and of UN Environment from personnel (oversight, meetings, financial), which are likely to end up being more than originally estimated. This information was not captured in the reports provided to the Evaluation Team and in this sense, UN Environment should take a proactive role regarding following-up on pledged co-finance.

63. Furthermore co-financing should be rigorously tracked and disbursements of funding tranches tied to availability of reports; Reports (including financial reports and audits) and budgets should be organized according to Components, Activities, and Outputs; in addition, when audits are carried out, Management Responses to these Audit Reports should be provided to Evaluators;

64. Similarly, when projects are designed to be implemented in SIDS, UN Environment should pay particular attention and closely follow up with the Regional Centres of the Conventions as well as UN Environment Regional Representations to ensure and support their full involvement. It is of particular to ensure UN Environment representation at Inception Workshops (regional or not) to clarify expectations in support of timely implementation. Finally, UN Environment should strongly support the recruitment of a Regional Technical Body, not only to coordinate meetings, but above all to provide technical support to these SIDS; this could also play a significant role in ensuring timely and effective implementation;

65. Given the importance of providing full access to information to Evaluators, it is strongly recommended UN Environment ensure that all efforts be made to evaluate projects only after all activities have been completed and they have been properly and fully closed. This will ensure that financial reports at closure, as well as Final Project Reports are available at time of writing of Final Evaluations;

66. Future budgets for this kind of work should be enough to cover the country and required field or laboratory work, or be used for a solidly designed pilot project in a few strategically selected regions.

## 1 Introduction

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68. This Volume, the Main Evaluation Report, presents the findings of the Terminal Evaluation of the UN Environment project entitled “Global Project on the Updating of National Implementation Plans for POPs” developed under the Stockholm Convention”. It is funded by the Global Environment Facility (GEF) and is implemented by UN Environment; this Main Report is supported by two Volumes of Supplementary Material.

69. Volume II contains the Country Studies prepared for 8 countries, and Volume III the Country Status Reports prepared for 24 countries, for a total of 32 countries<sup>7</sup>. Country Studies have been produced for the selected project countries which benefited from field visits<sup>8</sup>, to assess individual country level project performance. Country Status Reports were necessary to cover all of the involved countries as it was not possible for the Evaluation Team to conduct field missions to all of them.

70. It must be noted that four of the countries included in the original project design were not covered in this evaluation for different reasons: Malaysia is now an OECD country (this was not the case at time of drafting of the project), and Equatorial Guinea further to a lack of responses regarding agreement to proceed with implementation. These were cancelled in the early stages of project mobilisation. Activities in Libya and Yemen were suspended in 2018 due to lack of progress and/or response from the countries

71. Country Status Reports were developed based on a desk review of project related documentation and provide a succinct snapshot of progress-to-date. Key findings from the more in-depth Country Studies, as well as the Reports, are integrated as relevant/appropriate in the overarching findings reported in this Volume, the Main Evaluation Report (Volume I).

72. In essence this evaluation covers two identically named GEF-funded and UN Environment-implemented projects: one Full-Sized umbrella project (FSP 5307, approved in August of 2013) and one Mid-sized add-on to the umbrella project (MSP 5525, approved in November of 2013), under which specific country-level enabling activity projects were implemented between 2014 and 2018 (with some still to be completed exceptions at time of evaluation).

73. The project consisted of a global/regional component and country level components that were implemented under the GEF Enabling Activities modality<sup>9</sup> and covering 27 countries (GEF ID 5307). The add-on Project to the full-size Project (GEF ID 5525) aimed to support an additional 8 countries. The main project objective and specific objectives were the same for both projects and the key question of the Terminal Evaluation was whether the project has achieved or is likely to achieve the project objective of “assisting countries to review and update their National Implementation Plan (NIP) in order to comply with reporting obligations (Article 15) and updating of National Implementation Plans (Article 7) under the Stockholm Convention”.

74. The evaluation covered the period from approval of the Project in late 2013, to April of 2019, and sought to assess project performance (in terms of relevance, effectiveness and

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<sup>7</sup> Selection of countries was finalized during the inception phase of the evaluation

<sup>8</sup> With the exception of Afghanistan which was desk based

<sup>9</sup> It is important to note that as these projects are considered GEF Enabling Activities, and in addition were originally conceived to be completed in less than four years, no mid-term evaluation was required

efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.

75. The evaluation had two primary purposes:

to provide evidence of results to meet accountability requirements, and to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, and regional and national partners; identifying lessons of operational relevance for future project formulation and implementation.

76. The overall combined budget for the 2 Projects approved for implementation by the GEF was of 12,780,305 USD and included a GEF Grant allocation of 6,287,305 USD.

77. The evaluation Team was comprised of Mr Cristóbal Vignal, International Evaluation Consultant, and Team Leader and, Ms Suman Lederer, Mr Petr Sharov, and Mr Katim S. Touray, International Evaluation Consultants.

## **2 Evaluation Methods**

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### **2.1 Theory of Change at Evaluation**

78. The Evaluation Team developed a Theory of Change (ToC) of the Project at inception, in order to first understand the concept behind the Project and second to have an analytical tool to assess the Project (see Figure 1: Theory of Change at Evaluation, below). It was agreed with the UN Environment Evaluation Office to prepare a single Theory of Change (ToC), hence the Evaluation Team built a generic Theory of Change (at project design) that covers both projects, reconstructing their outputs, outcomes, intermediate states and impacts.

79. The Theory of Change (at project design<sup>10</sup>) was based on the desk analysis of UN Environment documents and discussions with staff members via in person interviews and/or teleconferences. The Theory of Change was tested during the evaluation, providing the basis for the interview and survey questions, and the basis for the ToC at evaluation, which describes the impact chains at country level.

80. The Theory of Change at project design was then modified to create the Theory of Change (at evaluation). Changes were identified from reviews of the documentation and interviews with staff and relevant stakeholders in the visited countries. The modifications also reflect the results of the tests of the project logic during the evaluation. The Theory of Change at evaluation is discussed in more depth in Section 4, on page 33, below.

#### **2.1.1 Description of Evaluation methods and Information Sources**

81. The Terminal Evaluation was conducted in accordance with UN Environment Evaluation Policy and the UN Environment Programme Manual. It was carried out as an independent in-depth evaluation using a participatory approach whereby all key parties and stakeholders

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<sup>10</sup> This was peer reviewed by the UN Environment Evaluation Office

associated with the project were kept informed and regularly consulted throughout the evaluation.

82. In order to determine project achievements against the expected Outputs, Outcomes and likelihood of Impacts, the Evaluation Team used different methods to ensure that data gathering and analysis delivered evidence-based qualitative and quantitative information, based on diverse sources. These included desk studies and literature review, statistical analysis, individual interviews, surveys and direct observation. This approach not only enabled the Evaluation Team to assess causality through quantitative means but also to provide reasons for why certain results were achieved or not and to triangulate information for higher reliability of findings.

83. The methodology applied included a review of written documentation and other sources of information, interviews with Task Managers at UN Environment, Executing Agency staff and in-country stakeholders, including beneficiaries and government representatives. The documentation review was carried out during June to December of 2018 and included project related documents, progress reports, output reports, available evaluations, monitoring reports, contextual documents on government policies, as well as any others considered pertinent by the Evaluation Team.

84. Initial interviews were conducted with the current UN Environment Portfolio Manager and other relevant staff members, and served to obtain complementary and up-to-date information on project design and implementation. These interviews were semi-structured and focused on origins of the project, inputs from stakeholders, institutional arrangements for implementation, achieved and expected results, strengths and weaknesses, difficulties encountered and missed opportunities.

85. The UN Environment Evaluation Office contracted the International Evaluation Consultants; their tasks are specified in the job descriptions attached to the Evaluation ToRs (see Annex VIII below). The members of the Evaluation Team were not directly involved in the design and/or implementation of the project.

### **2.1.2 Selection Criteria**

86. The Countries representing each of the project areas were selected during the inception phase according to the following criteria:

- Covering countries that are updating their existing National Implementation Plan and those that are developing their first one (Salomon Islands and Afghanistan)
- Performance representation - Implementation progress, balance between different stages of intervention
- Coverage of those countries that have future funding potential/follow-up projects coming up

87. In order to ensure efficient and effective data collection, the final country selection (see Table 2, below) was also adapted based on the Evaluation Team members' geographic availability and language skills.

88. The Evaluation Team identified the types of stakeholders to be interviewed (public sector, private sector, civil society organizations, academia, etc.), based on their roles. In particular, the Evaluation Team sought to interview direct beneficiaries of the project including those involved in project management, recipients of training at the regional and national level, and those with institutional responsibilities related to the project (e.g. GEF Focal Points). In

addition, key stakeholders involved in the implementation and execution of the project were interviewed during the Global Workshop “From NIPs to Implementation” held in Montevideo Uruguay, from 23 to 24 October 2018, in advance of the evaluation. This allowed the Team Leader to hold meetings with representatives from approximately 10 of the countries covered by the evaluation (see Annex V below).

89. The interviewees for the field missions were identified with the support of the national Focal Points and the Executing Agencies and missions were conducted during the last quarter of 2018; the Evaluation Team visited all the selected countries and interviewed the widest possible range of stakeholders. Where it was not possible to meet key national stakeholders in person, attempts were made to interview them remotely, with varying results<sup>11</sup>. The stakeholders to interview were selected purely on the basis of their role in the project, regardless of gender. The sample was not skewed to obtain a specific number of each gender, however as can be seen from the full list of interviewed stakeholders (please see List of Interviewees, below), it did turn out that an even number of women and men were interviewed (50% each).

**Table 2 Case Studies (field Visits highlighted in blue), and Status Reports (desk-based, no highlight)**

Country	Language(s)	Region	Case study/Status report	Evaluator <sup>12</sup>
Afghanistan <sup>13</sup>	Pashto	Asia	Case study	CV
Albania	Albanian	Europe	Case study	PS
Argentina	Spanish	LAC	Case study	CV
Benin	French	Africa	Status report	KST
Burundi	Kirundi, French, English	Africa	Status report	KST
Cameroon	English, French	Africa	Case study	KST
Djibouti	Arabic, French, Somali	Africa	Status report	KST
Chile	Spanish	LAC	Status report	CV
Croatia	Croatian	Europe	Status report	PS
Egypt	Arabic	MENA	Status report	KST
Gambia	English	Africa	Case study	KST
Georgia	Georgian	Asia	Status report	PS
Ghana	English	Africa	Status report	KST
Kiribati	English, Gilbertese	Pacific	Status report	SL
Kyrgyz Republic	Kyrgyz, Russian	Asia	Case study	PS
Lebanon	Arabic	Asia	Status report	PS
Madagascar	Malagasy, French	Africa	Status report	KST
Malawi	English	Africa	Status report	KST
Montenegro	Montenegrin	Europe	Status report	PS

<sup>11</sup> This was often frustrated by the quality of internet and telephone connections

<sup>12</sup> CV - Cristobal Vignal; KST - Katim Seringe Touray; PS - Petr Sharov; SL - Suman Lederer

<sup>13</sup> Although Afghanistan was selected for a Case Study, this was desk-based, rather than field-based

Paraguay	Spanish, Guarani	LAC	Status report	CV
Samoa	English, Samoan	Pacific	Case study	SL
Solomon Islands	English	Pacific	Case study	SL
Tuvalu	English, Tuvaluan	Pacific	Status report	SL
Uruguay	Spanish	LAC	Status report	CV
Palau	English, Palauan	Pacific	Status report	SL
Cook Islands	English	Pacific	Status report	SL
Marshall Islands	English, Marshallese	Pacific	Status report	SL
Nauru	Nauruan, Common language - English	Pacific	Status report	SL
Pakistan	English, Urdu	Asia	Status report	SL
Papua New Guinea	English, Hiri Motu, PNG Sign Language, Tok Pisin	Pacific	Status report	SL
Sierra Leone	English	Africa	Status report	KST
Tonga	English, Tongan	Pacific	Status report	SL

### 2.1.3 Evaluation Framework

90. Interview questions were prepared during the inception phase and peer-reviewed by UN Environment Evaluation Office. These covered all of the required evaluation parameters as well as likely sources of information and data analysis methods. For the sake of brevity these are presented as part of the Annexes (see Annex VI Evaluation Framework, page 90, below).

### 2.1.4 Data Verification

91. The interviews were semi-formal in that they were based on standard questions established during the inception phase of the evaluation, as pertinent to the different country specific contexts. The Evaluation Team followed other lines of questioning, particularly with regard to reconstructing the history of the project (from the stakeholders' perspectives).

92. Interviews were triangulated against documentary evidence, with remote interviews conducted by Skype when/if possible. Given that during the country missions there was only one evaluator for each country (details are shown in Table 2, above), the interviews were initiated with reference to the terms of reference, to clarify that the evaluation only covered the project, and was not evaluating countries, national institutions, nor individuals. It was also made clear that the interviews were confidential, and that comments would not be attributed to named individuals. This helped to maintain the independence of the evaluation. The approach was participatory and open in order to facilitate cordial and constructive dialogue with all stakeholders.

### 2.1.5 Methods Used for Data Analysis

93. This report covers two projects aiming to provide technical assistance and strengthen the capacities of stakeholders in 32 countries worldwide, to develop and/or update Stockholm Convention National Implementation Plans. In line with the Terms of Reference for the Terminal Evaluation, one evaluation report has been produced that specifies findings and evaluation ratings for both projects.



94. While the Evaluation Criteria Matrix<sup>14</sup> is directly applicable to current projects or projects designed in the recent past, this is not the case for older projects<sup>15</sup>. Although the Evaluation Team made efforts to align itself with the Matrix, in some cases where the projects could not be assessed as the criteria did not correspond to the information and results generated by the project, or when results fell into more than one of the categories, a combination of methods was used, i.e. the Terms of Reference and/or Matrix and/or interview data and/or survey results.

95. In addition, the Evaluation Team faced a particular challenge in arriving at one set of ratings for all interventions, given the heterogeneous mix of countries participating in the project. In order to arrive at a meaningful result, the Evaluation Team compiled country specific data for the assessed criteria; this was not evident in all cases as for example the template used for the Country Case Studies, as defined in the Terms of Reference, aimed to capture a snapshot of country level progress in only one page; hence the level of detail as regards the Assessment Criteria was not always in line with that of this Main Report.

96. The challenge of arriving at a regional and representative rating has been resolved by the Evaluation Team in the following manner:

- The specific ratings for the assessed Criteria for countries covered by Country Studies were attributed a "score" from 1 to 6 as set out in Table 3 below;
- The specific ratings for the assessed criteria of Effectiveness, for countries covered by Country Reports were attributed a "score" from 0 to 3, as set out in Table 3, below;
- The overall rating for the project was based on the average of the scores of all countries (for Effectiveness) and on that of countries having benefitted from the more extensive Country Studies. Table 3 below also shows how the average scores are linked to the ratings for the projects.

**Table 3: Point equivalent and corresponding rating**

Rating scale HF - HU	Rating scale HS - HU	Rating scale HL - HU	Country Study	Average	Country Report	Rating Scale	Average
Highly Favourable	Highly Satisfactory	Highly Likely	6	≥5.5	3	Fully Completed HS	>2.25
Favourable	Satisfactory	Likely	5	>4.5 <5.5			
Moderately Favourable	Moderately Satisfactory	Moderately Likely	4	>3.5 <4.5	2	More than Half Completed ML	>1.5 <2.25
Moderately Unfavourable	Moderately Unsatisfactory	Moderately Unlikely	3	>2.5 <3.5	1	Less than Half Completed MU	>0.75 <1.5
Unfavourable	Unsatisfactory	Unlikely	2	>1.5 <2.5	0	Not started HU	<0.75
Highly Unfavourable	Highly Unsatisfactory	Highly Unlikely	1	<1.5			

<sup>14</sup> Provided by UN Environment (version updated 20.11.2017).

<sup>15</sup> Africa Least Developed Countries (AFLDC) Terminal Evaluation, C. Vignal et al, 2017

## 2.1.6 Limitations of the Evaluation

97. The main limitation encountered by the Evaluation Team relates to availability of information, both in the form of Final Reports, and as regards financial closure. This was in particular challenging given that a number of countries received no-cost extensions and at time of the evaluation had not completed implementation and/or delivery of all results and reports. These limitations were mitigated by requesting information either directly from the countries (not always successfully) and/or from UN Environment.

## 3 The Project

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### 3.1 Context

98. Countries party to the Stockholm Convention (SC) are obliged to prepare and/or update their NIPs, as well as to report at regular intervals to the Secretariat of the Basel, Rotterdam and Stockholm Conventions. But many countries still lack capacity and are unable to prepare and/or update their NIPs without external support. The evaluated projects GEF ID 5307 and GEF ID 5525 were designed based on the experience of the GEF 12-country project in 2006-2007 to provide necessary assistance to eligible countries.

99. The two projects being evaluated aimed to assist countries to comply with Article 7 of the Stockholm Convention to update and/or develop their NIPs and included a regional/global component to provide technical expertise and tools to facilitate the updating of the NIPs and information exchange. The evaluated projects also sought to identify existing gaps in POPs management in order to improve management practices in agriculture, disease vector control, and industrial chemicals.

100. Countries invited to join the project complied with the following main criteria: be a Party to the Stockholm Convention; have a NIP submitted to the Stockholm Convention Secretariat or in the process of doing so; and need to review and/or update the NIP (triggered by internal or external factors).

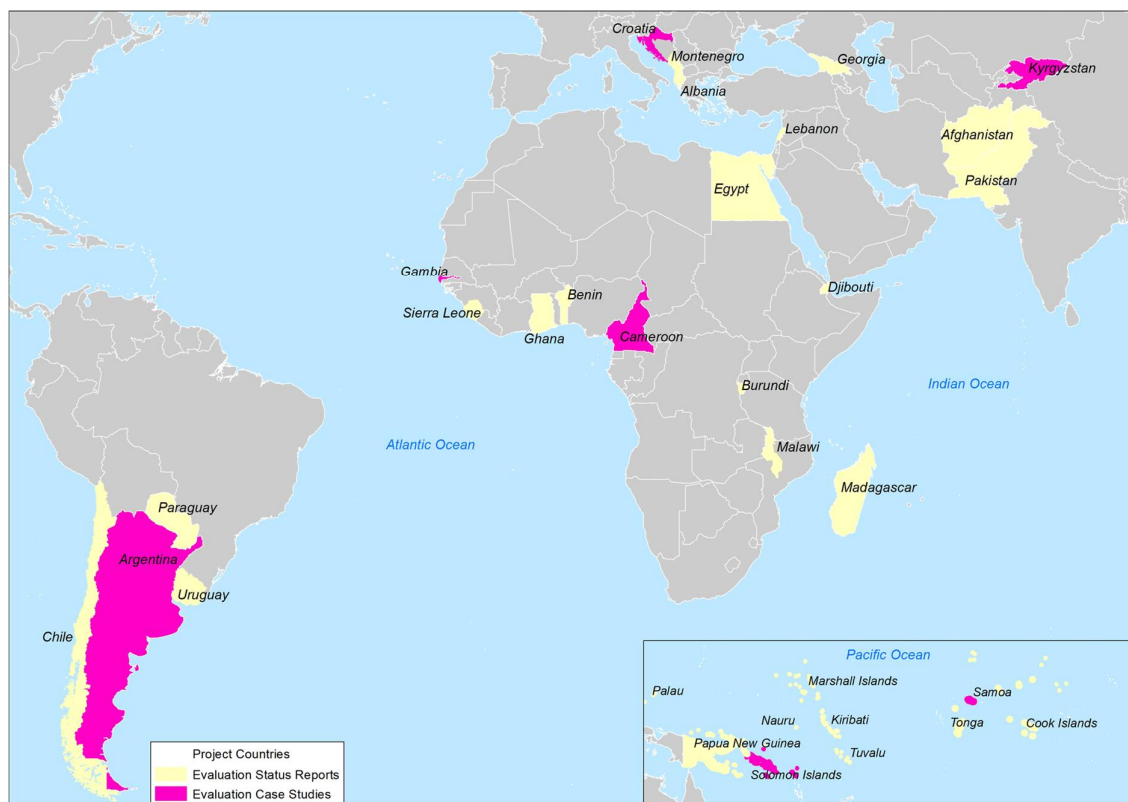
101. The evaluation included assessment of Enabling Activities in 25 countries under GEF ID 5307 Project and 7 countries under GEF ID 5525 Project<sup>16</sup>. The projects originally included Equatorial Guinea, which was cancelled due to lack of responses regarding agreement to proceed with implementation; Malaysia, which is now an OECD country (not at time of project preparation); Libya and Yemen, which were suspended<sup>17</sup> due to lack of progress/response. In each country the socio-economic, political, institutional, and environmental situation was very different at time of implementation, which resulted in differences in results. Only 14 countries completed the project activities at the time of evaluation, although it is expected that a further 10 will complete the project in the course of 2019.

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<sup>16</sup> Although the project initially included 4 more as explained in

<sup>17</sup> Interview data confirms that these decisions "were not taken lightly" (letters were sent, and escalated, but generally no response "the system of notification was not working"), and that the Implementing Agency considered numerous options, including that of transferring responsibility to regional office to take over, as no respondents had been identified in the countries.

Figure 1. Project Countries



102.

### 3.2 Objectives and Components

103. The hierarchy of the project outcomes is structured so that each country during the project could increase its capacity, review previous work on POPs, analyse existing data, and prepare and endorse a new or updated NIP. In 14 countries the project work resulted in producing an updated NIP endorsed by national governments (or pending endorsement), and it is expected that 10 more countries will successfully complete this in 2019. The logical frameworks of both umbrella projects contemplate delivery of 5 outcomes, in addition to an overarching global one aiming to provide technical expertise and tools to facilitate the process of updating the NIPs, and information exchange. This global component has been renamed Component G by this evaluation - for the sake of clarity - from the originally referenced Component 1 (Annex C of Project Document).

104. The 5 components as well as their expected outputs and eventual outcomes are as follows :

#### Component G: Support to share information and evaluate NIPs updating worldwide

105. Outcome: Enhanced communication and sharing information to enable Parties to compare and harmonize data and identify lessons learned and good practices

- Outputs: Development of a regional position on POPs on the basis of updated NIPs; Development of an information exchange (discussion forums, expert sessions, webinars, etc.) using existing platforms; Incorporate inventory data into the SSC clearinghouse; Develop a database of experts on POPs management; Identify and disseminate lessons learned; Training on project coordination and access to lessons learned and good practices from previous projects.

106. In addition to this overarching global component, the following and common main components of umbrella project 5307 and add-on project 5525 are:

### **Component 1: Initiation of the process of reviewing and updating NIPs**

107. Outcome: Institutional strengthening through national coordination

- Outputs: Key stakeholders and their roles identified and agreed; Initial assessment of institutional needs and strengths; Coordination mechanism for POPs management in place

### **Component 2: Assessment of national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment.**

108. Outcome: Comprehensive information on current POPs control measures, management practices, use and impacts, provides the basis for identifying POPs issues of concern and planning sound actions to address them.

- Outputs: Comprehensive overview of national infrastructure and regulatory framework to manage POPs available; Quantitative and qualitative inventories covering all 22 POPs available: including updated inventories for POPs covered in initial NIP and first inventories for newly-listed POPs; Overview of POPs impacts to human health and the environment available

### **Component 3: Development of Actions Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis**

109. Outcome: Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans.

- Outputs: Action Plans for all POPs updated and validated; Comprehensive overview of POPs management gaps and practices available

### **Component 4: Formulation of revised and updated NIP with its associated Action Plans for all 22 POPs**

110. Outcome: Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows the country [each country] to develop rational and coherent strategies to reduce POPs risks in the country and to meet the obligations of the SC.

- Outputs: Revised National objectives and priorities for POPs including new POPs; Draft NIP updated available to all stakeholders

### **Component 5: Endorsement of NIP**

111. Outcome: NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement SC at all levels.

- Outputs: NIP outreach strategy report includes consultations with key national stakeholders; NIP endorsed by the Government

### 3.3 Stakeholders

112. The project stakeholders were divided into three groups: International Stakeholders, National Government Institutions, and National Non-governmental Institutions. International stakeholders are the UN Environment Division of Technology, Industry, and Economics (formerly DTIE, now Economy Division) Chemicals Branch, the Stockholm/Basel Regional Centres, and the Stockholm Convention Secretariat. Other international stakeholders include international laboratories, which analyze new POPs, as well as regional and international consultants, and other Intergovernmental Organizations. The main role of the International Stakeholders was to help participating countries to achieve the project results and gain experience and capacity.

113. The group of National Government Institutions includes the Executing Agencies (EA) and other government structures involved in issues of POPs management and disposal. The Executing Agency is usually the Ministry of Environment or a similar authority. The name and level of authority of EA varies among different countries participating in the project. EA is usually the part of the government that is most interested in completing the project and achieving its outcomes. During the project implementation the EAs worked with other government institutions to discuss and secure the approval of the prepared documents, plans and POPs management strategies. The list of other involved government institutions usually included the Ministry of Natural Resources, Ministry of Industry, Ministry of Economy, Ministry of Agriculture, Customs Authority, Presidents Office, and others. Representatives of these institutions in general were, or became, members of the NIP Coordinating Committee, which oversaw and facilitated project implementation.

114. The list of non-governmental national stakeholders includes POPs related industry, scientific institutions and expert community, civil society organizations, media, farmers, minority groups. Some of these stakeholders were invited to participate as members of the NIP Coordination Committee. POPs related industry is one of the key stakeholders as they are directly affected by NIP activities. In some cases, National Chambers of Commerce served as a liaison between the project team and the industry. The expert community and research institutions are usually involved in working on POPs inventories and development and review of updated POPs plans and strategies. Civil society organizations could either join the project team to undertake specific actions or observe the project process. National media usually helped to distribute information about the project and had a part in the project outreach strategy. General public, farmers, minority groups, vulnerable populations could be target audiences participating in awareness activities or be consulted during the development of new regulations and POPs management plans. However, this differed substantially depending on the country and national socio-economic realities.

115. Although the projects did not focus per se on women and vulnerable groups (including children), the evaluation evidenced that women played significant roles in NIPs development, and the implementation of various components of the project. The Prodoc/PIF recognized that the NIPs would help reduce the risks posed by chemicals and pesticides to vulnerable populations in beneficiary countries<sup>18</sup>, and women were foreseen to play significant roles in NIPs development, and the implementation of various components of the project.

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<sup>18</sup> According to the PIF, 43% of working women, and 70% of working 5-17-years old children do so in agriculture, and hence would benefit immensely from reduced exposure to chemicals and pesticides.

**Table 4: Stakeholder Analysis**

Stakeholder	Level of Interest	Level of Influence	Importance as source of information for Evaluation	Focal area for questions
<b>International and Regional Stakeholders</b>				
UN Environment, Economy Division <sup>19</sup> , Chemicals and Health.				
Project Developer	H	H	M	Assessment of design of projects
Task Manager	H	H	H	All aspects
Project Management Staff	M	M	H	Assessment of joint implementation and impact of separation
Stockholm/Basel Regional Centres and Conventions Secretariat	H	M	H	All aspects
<b>Executing Agency Staff</b>				
Project Coordinator	H	H	H	All aspects
Finance officers	H	M	H	Efficiency aspects/financial management
Admin officers	H	M	M	Efficiency aspects
Consultants	H	H	M	Effectiveness aspects
Co-financing institutions	M	L	M	All aspects
<b>National Stakeholders</b>				
<b>Government Ministries, Departments and Agencies</b>				
POPs focal points	H	H	H	All aspects of national implementation
Members of NIP coordinating committee	M	M	M	Long-term role and assessment of current capacity for NIP implementation
National Civil Society Organizations	H	M	M	Their inclusion in the planning process. Unexpected outcomes. Unintended negative effects.
Representatives of Vulnerable communities	M-H	L	H	Effectiveness of awareness raising and continued exposure to POPs of children and adults (male and female)
<b>Private Sector</b>				
Private-sector and trade organizations	M	M	M	Their inclusion in the planning process. Feasibility of NIPs from their perspective.
POPs-related Industries & suppliers	M	L	M	Understand change in behaviour as a result of the project

<sup>19</sup> The Economy Division was formerly known as the Division for Technology, Industry and Economics (DTIE)

<b>Stakeholder</b>	<b>Level of Interest</b>	<b>Level of Influence</b>	<b>Importance as source of information for Evaluation</b>	<b>Focal area for questions</b>
Media Channels				
Radio, TV, print, and online journalists	M	M	H	Awareness of POPs and effectiveness of campaigns
Public				
Farmers (Male)	M	L	H	Awareness and attitudes to POPs
Farmers (Female)	M	L	H	Awareness and attitudes to POPs

### 3.4 Project Implementation Structure and Partners

116. UN Environment, as Implementing Agency interacted with national Executing Agencies (EA) by transferring funds, collecting technical and financial reports, and engaging EA staff in global component activities. In each country, a national EA led the project implementation, organized the work of the NIP Coordination Committee, interacted with subcontractors and national and international stakeholders (Figure 2).

Figure 2. Project Implementation Diagram



### 3.5 Changes in Design During Implementation

117. Overall, the project design did not change during implementation, however, the initially planned timeframe of 24 months (April 2014 to May 2016) was shown not to be realistic, with most countries falling behind schedule. This coincided with the appointment of a Task Manager at UN Environment, following an absence of supervision since the redeployment of the original Task Manager in 2012.

118. In 2016 the project was extended via Amendment No. 1 to the Global umbrella project, which revised "the completion date of the NIP project to be in line with the Project Implementation Plan (PIP)". This was signed and entered into force on 16 January 2017. This no-cost extension effectively extended the initial project duration from 24 to 43 months (from April 2014 to December 2017 – previously May 2016).

119. By December 2018 the project was technically completed with updated NIPs prepared and/or endorsed in 14 out of 32 project countries<sup>20</sup>.

<sup>20</sup> A further 13 countries expect to deliver their updated NIPs in the course of 2019.



### 3.6 Project Financing

120. At the time of evaluation, the Evaluation Team did not have access to complete financial information regarding overall expenditures or co-finance for all countries. In addition, the UN Environment's financial reporting system that was in place at the start of the project did not track expenditure at the component level. As such, UN Environment did not require the Executing Agencies to report expenditure by component, nor to confirm the sources of co-finance.

121. The data in this section derives from the latest official information that was made available to the Evaluation Team.

**Table 5: Expenditure by Outcome/Output**

<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component G	368,000	Not provided	
GEF ID 5307	10,465,753	6,014,043.45	57.46%
Component 1 / Outcome 1	377,250	328,061	87%
Component 2 / Outcome 2	1,231,374	1,115,618	91%
Component 3 / Outcome 3	561,190	488,500	87%
Component 4 / Outcome 4	737,105	522,692	71%
Component 5 / Outcome 5	397,725	379,748	95%
GEF ID 5525	2,314,552	1,061,491.83	45.86%
Component 1 / Outcome 1	123,456	103,623	84%
Component 2 / Outcome 2	390,873	282,543	72%
Component 3 / Outcome 3	175,064	69,285	40%
Component 4 / Outcome 4	218,614	82,750	38%
Component 5 / Outcome 5	129,360	57,730	45%

## 4 Theory of Change at Evaluation

### 4.1 Reconstructed Theory of Change at Evaluation

122. The reconstruction of the ToC at evaluation was necessary to address the fact that the project document (ProDoc) did not include a ToC because this was not a requirement at the time of project development. In addition, the ProDoc did not have one comprehensive logical framework, but had various elements which were used by the Evaluation Team to reconstruct the Outputs and eventual Outcomes of the project as shown in Table 6.

123. The ToC at evaluation aims to capture a complex reality in a simplified manner by identifying the fundamental logic and assumptions behind a concept and was tested in the field to verify accuracy and validity. At the inception of the evaluation, the pre-conditions and assumptions described in section 4.2 below, were considered.

**Table 6 Project Outputs and Outcomes at Evaluation (As per Project Document)**

<b>Component</b>	<b>Output</b>	<b>Outcome</b>
Component G – Global / regional support to share information and evaluate NIPs updating world-wide	1 - Lessons learned identified and disseminated	Enhanced communication and sharing of information enables Parties to compare and harmonize data and identify lessons learned and good practices
	2 - Initial needs and opportunities for exchange of information and expertise identified	
	3 - Regional/global training support provided and information exchange encouraged	
Component 1 - Initiation of the process of reviewing and updating NIPs	1 - Key stakeholders and roles identified and agreed	Institutional strengthening through enhanced national coordination
	2 - Initial assessment of institutional needs and strengths	
	3 - Coordination mechanism for POPs management in place	
Component 2: Assessment of the national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment	1 - Comprehensive overview of national infrastructure and regulatory framework to manage POPs available	Comprehensive information on current POPs control measures, management practices, use and an impact provides the basis for identifying POPs issues of concern and planning sound actions to address them.
	2 - Quantitative and qualitative inventories covering all 22 POPs available: including updated inventories for POPs covered in initial NIP and first inventories for newly-listed POPs	
	3 - Overview of POPs impacts to human health and the environment available	
Component 3: Development or updating of Action Plans for New POPs and updating of Action	1 - National progress made on original POPs management analyzed and available to all stakeholders	Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans

Component	Output	Outcome
Plans for initial POPs including gaps analysis	2 - Action Plans for all POPs developed and/or updated and validated by all stakeholders	
	3 - Gap analysis report available to all stakeholders	
Component 4: Formulation of revised and updated National Implementation Plans with associated Action Plans for all 22 POPs	1 - Revised national objectives and priorities for POPs including new POPs	Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows countries to develop rational and coherent strategies to reduce POPs risks in and to meet the obligations of the Stockholm Convention
	2 - Draft revised NIP available to all stakeholders	
Component 5: Endorsement of National Implementation Plan	1 - Outreach strategy report - includes consultations with key national stakeholders	NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement the Stockholm Convention at all levels
	2 - NIP endorsed by the Government	

## 4.2 Causal Linkages

124. Given that the Project had the same objectives in all implementing countries, the ToC uses logic to assess results and changes at country level, noting differences in experience where this is found. The ToC includes Pre-conditions (PCs), which can either be “in place”, “partly in place”, or “not in place.” However, the PCs need to be in place before a project can start. For the purposes of the terminal evaluation, the Evaluation Team identified three PCs at the start of the evaluation, although there are likely to be additional pre-conditions required prior to the start of an intervention of this type. The three PCs identified at the start of the evaluation are as follows:

- PC.1: There is strong Government support and commitment at highest national level; timely and sufficient financial/human resources allocated by the Government(s) to the project (strong commitment of the relevant Government Ministry or Agency is required but is not a sufficient pre-condition);
- PC.2: Government willing, and has the capacity to take leadership for approval of NIP;
- PC.3: The public and private sectors are aware of, understand, and are willing to support the government (ability to mobilize financial resources is required but is not a sufficient pre-condition).

125. The evaluation found that these PCs were met in the project countries, hence the high rate of implementation of the project.

### Assumptions and Drivers

126. The ToC includes the following assumptions and drivers:

127. Assumptions can either be “accurate” or “inaccurate”, “realized” or “not realized”, “in-place” or “not in place” or “uncertain.” Assumptions are an important element in any ToC; if wrong, they may render the ToC dysfunctional, or make it collapse entirely. The NIPs ToC is based on the following fundamental Assumptions, and their corresponding Underlying Assumptions (As):

- A.1 Governments are committed, and consider the intervention a national, and regional priority (reducing flux of POPs reduces global environmental and human exposure to risks); Underlying assumption 1: National Coordinating Committees formed during NIP development process are still functional and provide support; Underlying assumption 2: co-financing is made available in a timely manner; Underlying assumption 3: inter-sectoral coordination mechanisms will be put in place and supported by the government;
- A.2 UN Environment has the capacity and resources at HQ and at country level to support delivery of the expected results; Underlying assumption 1: Stockholm and Basel Regional Centres will support the project and will coordinate key activities at the regional level and provide logistic and administrative support;
- A.3 National Executing Agencies (EAs) are capable of driving the project. Underlying assumption 1: EAs have the capacity to contract, manage and deliver the expected results (reducing risks to the population, especially most vulnerable ones).
- A.4 Context related assumptions: there is political continuity in countries implementing the project

128. The evaluation found that these UAs were largely valid in the project countries, although there were some challenges here and there as detailed in the country reports.

129. Main Drivers are external conditions that can be influenced by the Project. These are external conditions over which the project has some level of control and can influence the achievement of the next level results. At the Inception of the Evaluation Team identified main Drivers (Ds), and left open the possibility that the Evaluation would discover other drivers which would be included in the Evaluation Report. The main Drivers identified were as follows:

- D.1 The intervention strategy is convincing to countries
- D.2 There is pressure on Government from BRS Secretariat to comply with obligations of the Stockholm Convention
- D.3 Non-government stakeholders (including Civil Society, media and public, etc.) pressure Government to address POPs

130. The Evaluation found the Drivers to be largely effective by virtue of the significant role of governments and NGOs in the implementation of the Project.

### Outputs to Direct Outcomes

131. The ToC at evaluation defines 16 Outputs for each 6 Components of the Project, including Component G, which was carved out of Component 1 in the ProDoc by the Evaluation when it prepared the ToC at evaluation (Table 6). According to the ToC the delivery of these Outputs would lead to the achievement of the following six Direct Outcomes:

- i) Enhanced communication and sharing of information enables Parties to compare and harmonize data and identify lessons learned and good practices
- ii) Institutional strengthening through enhanced national coordination
- iii) Comprehensive information on current POPs control measures, management practices, use and an impact provides the basis for identifying POPs issues of concern and planning sound actions to address them.
- iv) Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans
- v) Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows countries to develop rational and coherent strategies to reduce POPs risks in and to meet the obligations of the Stockholm Convention
- vi) NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement the Stockholm Convention at all levels.

132. The delivery of Outputs under the Component G (Global/regional support to share information and evaluate NIPs updating worldwide) would thus result in the Direct Outcome that there is enhanced communication and sharing of information between **parties to enable them compare and harmonized data, and identify lessons learned and good practices.**

133. Similarly, delivery of Outputs under Component 1 contributes to the achievement of Outcome that there is **institutional strengthening through enhanced national coordination.** These Outputs included identifying key stakeholders and their roles in the project, conducting an initial assessment of institutional needs and strengths, and putting in place coordination mechanisms for POPs management. These Outputs demonstrate that assumption A.1 (that governments are committed and consider the project a national and regional priority), and A.3 (that National Executing Agencies are capable of driving the project) are valid.

134. The delivery of Component 2 Outputs led to the Outcome that comprehensive information on current POPs control measures, management practices, use and an impact provides the basis for identifying POPs issues of concern and planning sound actions to address them. Component 2 Outputs include having a comprehensive overview of national infrastructure and regulatory framework for the management of POPs, inventories of all 22 POPs, and an overview of the impact of POPs on human health and the environment. The delivery of Component 2 Outcome helped validate A.1 namely that governments are committed to, and consider the intervention a national and regional priority.

135. Component 3 of the project was on the development and/or updating of Action Plans for new and existing POPs, and resulted in three Outputs, namely the analysis of national progress on the management of the original POPs, the completion of Action Plans for all POPs, as well as a gap analysis, and making all of them available to all stakeholders. These Outputs would result in the Outcome that **sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans.**

136. The delivery of Component 4 (formulation of revised and updated NIPs for all 22 POPs) led to two Outputs, namely, that national objectives and priorities for POPs are revised, and that a Draft revised NIP is made available to all stakeholders. These Outputs in turn lead to the Outcome that there is **improved understanding of all POPs for cost-effective actions to address priority POPs issues allows countries to develop rational and coherent strategies to reduce POPs risks in and to meet the obligations of the Stockholm Convention.**

137. Finally, Component 5 (endorsement of the NIP) had two Outputs: an Outreach strategy report prepared in consultation with key stakeholders is published, and that the NIP is endorsed by government. These Outputs would lead to the Outcome that **NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement the Stockholm Convention at all levels.**

### Direct Outcomes to Intermediate States

138. According to the reconstructed ToC, the Project Outcomes lead to Intermediate State I, which in turn would lead to Intermediate State II, and finally, to Impact (Figure 1). Although the Intermediate States and Impact usually do not happen within the framework of the project, they are included in the ToC to provide a more holistic perspective on the rationale for the Project. Their inclusion in the ToC also allows the evaluation to comment on emerging longer term results.

139. The Evaluation found that the Outcomes of the Project resulted in the attainment of Intermediate State I where existing gaps in POPs management are identified, and that actions are taken to improve POPs management. In particular, almost all Project countries have updated the inventory of all 22 POPs, and conducted gap analyses. A number of project countries have also conducted sensitization programs to increase awareness about POPs, and capacity-building programs to increase competence in the management of POPs. These efforts validate the first (A.1) and second (A.2) assumptions of the ToC, and indicate that Drivers D.1 and D.3 are operational.

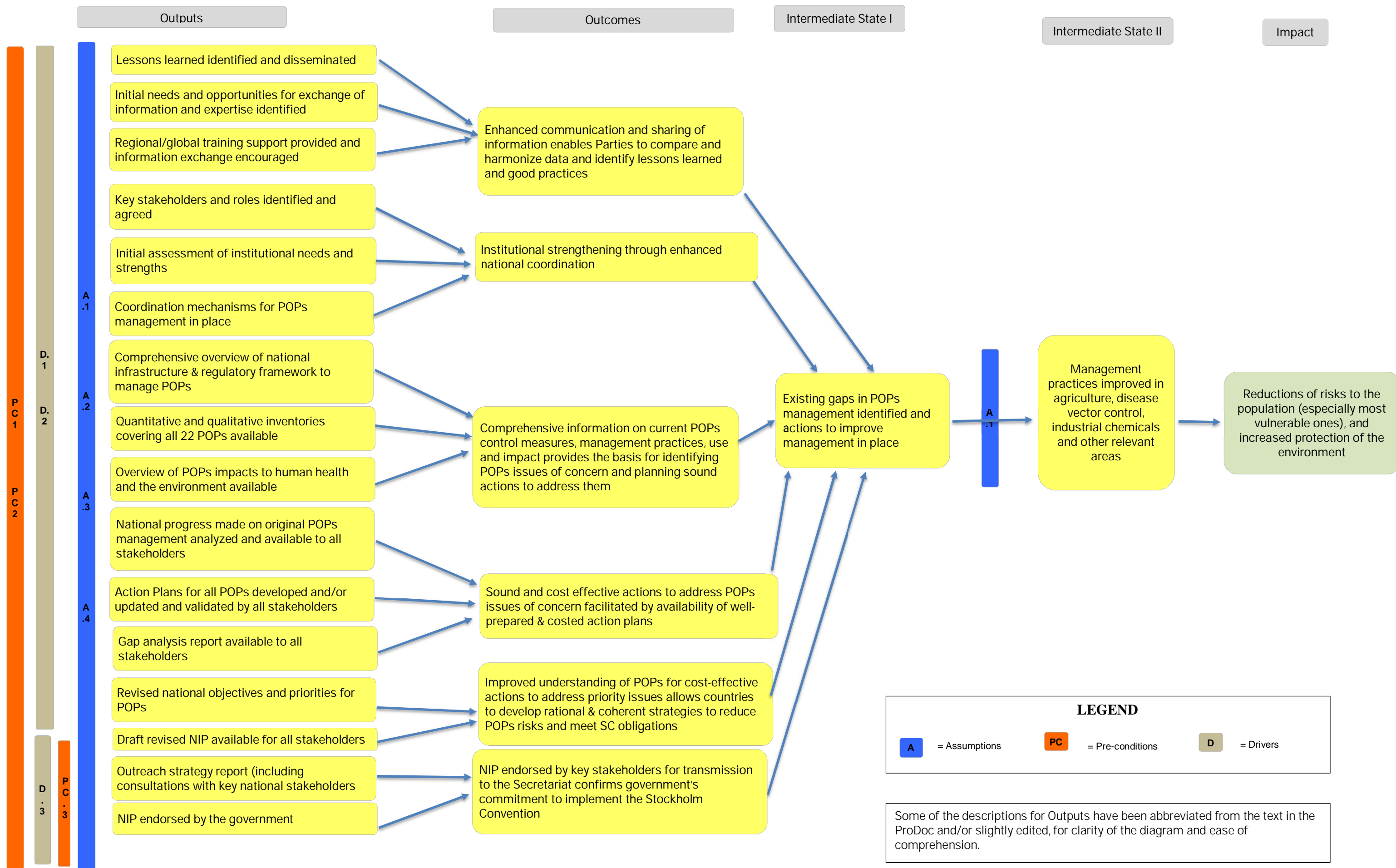
140. The ToC also postulates that whether or not a Project country transitions from the first to the second Intermediate State where management practices improve in agriculture, disease vector control, industrial chemicals and other relevant areas, will largely depend on the validity of the first Assumption (A.1) of the ToC, i.e. that governments consider (especially in the long run) the better management of POPs a national and regional priority. Although some Project countries have started improving the use of POPs in agriculture and other areas, some are yet to complete the implementation of the Project, and hence, are yet to reach the first Intermediate

State. A number of countries have, following their inventories, now stopped using transformers with PCBs, however in other cases implementation of the Project has been halted because of delays (lack of national expertise, approval of No-Cost extension requests, etc.).

### **Impact**

141. The ToC also stipulates that ultimately and in the long term, the Project will have an impact, whereby the risks posed by POPs to the population (especially most vulnerable ones) will be reduced, and there is increased protection of the environment. The impact of the Project will, according to the ToC, be dependent on the attainment of the second Intermediate State, which is dependent on a variety of factors and drivers which influence the achievement of the Outcomes and the first Intermediate State, as shown in Figure 1. In view of the fact that many countries have made significant progress in implementing the Project, and some have even completed preparing their updated NIPs, it is safe to assume that in time, the Project will have the expected impact in the Project countries. At that time, these countries would have identified existing gaps in POPs management and taken actions to improve POPs management (Intermediate State I), and moved on to have improved POPs management practices in agriculture and other areas (Intermediate State II) largely because governments consider the POPs management important national and regional priorities.

Figure 1: Theory of Change at Evaluation





## 5 Evaluation Findings

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### 5.1 Strategic Relevance

#### 5.1.1 Alignment to UN Environment Mandate, Medium Term Strategy and Thematic Priorities

142. The mission of UN Environment is “to provide leadership and encourage partnerships 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”<sup>21</sup>. Toward this end, the organization has seven Thematic Priorities: climate change, disasters and conflicts, ecosystem management, environmental governance, chemicals and waste, resource efficiency, and environment under review, with work in all of these areas being underpinned by a commitment to sustainability.

143. With regard to chemicals and waste, UN Environment works to minimize their adverse effects on human health and the environment. Accordingly, UN Environment works closely with governments, international organizations, and other stakeholders around the world to develop solutions for the sound management of chemicals and waste.<sup>22</sup> Thus, the UN Environment Medium Term Strategies (2010-2013,<sup>23</sup> and 2014-2017<sup>24</sup>) have both aimed at achieving the sound management of chemicals and waste and reducing their adverse effects on human health and the environment. One important aspect of this work is the management of POPs, which UN Environment has worked with many countries to implement projects (such as this NIP Updating project) to meet their obligations under the Basel, Rotterdam, and Stockholm Conventions.<sup>25</sup>

#### 5.1.2 Alignment with the Stockholm and Basel Conventions

144. The Stockholm and Basel Conventions have a common objective of protecting human health and the environment from hazardous wastes and chemicals. The objective of the Stockholm Convention is to protect human health and the environment from persistent organic pollutants. Toward this end, Article 7 of the Stockholm Convention on POPs requires Parties to prepare National Implementation Plans (NIPs). A NIP is a formal planning document which defines a country’s commitments, current situation and the actions it plans to undertake to better manage POPs. Article 7 also stipulates that countries should periodically conduct a review and update of their NIPs, and in a manner to be specified by the Conference of the Parties. For this reason, the Project was aligned with both the Stockholm and Basel Conventions because it helps countries protect human health and the environment from the pernicious effects of POPs.

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<sup>21</sup> <https://www.unenvironment.org/about-un-environment/what-we-do>

<sup>22</sup> <https://www.unenvironment.org/explore-topics/chemicals-waste/about-chemicals-waste>

<sup>23</sup> <https://tinyurl.com/y5rozgda>

<sup>24</sup> <https://tinyurl.com/yxng4w9t>

<sup>25</sup> <https://tinyurl.com/y3mr7h5w>

### 5.1.3 Alignment to Regional, Sub-regional and/or National Environmental Priorities

145. The projects are fully aligned with national priorities supporting NIP implementation and in general interventions were firmly anchored in the UNDAFs<sup>26</sup> and/or national development plans, policies, and strategies of Project countries. They all built on the momentum of national coordinating mechanisms established during the NIP development process and, contributed to strengthening countries' established capacities for the sound management of chemicals.

146. The project is also aligned with Regional and Sub-Regional priorities around the world, in particular with the following international Conventions:

- The UN Convention on Substances that Deplete the Ozone Layer (Vienna Convention) (1985), and Montreal Protocol on Substances that Deplete the Ozone Layer (1987)
- ILO Convention on the Safety of Chemicals at the Workplace (1990)
- London Amendment of the Montreal Protocol on Substances that Deplete the Ozone Layer (1990)
- UN Chemicals Weapons Convention (1993)
- The Rotterdam Convention on Prior Informed Consent (PIC) Procedure of certain Pesticides and Chemicals in International Trade (1998)
- FAO International Code of Conduct for the Distribution and Use of Pesticides (as amended in 2003)
- Bamako Convention on the Control of Transboundary Movements of Hazardous Wastes (1991) in West Africa and others<sup>27</sup>.

### 5.1.4 Alignment to Target Group and Beneficiary Needs and Priorities

147. These projects contributed to achieving improved legislative and regulatory mechanisms in participating countries as well as more effective enforcement. They were, in essence, capacity building projects that targeted national governments as well as NGOs and civil society involved in the management of chemicals, or that were impacted by chemical use, including POPs.

148. The Evaluation evidenced that the Project was well aligned with Target Group and Beneficiary Needs and Priorities for a number of reasons. First, the preparation and implementation of the project was highly participatory as evidenced in many countries, and as such, the project was aligned with the needs and priorities of Target Groups and Beneficiaries. Second, because the project was aligned with national development priorities and strategies (which invariably took into consideration the needs of Target Groups and Beneficiaries), it was also aligned with the needs and priorities of these groups.

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<sup>26</sup> The UNDAF for the Pacific Region does not make a specific mention of POPs; the focus being on disaster risk management, owing to the devastating storms that take place in the Pacific region. In the case of the Solomon Islands, POPs are not mentioned in the National Development Strategy; however, interviews confirmed the high relevance of the project.

<sup>27</sup> In The Gambia, for example, the Project was aligned with the Programme for Accelerated Growth and Employment (PAGE) and the UNDAF (2012-2016). Similarly, the Project was aligned with Ghana's UNDAF (2012-2016) which itself was fully aligned with, and based on Ghana Shared Growth and Development Agenda (GSGDA) (2010-2013).

### 5.1.5 Alignment to GEF Strategic Priorities

149. The GEF is a principal component of the financial mechanism of the Stockholm Convention and supports activities to meet the Convention's objectives. These interventions were aligned with GEFs goal "to promote the sound management of chemicals throughout their life-cycle in ways that lead to the minimization of significant adverse effects on human health and the global environment." Specifically, the projects were aligned with POPs Strategic Program 1 (SP1), strengthening capacities for NIP development and implementation, and Strategic Program 2 (SP2), partnering in investments for NIP implementation. In addition, the project contributed to sound chemicals management and POPs use and release reduction objectives.

150. In this regard, the GEF is strongly committed to supporting countries to comply with the Stockholm Convention, and address issues related to the inclusion of the 10 new POPs added to the annexes of the Convention at the 4th and 5th sessions of the Conference of the Parties (COP) to the Stockholm Convention (COP). The GEF-5 Programming Document also calls for the phase out of POPs, reduction of POPs releases, and building country capacity to phase out and reduce releases of POPs.

151. In particular, the GEF aims at providing at least 45 countries with support to update their NIPs for POPs management, and announced at the COP-5, that it would provide up to 250,000 USD in grants to each eligible country embarking upon NIP review and updating. Given that the Project helped 32 countries in Africa, Asia, South America and Latin America review and update their NIPs, the Evaluation concluded that it was fully aligned with the GEF Strategic Priorities.

### 5.1.6 Complementarity with Existing Interventions

152. The Evaluation found that the Project complemented existing interventions in many countries. One reason for this is the relatively long history of partnership between UN Environment and parties to the Stockholm and Basel conventions. Thus, the Project was preceded by one that helped 12 pilot countries (Barbados, Bulgaria, Chile, Ecuador, Guinea, Lebanon, Malaysia, Mali, Micronesia, Papua New Guinea, Slovenia and Zambia) to develop their NIPs for POPs management, and prepare action plans to reduce the release of POPs.<sup>28</sup> For this reason, many Project countries already had institutional frameworks in place to update their NIPs. For example, both The Gambia and Cameroon used project management structures they set up when they prepared their first NIPs, also with UN Environment support. It was similar in the case of Samoa: the PSC was not established anew for the project. It was established within the framework of a previous SAICM project, which now functions as de facto PSC for all Chemicals projects.

### 5.1.7 UN Environment Capacity Building and South-South Cooperation policies

153. Capacity building and South-South Cooperation are important pillars of the UN Environment work, and as such, featured prominently in the implementation of this Project. Thus, the project provided many countries with expertise to train national staff in conducting POPs inventories, as well as the development of Action Plans, and the preparation of NIPs. In the same vein, the Project organized a *Global Workshop on developing, revising and updating national implementation plans*

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<sup>28</sup> <https://tinyurl.com/y3f3tmsd>

*(NIPs) under the Stockholm* in Jakarta, Indonesia in 2015 to build the capacities of the Basel and Stockholm Conventions party countries in the preparation of their NIPs.<sup>29</sup>

154. The Evaluation also found that the Project facilitated South-South Cooperation by facilitating networking and the exchange of knowledge between various countries. For example, the Project organized in Montevideo, Uruguay in 2018, a Global Workshop “From NIPs to Implementation” of the UN Environment/GEF Projects “Global project on the updating of National Implementation Plans for POPs” and “Global project on the updating of National Implementation Plans for POPs – add on to umbrella FSP project.”<sup>30</sup>

155. The workshop was organized to disseminate lessons learned and good practices in NIP development, update and implementation processes at the national level, share the information on the main findings of the implementation of these projects, and identify national and regional opportunities to implement Stockholm Convention. Similarly, the 2015 workshop in Jakarta, Indonesia brought together participants from 35 participants from 18 countries in Asia and Africa, two GEF implementing agencies (UNEP and UNIDO), IPEN, the BCRC- SEA/SCRC Indonesia and the BRS Secretariat. The Jakarta workshop also allowed participants to share knowledge and exchange ideas about their experiences in preparing NIPs.

156. As can be seen in Table 7, below, based on information from the Country Studies, overall the strategic relevance of the project averages out to 5.5, which according to Table 3: Point equivalent and corresponding rating (above) places it in the Highly Satisfactory category.

**Table 7: Averaged rating for Strategic Relevance**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Avg
<b>A. Strategic Relevance</b>	6	5	6	5	6	6	5	5	<b>5.50</b>
1. Alignment to MTS and POW	6	5	6	5	6	6	6	6	<b>5.75</b>
2. Alignment to UN Environment/Donor/GEF strategic priorities	6	5	6	5	6	6	6	6	<b>5.75</b>
3. Relevance to regional, sub-regional and national environmental priorities	6	5	6	5	6	5	5	5	<b>5.38</b>
4. Complementarity with existing interventions	6	5	6	5	4	6	5	5	<b>5.25</b>

157.

158. This is further supported by evidence from the Country Reports which also indirectly confirm the high values of strategic relevance; this can be inferred from data indicating that 10 of the countries have fully completed the project and an additional 10 expect to submit their NIP in the course of 2019, in support of Stockholm Convention obligations.

<sup>29</sup> <https://tinyurl.com/y59cqo7u>

<sup>30</sup> <https://tinyurl.com/y4yu8zg4>

## The Strategic Relevance of the Project is Rated “Highly Satisfactory”

### 5.2 Quality of Project Design

159. The assessment of the Project Design Quality followed the UN Environment procedure and template<sup>31</sup>. The project was designed back in 2012 before the principles of the Theory of Change were incorporated in UN Environment’s project design process. The project document contains all necessary sections that cover information on structure, risks, assumptions, sustainability and stakeholders. The logical framework contains indicators, baseline, and targets for each outcome. The overall assessment of Quality of Project Design was “Satisfactory” and the main elements and respective ratings are presented below:

160. **Project preparation – “Satisfactory”:** The project document contains accurate problem analysis, adequate situation analysis, and proper stakeholder analysis. Nevertheless, it is not clear how stakeholders were consulted in the development of the project. The ProDoc text indicates that information was obtained through consultations under GEF 12-country project. The issues of sustainability and gender are mentioned briefly in the ProDoc. Indigenous people are not mentioned in ProDoc, but it is stated that participation of minorities would be sought in the project implementation.

161. **Strategic Relevance – “Satisfactory”:** The Project Document indicates the alignment of project objectives and outputs with UN Environment, GEF global priorities on improving POPs management and helping developing countries increase their capacity and comply with the Stockholm Convention. The project builds upon previous GEF projects implemented by UN Environment and UNIDO.

162. **Intended Results and Causality – “Satisfactory”:** The ProDoc does not contain a Theory of Change, but contains risk analysis, project targets and lists of assumptions. There are few details on how different stakeholders would participate in the project. The intended project work clearly should lead to achieving desired outputs and outcomes.

163. **Logical Framework and Monitoring – “Satisfactory”:** Logical framework contains the objective, outcomes, “SMART” indicators of outputs and outcomes with mid-term and end-of-project targets. Monitoring procedures are described in sufficient detail, and there is a clear separation of responsibilities between project participants. A budget for monitoring and evaluation is allocated, however this does not include reference to a mid-term review.

164. **Governance and Supervision Arrangements – “Satisfactory”:** The roles of Implementing Agency and Executing partner are theoretically clearly defined. The project document contains a project Supervision Plan. The project in each country is to be guided by existing National Coordinating Committees, formed during the NIP and overseen by National Executing Agencies (Ministry of the Environment). However, the monitoring role of the UN Environment Project Manager is not clear. In the case of the Solomon Islands and Samoa for example, the Regional Centres of the Conventions, as well as the UN Environment Representation in Samoa were not involved in any way in the project; no regional inception workshop was foreseen and UN

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<sup>31</sup> Presented in Annex C of the Inception Report

Environment was not represented at the national inception workshops. A UN Environment representation at the regional workshop could have clarified expectations regarding outputs, and avoided some delays<sup>32</sup>.

165. **Partnerships – “Satisfactory”**: Distribution of roles between partners in the project is theoretically clear and concise. However, in the case of the Solomon Islands, there were some misunderstandings about the expectations on outputs, which resulted in a 2 year delay for the approval and endorsement of the NIP in the Solomon Islands.

166. **Learning, Communication and Outreach – “Satisfactory”**: This work is described in sufficient detail. It is planned that an outreach strategy would be developed in each country at the end of the project.

167. **Financial Planning/Budgeting – “Satisfactory”**: The budget is clear and concise, per partner overall contribution stated; it is however not outcome specific. There isn’t a particular resource mobilization strategy presented or a cash flow forecast in the document.

168. **Efficiency – “Moderately Satisfactory”**: The project builds upon previous initiatives. The project planned to use existing POPs National Coordinating Committees and the guidance, prepared by UNIDO, to review and update the National Implementation Plan on POPs. The project was extended beyond the original date. The reasons were identified to be explored during the evaluation.

169. **Risk identification and Social Safeguards – “Moderately Satisfactory”**: The risks of political instability were identified. Not many details were provided on environmental, social and economic impacts.

170. **Sustainability/Replication and Catalytic Effects – “Moderately Satisfactory”**: The project is supposed to enhance the relationship between Parties to the Convention and their respective Regional Centres for technical support that should be continued in the future. In general, there is no explicit sustainability strategy.

171. Overall the project design is considered **Satisfactory**. It assisted countries in addressing sometimes challenging issues and needs related to POPs; its main strengths relate to having used and/or built on previously conducted work on POPs. Weaknesses include some issues with reporting, and the fact that no particular attention was given to gender balance.

**Table 8: Averaged rating for Quality of Project Design**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>B. Quality of Project Design</b>	5	5	5	5	6	5	5	5	<b>5.13</b>

<sup>32</sup> In particular, no Regional Technical Coordinator or Technical Coordinating Body (not to coordinate the meetings, but more importantly to provide technical support) was foreseen for the Pacific Region. A Regional Technical Coordinator/Coordinating Body, who is not only geographically close to the region, but with an understanding for the region, would have been conducive to project implementation in the Pacific Region.

## Quality of Project Design rated “Satisfactory”

### 5.3 Nature of External Context

172. The ProDoc acknowledges multiple risks related to a large number of participating countries, and political instability and countries’ ownership were described as the main potential issues. Although very different external and country-specific conditions occurred during the period of implementation of the project, in general, this Criteria is not considered to have had a significant negative effect on delivery of the expected Outputs.

173. Some countries were impacted at different times by external events, which included political unrest and security related concerns, however, overall during project implementation, this was considered to be mostly predictable and was, in general, only occasionally a minor to moderate threat to project implementation. As regards climatic events, in general countries are considered to be subject to somewhat predictable (or expectable) disasters or changes, however in some cases these had intermittent or partial effects on project operations.

174. Regarding the security situation, social or economic issues or changes, these occasionally challenged project implementation but mitigation strategies were in general successfully developed. This also includes the fact that, in general, capacity is very low at all levels and partners reportedly required constant support and technical assistance during project implementation.

**Table 8: Averaged Rating for Nature of External Context**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>C. Nature of External Context</b>	1	5	5	5	4	5	5	5	<b>4.38</b>

## Nature of External Context rated “Moderately Favourable”

### 5.4 Effectiveness

175. Effectiveness was assessed based on the delivery of the outputs as at June 2019, achievement of the direct outcomes and the likelihood of impact. A summary of the status of the delivery of the projects’ outputs is presented in Table 13 on page 53. Delivery of key outputs, or progress towards delivering these by project closure, are presented below the table.

176. Overall, UN Environment as Implementing Agency acted quickly in August 2011 to put in place the necessary contracts with the Executing Agencies and to effect the first disbursements. However, evidence indicates that it took the Executing Agencies over one year to deliver the first activities. In addition, unforeseeable events hindered the implementation of the early stages of the projects of which the most notable was that there were four UN Environment Task Managers

during the life of the projects. Each needed to be inducted into the workings of the projects (estimated to have required a minimum of three months each<sup>33</sup>).

177. The Evaluation Team was able to document significant qualitative and quantitative results for all Direct Outcomes and, although the progress under each of these headings was reviewed in detail, only a summary of findings is presented in this chapter. It is, however, important to note that this review takes into consideration the fact that, at time of writing of this Terminal Evaluation, a number of countries have yet to finalize the outputs.

178. The overall rating for Effectiveness is based both on the results of the Country Studies, and on the results of the Country Reports, as detailed below. A discussion of the individual Ratings Criteria for Delivery of Outputs, Achievement of Direct Outcomes and, Likelihood of Impact follows this section.

**Table 9: Effectiveness as Assessed by Country Studies**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>D. Effectiveness</b>	6	5	4	6	4	6	4	4	<b>4.88</b>
1. Delivery of outputs	6	5	4	6	4	5	4	4	<b>4.75</b>
2. Achievement of direct outcomes	6	5	4	6	4	5	3	4	<b>4.63</b>
3. Likelihood of impact	5	5	4	5	4	4	4	4	<b>4.38</b>

179. As can be seen from the table above, the average rating provided by data from the Country Studies places Effectiveness in the Satisfactory category (4.88 average, out of 6); inclusion of data from the Country Reports allows the Evaluation Team to further refine this assessment, to ensure the accurate reflection of effectiveness of results.

180. In this sense, as can be seen in the table below, the overall average rating for Component delivery, based on Country Reports, is 2.45 out of a possible total of 3<sup>34</sup>. As explained above (see Table 3) this rating would therefore indicate that overall the project in this group of countries is rated Fully Completed, which is equivalent to a Highly Satisfactory rating.

**Table 10 Effectiveness as Assessed by Country Reports**

	NIP approval	Updated NIP	Components	1	2	3	4	5

<sup>33</sup> Evidence indicates that each project manager requested copies of all project related documents from countries, pointing out to the fact that hand over processes were not in place (document/knowledge management systems and or effective institutional data management systems)

<sup>34</sup> A rating of 3 corresponds to Fully Completed – a rating of 2 is More than Half Completed – a rating of 1 is Less than Half Completed – a rating of 0 is Not Started



Albania	2006	2017	Fully Completed	3	3	3	3	3
Benin	2008	2017	Fully Completed	3	3	3	3	3
Burundi	2006	2017	Fully Completed	3	3	3	3	3
Chile	2006	2018	Fully Completed	3	3	3	3	3
Cook Islands	2011	tbc 2019	1-4 Fully Completed 5 more than half completed	3	3	3	3	2
Djibouti	2007	tbc 2019	1 and 2 Fully Completed 3-5 Not Yet Completed	3	3	2	2	2
Egypt	2005	tbc 2019	1-3 Fully Completed 4-5 Yet to be Completed	3	3	3	2	2
Georgia	2011	2018	Fully Completed	3	3	3	3	3
Ghana	2008	2017	Fully Completed	3	3	3	3	3
Kiribati		tbc 2019	1, 3 and 4 Fully Completed - 2 More than Half - 5 is Less than Half Completed	3	2	3	3	1
Lebanon	2006	2017	Fully Completed	3	3	3	3	3
Madagascar	2008	2017	Fully Completed	3	3	3	3	3
Malawi	2005	tbc 2019	1-4 Fully Completed 5 Not Yet completed (endorsement pending)	3	3	3	3	2
Marshall Islands	2009	?	No Progress	0	0	0	0	0
Montenegro	2014	tbc 2019	1-4 Fully Completed 5 Not Yet completed	3	3	3	3	2
Nauru	2012	tbc 2019	1 Fully Completed - 2-5 More than Half Completed	3	2	2	2	2
Pakistan	2009	tbc 2019	1 and 2 Fully Completed 3-5 More than Half Completed	3	3	2	2	2
Palau	2014	?	1 Fully Completed - 2-3 More than Half Completed, 4 Less than Half Completed - 5 Not Started	3	2	2	1	0

Papua New Guinea	2013	tbc 2019	1 and 2 Fully Completed - 3-4 More than Half Completed, 5 Less than Half Completed	3	3	2	2	1
Paraguay	2007	2017	Fully Completed	3	3	3	3	3
Sierra Leone	2008	tbc 2019	1-3 Fully Completed 4-5 Yet to be Completed	3	3	3	2	2
Tonga	2015	?	1 Fully Completed, 2 Less than Half, 3-5 Not Started	3	2	0	0	0
Tuvalu	2009	?	1 Fully Completed, 2 More than Half, 3-5 Not Started	3	2	0	0	0
Uruguay	2006	2018	Fully Completed	3	3	3	3	3
Average				2.875	2.667	2.417	2.292	2
Overall Average				2.45				

181. Although as per the scale used the overall rating for Efficiency would remain unchanged, it is interesting to single out the performance of Small Island developing States (SIDS) having participated in this project. In general data clearly indicates that there are considerable differences between progress registered for SIDS, and non-SIDS, as is shown in Table 11, and Table 12, below, where average performance for SIDS drops to a 1.7, or Moderately Satisfactory, while that of non-SIDS remains high, at 2.85, or Highly Satisfactory.

182. With regards to performance of these island states, evidence indicates that the recruitment of a Regional Technical Body, not only to coordinate meetings, but above all to provide technical support to the countries<sup>35</sup> could play a significant role in ensuring timely and effective implementation. It was repeatedly noted that the lack of a regional inception workshop at project commencement, and presence of EN Environment representatives at the national inception workshop, would also have been beneficial.

**Table 11: Effectiveness of Participating SIDS, as Assessed by Country Reports**

Cook Islands	2011	tbc 2019	1-4 Fully Completed - 5 more than half completed	3	3	3	3	2
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<sup>35</sup> Which is not only geographically close to the region, but also has an understanding for the region concerned. This regional Agency or the UN Environment regional representation, geographically close to the project country, would be more easily available to meet with the main stakeholders, and discuss project implementation, challenges faced, and support required.

Kiribati		tbc 2019	1, 3, 4 Fully Completed - 2 More than Half - 5 Less than Half Completed	3	2	3	3	1
Marshall Islands	2009	?	1 More than Half (Inception Workshop) - 2-5 No Progress	2	0	0	0	0
Nauru	2012	tbc 2019	1 Fully Completed - 2-5 More than Half Completed	3	2	2	2	2
Palau	2014	?	1 Fully Completed - 2-3 More than Half Completed, 4 Less than Half Completed - 5 Not Started	3	2	2	1	0
Papua New Guinea	2013	tbc 2019	1 and 2 Fully Completed - 3-4 More than Half Completed, 5 Less than Half Completed	3	3	2	2	1
Tonga	2015	?	1 Fully Completed, 2 Less than Half, 3-5 Not Started	3	2	0	0	0
Tuvalu	2009	?	1 Fully Completed, 2 More than Half, 3-5 Not Started	3	2	0	0	0

Average 2.875 2 1.5 1.375 0.75  
Overall Average 1.7

**Table 12 Effectiveness of non-SIDS Participating Countries, as Assessed by Country Reports**

	NIP approval	Updated NIP	Components	1	2	3	4	5
Albania	2006	2017	Fully Completed	3	3	3	3	3
Benin	2008	2017	Fully Completed	3	3	3	3	3
Burundi	2006	2017	Fully Completed	3	3	3	3	3
Chile	2006	2018	Fully Completed	3	3	3	3	3
Djibouti	2007	tbc 2019	1 and 2 Fully Completed 3-5 Not Yet Completed	3	3	2	2	2
Egypt	2005	tbc 2019	1-3 Fully Completed 4-5 Yet to be Completed	3	3	3	2	2
Georgia	2011	2018	Fully Completed	3	3	3	3	3

Ghana	2008	2017	Fully Completed	3	3	3	3	3
Lebanon	2006	2017	Fully Completed	3	3	3	3	3
Madagascar	2008	2017	Fully Completed	3	3	3	3	3
Malawi	2005	tbc 2019	1-4 Fully Completed 5 Not Yet completed (endorsement pending)	3	3	3	3	2
Montenegro	2014	tbc 2019	1-4 Fully Completed 5 Not Yet completed	3	3	3	3	2
Pakistan	2009	tbc 2019	1 and 2 Fully Completed 3-5 More than Half Completed	3	3	2	2	2
Paraguay	2007	2017	Fully Completed	3	3	3	3	3
Sierra Leone	2008	tbc 2019	1-3 Fully Completed 4-5 Yet to be Completed	3	3	3	2	2
Uruguay	2006	2018	Fully Completed	3	3	3	3	3

Average	3.00	3.00	2.88	2.75	2.63
Overall Average	2.85				

**Table 13 Summary of the Delivery of Project Outputs (compiled from various sources<sup>36</sup>)**

Component	Direct Outcome	Output	Status at Evaluation
Component G – Global / regional Support to share information and evaluate NIPs updating world-wide	Enhanced communication and sharing of information enables Parties to compare and harmonize data and identify lessons learned and good practices	1 - Lessons learned identified and disseminated	Outputs delivered in all project countries
		2 - Initial needs and opportunities for exchange of information and expertise identified	
		3 - Regional/global training support provided and information exchange encouraged	
Component 1 - Initiation of the process of reviewing and updating NIPs	Institutional strengthening through enhanced national coordination	1 - Key stakeholders and roles identified and agreed	Outputs delivered in all project countries with the exception of: Marshall Islands (Not Started)
		2 - Initial assessment of institutional needs and strengths	
		3 - Coordination mechanism for POPs management in place	
Component 2: Assessment of the national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and	Comprehensive information on current POPs control measures, management practices, use and an impact provides the basis for identifying POPs issues of concern	1 - Comprehensive overview of national infrastructure and regulatory framework to manage POPs available	Outputs delivered in all project countries with the exception of:

<sup>36</sup> The sources supporting this table include documentary evidence (Progress reports, etc.) as well as interview data.

Component	Direct Outcome	Output	Status at Evaluation
monitor effects of POPs in humans and the environment	and planning sound actions to address them.	2 - Quantitative and qualitative inventories covering all 22 POPs available: including updated inventories for POPs covered in initial NIP and first inventories for newly-listed POPs  3 - Overview of POPs impacts to human health and the environment available	Kiribati, Nauru, Palau, Samoa, Tonga and Tuvalu (More than Half Completed)  Marshall Islands (Not Started)
Component 3: Development or updating of Action Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis	Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans	1 - National progress made on original POPs management analyzed and available to all stakeholders  2 - Action Plans for all POPs developed and/or updated and validated by all stakeholders  3 - Gap analysis report available to all stakeholders	Outputs delivered in all project countries with the exception of:  Djibouti, Kyrgyz, Nauru, Pakistan, Palau, Samoa, Papua and New Guinea, (More than Half Completed)  Marshall Islands, Tonga and Tuvalu (Not Started)
Component 4: Formulation of revised and updated National Implementation Plans with associated Action Plans for all 22 POPs	Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows countries to develop rational and coherent strategies to reduce POPs risks in	1 - Revised national objectives and priorities for POPs including new POPs	Outputs delivered in all project countries with the exception of:  The Gambia (More than Half Completed)

Component	Direct Outcome	Output	Status at Evaluation
	and to meet the obligations of the Stockholm Convention	2 - Draft revised NIP available to all stakeholders	<p>Djibouti, Egypt, Nauru, Pakistan, Papua New Guinea and, Sierra Leone (Less than Half Completed)</p> <p>Palau and Samoa (Less than Half Completed)</p> <p>The Marshal Islands, Tonga and Tuvalu (Not Started)</p>
Component 5: Endorsement of National Implementation Plan	NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement the Stockholm Convention at all levels	<p>1 - Outreach strategy report - includes consultations with key national stakeholders</p> <p>2 - NIP endorsed by the Government</p>	<p>Outputs delivered in all project countries with the exception of:</p> <p>Cook Islands, Djibouti, Egypt, Gambia, Kyrgyz, Malawi, Montenegro, Nauru, Pakistan, Samoa and, Sierra Leone (More than Half Completed)</p> <p>Kiribati, Papua New Guinea and Samoa (Less than Half Completed)</p> <p>Marshall Islands and, Palau (Not Started)</p>

### 5.4.1 Delivery of Outputs (reconstructed at evaluation)

#### **Component G: Support to share information and evaluate NIPs updating worldwide**

183. This overarching global component was followed by 5 main components common to both umbrella project 5307 and add-on project 5525.

184. The planned outputs of Component G were the development of a regional position on POPs on the basis of updated NIPs; the development of an information exchange (discussion forum, expert sessions, webinars, etc.) using existing platforms; incorporation of inventory data into the SSC clearinghouse; development of a database of experts on POPs management; identification and dissemination of lessons learned; and, training on project coordination and access to lessons learned as well as good practices from previous projects.

#### **Component 1: Initiation of the process of reviewing and updating NIPs**

185. The planned Outputs included the identification of key stakeholders and agreement on their roles; initial assessment of institutional needs and strengths; and, establishment of coordination mechanism for POPs management.

186. The evaluation was able to document the delivery of these outputs in all project countries (with the exception of the Marshall Islands reporting, at time of evaluation, No Progress). This was achieved with the designation and support of project management structures and coordination team(s) which were either established or reactivated from previous NIP related work. Inception workshops were successfully delivered to an average of 50 participants<sup>37</sup> representing all stakeholder groups.

#### **Component 2: Assessment of national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment.**

187. The planned Outputs were: Comprehensive overview of national infrastructure and regulatory framework to manage POPs available; Quantitative and qualitative inventories covering all 22 POPs available: including updated inventories for POPs covered in initial NIP and first inventories for newly-listed POPs; Overview of POPs impacts to human health and the environment available.

188. Based on interview data and on the results of the Country Studies and Reports the Evaluation Team was able to ascertain that assessments of the countries' regulatory and institutional frameworks for POPs were completed (with the exception of Samoa, see paragraph 189 below), and that inventories were developed; as well all countries having been the subject of a Country Study delivered on the assessment of impacts of POPs to health and the environment (with the exception of Cameroun - see paragraph 189 below). Of the countries subject of a Country Report, only Pacific Island countries did not successfully complete this Component (namely

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<sup>37</sup> Based on evidence from the 8 countries covered by Country Studies (Afghanistan, Argentina, Cameroun, Croatia, The Gambia, Kyrgyz, Samoa and the Solomon Islands)



Kiribati, Nauru, Palau, Samoa, Tonga and Tuvalu where it was reported that this had however been More than Half Completed; and the Marshall Islands where it reportedly has Not Started).

189. At the time of evaluation, Cameroun reported that it had not been able to deliver on the assessment of impacts of POPs to human health and the environment and this was due to “non-availability of funds given the delays in their disbursement from UN Environment”; similarly Samoa had not updated the comprehensive overview of national infrastructure and regulatory framework to manage POPs, indicating that this would be completed in the early part of 2019, once a suitable consultant was identified and recruited.

### **Component 3: Development of Actions Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis**

190. The planned Outputs were: Action Plans for all POPs updated and validated; and, a Comprehensive overview of POPs management gaps and practices is available.

191. Country Study data demonstrates that these were successfully completed in all countries, with the following exceptions: Kyrgyz reported at the time of the evaluation that the gap analysis report was not yet available to all stakeholders; no indication was provided as to when this would occur. Samoa reported that the updated Action Plans and overview of POPs management gaps and practices would be available in the early part of 2019, having identified and contracted a national expert from the National University of Samoa at the end of 2018.

192. As regards countries covered by Status Reports, data indicated that Djibouti, Nauru, Pakistan, Palau, Papua and New Guinea, had progressed and work was More than Half Completed; while for the Marshall Islands, Tonga and Tuvalu work had Not Started.

### **Component 4: Formulation of revised and updated NIP with its associated Action Plans for all 22 POPs**

193. The planned Outputs were: Revised National objectives and priorities for POPs including new POPs; and, Draft NIP updated available to all stakeholders. These were fully delivered<sup>38</sup> in countries covered by Country Studies, with the exception of The Gambia and Samoa. The Gambia reported that “significant progress has been made at time of the evaluation” however the NIP is yet to be completed and finalized. In Samoa it was reported to be Less than Half Completed for the following reason: At the time of the evaluation mission, the TOR were being developed for the recruitment of an International Expert to carry out a desk review and compile the updated NIP<sup>39</sup>.

194. Outputs were delivered in all project countries with the exception of Djibouti, Egypt, Nauru, Pakistan, Papua New Guinea and, Sierra Leone where this Component is Less than Half Completed); for Palau and Samoa this is Less than Half Completed; for The Marshall Islands, Tonga and Tuvalu this is Not Started.

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<sup>38</sup> However these were often not costed, nor did they include an assessment of the cost effectiveness of different approaches

<sup>39</sup> The National Expert from the National University of Samoa and the International Expert will compile data for the updated NIP

## Component 5: Endorsement of NIP

195. The planned Outputs were: NIP outreach strategy report includes consultations with key national stakeholders; NIP endorsed by the Government. This was fully completed in 4 out of the 8 countries having participated in a Country Study. At time of the evaluation it was More than Half Completed in Gambia, Kyrgyz and Salomon Islands, and Less than Half Completed in Samoa.

196. Gambia provided data indicating this had not been completed given delays in accessing funds sent by UN Environment “because they were directed to the wrong account” as well as moderately unfavourable external political and governance context. In addition, capacity constraints and difficulties obtaining information delayed collection and compilation of POPs data in the country. As regards Kyrgyz, although the NIP was presented to the government apparatus in July of 2017, and again in August of 2018, endorsement was refused. Evidence provided by UN Environment indicated that “UN Environment comments to improve the document have not been taken into account. There is no evidence that the NIP promotion has resulted in the improvement of the document or its endorsement”. At time of drafting of this evaluation it was not clear when this would happen.

197. For the Solomon Islands, although the NIP had at time of evaluation been endorsed by the Cabinet (end 2018), this had not yet submitted to the Secretariat of the Stockholm Convention; hence this Component could not be considered as having been completed.

198. Finally for Samoa, NIP approval could only take place once the appointed experts had completed the draft, consultations with stakeholders had taken place and the document had received subsequent approval by the Cabinet Decision Committee for endorsement. At the time of evaluation this had not taken place.

199. As regards countries assessed via a Status Reports, data indicates that Cook Islands, Djibouti, Egypt, Malawi, Montenegro, Nauru, Pakistan, Samoa and, Sierra Leone had More than Half Completed this Component; Kiribati and Papua New Guinea reported having Less than Half Completed it; Marshall Islands and Palau reported the activities related to this Component as Not Started.

200. Overall, data obtained from Country Studies supports a rating of Satisfactory for this Criterion (see Table 14 Overall Rating for Delivery of Outputs (Country Studies), below), and refer to Table 3: Point equivalent and corresponding rating for rating related information, (above).

**Table 14 Overall Rating for Delivery of Outputs (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Avg
1. Delivery of outputs	6	5	4	6	4	5	4	4	4.75

201. In addition, this Satisfactory rating is supported as well by the information obtained from the Status Reports, with the following caveat for South Pacific island states which would – if assessed on their own – indicate for an average of 1.7, a rating of Moderately Satisfactory ( See

Table 15 Overall Rating for Delivery of Outputs (Status Reports) South Pacific Islands), below. However, when averages for all countries are calculated, the rating remains in the Satisfactory range, hence the Evaluation Team considers that delivery of Outputs under the five Components is Satisfactory.

**Table 15 Overall Rating for Delivery of Outputs (Status Reports) South Pacific Islands**

	NIP approval	Updated NIP	Components	1	2	3	4	5
Cook Islands	2011	tbc 2019	1-4 Fully Completed - 5 more than half completed	3	3	3	3	2
Kiribati		tbc 2019	1, 3, 4 Fully Completed - 2 More than Half - 5 Less than Half Completed	3	2	3	3	1
Marshall Islands	2009	?	1 More than Half (Inception Workshop) - 2-5 No Progress	2	0	0	0	0
Nauru	2012	tbc 2019	1 Fully Completed - 2-5 More than Half Completed	3	2	2	2	2
Palau	2014	?	1 Fully Completed - 2-3 More than Half Completed, 4 Less than Half Completed - 5 Not Started	3	2	2	1	0
Papua New Guinea	2013	tbc 2019	1 and 2 Fully Completed - 3-4 More than Half Completed, 5 Less than Half Completed	3	3	2	2	1
Tonga	2015	?	1 Fully Completed, 2 Less than Half, 3-5 Not Started	3	2	0	0	0
Tuvalu	2009	?	1 Fully Completed, 2 More than Half, 3-5 Not Started	3	2	0	0	0

Average	2.875	2	1.5	1.375	0.75
Overall Average	1.7				

**The rating for delivery of Outputs is "Satisfactory"**

## 5.4.2 Achievement of Direct Outcomes<sup>40</sup>

### **Component G: Support to share information and evaluate NIPs updating worldwide**

202. Outcome: Enhanced communication and sharing information to enable Parties to compare and harmonize data and identify lessons learned and good practices

### **Component 1: Initiation of the process of reviewing and updating NIPs**

203. Outcome: Institutional strengthening through national coordination

### **Component 2: Assessment of national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment.**

204. Outcome: Comprehensive information on current POPs control measures, management practices, use and impacts, provides the basis for identifying POPs issues of concern and planning sound actions to address them.

### **Component 3: Development of Actions Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis**

205. Outcome: Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans.

### **Component 4: Formulation of revised and updated NIP with its associated Action Plans for all 22 POPs**

206. Outcome: Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows the country [each country] to develop rational and coherent strategies to reduce POPs risks in the country and to meet the obligations of the SC.

### **Component 5: Endorsement of NIP**

207. Outcome: NIP endorsed by key stakeholders for transmission to the Secretariat confirms government's commitment to implement SC at all levels.

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208. Evidence indicates that significant progress was made towards the achievement of Direct Outcomes, and this is supported by the Satisfactory rating for delivery of Outputs, as previously discussed. In addition, the Satisfactory delivery of outputs at the time of the Terminal Evaluation combined with interview and survey data confirms that it is highly likely that adoption of NIPs in

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<sup>40</sup> The evaluation assesses the achievement of the outcomes from the TOC at evaluation

most participating countries will likely occur in the course of 2019 (with the notable exception of the Marshall Islands).

209. Although the project has, at this stage, not achieved “documented changes” in reducing risks from POPs to human health and the environment, interview data does indicate that as a result of the coordination and awareness raising interventions of the project, progress in this direction has been made and it is considered likely that results will be achieved.

210. Based on the above, and the compiled ratings for Country Studies (Table 16 Overall Rating for Achievement of Direct Outcomes, below), the Evaluation Team considers that achievement of Direct Outcomes is Satisfactory (as per the ratings presented in Table 3: Point equivalent and corresponding rating, above).

**Table 16 Overall Rating for Achievement of Direct Outcomes (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Avg
2. Achievement of direct outcomes	6	5	4	6	4	5	3	4	4.63

**The rating for achievement of Outcomes is “Satisfactory”**

#### 5.4.3 Likelihood of Impact

211. The likelihood of achieving impact is assessed by the Evaluation Team as being **Moderately Likely**. This is based on the average of the ratings obtained from the Country Studies. Overall, even though not all the direct outcomes were fully achieved, progress has delivered results, and indications are most will be achieved or are likely to be achieved.

212. The fact that this was not the case at the time of evaluation was due to the shortcomings discussed above and the Evaluation Team is confident in stating that it is Moderately Likely these will be delivered in the near future for all countries (with the possible exception of the Marshall Islands). Please see Impact related discussion under Causal Linkages, 141 above, which supports this rating.

**Table 17 Overall rating for Likelihood of Impact (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Avg
D. Effectiveness	6	5	4	6	4	6	4	4	4.88
3. Likelihood of impact	5	5	4	5	4	4	4	4	4.38

**The Rating for Likelihood of Impact is “Moderately Likely”**

213. Based on the above analysis, the overall ratings for Effectiveness are as follows:

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Avg
D. Effectiveness	6	5	4	6	4	6	4	4	4.88

1. Delivery of outputs	6	5	4	6	4	5	4	4	<b>4.75</b>
2. Achievement of direct outcomes	6	5	4	6	4	5	3	4	<b>4.63</b>
3. Likelihood of impact	5	5	4	5	4	4	4	4	<b>4.38</b>

**The rating for Effectiveness is “Satisfactory”**

#### 5.4.4 Financial Management

214. The criteria for assessing completeness of financial information are set in the Evaluation Criteria Matrix and include 11 elements. For the purpose of this evaluation, consideration is only given to the financial information at the project level provided by the Executing Agencies to UN Environment.

##### Completeness of project financial information

215. The Evaluation Team was not made aware of any major deficiencies as regards the completeness of financial information. However, as can be seen in section 3.6 Project Financing, high level project budgets by funding source were available for secured and unsecured funds sub-criteria (a) and (b); as well as disbursement documents (c); detailed project budgets for secured funds were not available (d); project expenditure sheets were made available to the Evaluation Team up to 2017, and at time of closure of the evaluation, breakdowns of expenditures per component as at 31/07/2019 were also received (see Table 25 Expenditures (Reported per country as at 31/07/2019)). However, no detailed reports were provided for co-financing, nor was information provided as regards expenditures under the Global component. It is expected that final project expenditure sheets will be made available to UN Environment upon project closure by the Executing Agencies to ensure the release of their last instalment (e). Proof/report of delivery of in-kind contributions: Although the annual Project Implementation Reviews include some information about in-kind and cash co-finance, there is evidence that the information is outdated and incomplete (f).

216. The projects were extended (no cost) and revised project work plans and budgets were submitted by the Executing Agencies and approved by UN Environment (g); partner legal agreements and amendments were provided to the Evaluation Team (h); disbursement (funds transfer) documents (cash statement) from UN Environment to partners were also made available to the Evaluation Team (i); some audit reports have been made available to the Evaluation Team but they are not all complete (j); and no information about management responses to audit reports was available (k).

217. Based on the above, and as per the Evaluation Criteria Matrix, as between 50% and 80%<sup>41</sup> of these criteria hold, the rating for completeness of financial information for the project is **Moderately Unsatisfactory**.

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<sup>41</sup> Out of the 11 listed items the following are considered provided: a, b, c, e, g, h and i and the following were not provided: d, e, f, j and k.

218. The format of the Executing Agencies' financial reports, stipulated by UN Environment, does not break down expenditure by component. The Evaluation Team understands that UN Environment's financial management system does not support results-orientated budget and expense management. This does not satisfy the evaluation's requirement for reporting by project component.

219. With regard to in-kind co-financing, at time of the Terminal Evaluation, no complete information was available, although interview data clearly documents the fact that countries have funded as a minimum the time of their own staff to manage and implement the project activities, participate in workshops, review reports, etc. This also includes providing space and equipment (although very limited in some instances due to the fact that in most cases, the expendable resources available are low to non-existent).

220. As regards obtaining detailed information on co-financing from the Executing Agencies, the Evaluation Team considers that as UN Environment secured the original co-finance commitments, they should actively follow up with the Executing Agencies to obtain these numbers.

221. There is no evidence of any of the countries having provided cash co-finance. Based on this, the Evaluation Team considers that the expectation for cash co-finance was unrealistic, notwithstanding whether or not signed co-financing pledges had been obtained from the participating countries.

222. Overall, and given the fact that the project has been extended, which has obliged all countries to maintain their in-kind co-financing, this could end up representing a significant unforeseen investment. The Evaluation Team can only hope that no effort will be spared to ensure that the figures yet to be provided in the final reports of the Executing Agencies accurately reflect this.

223. Similarly, the in-kind contribution of UN Environment from personnel (oversight, meetings, financial) is likely to have been more than originally expected, given the No-Cost extensions. This information was not captured in the reports provided to the Evaluation Team.

### **Completeness of project financial information is rated as "Moderately Unsatisfactory"**

#### **Communication between finance and project management staff**

224. Evidence suggests that, at least since 2015, with the appointment of the current Task Manager, there is *strong awareness* of the current financial status of project; the FMO has *strong awareness* of overall project progress when financial disbursements are made; and there is *regular / frequent* contact between Task Manager and FMO.

225. Evidence also suggests that, although prior to 2015 financial issues might only have been addressed retrospectively, when identified by senior management/staff external to the project team, thereafter they were raised and resolved proactively.

226. No evidence was provided to assess whether all narrative and financial reports were reviewed by *both* finance and project staff members prior to submission. Notwithstanding this, the Evaluation Team rates communication between finance and project management staff as satisfactory.

**Communication between finance and project management staff is rated as “Satisfactory”****Table 18 Financial Management Table**

Financial management components:		Rating	Evidence/ Comments
<b>1. Completeness of project financial information<sup>42</sup>:</b>			
Provision of key documents to the evaluator (based on the responses to A-G below)		<b>MU</b>	Quarterly financial statements were provided. Some co-financing reports were available however overall information was incomplete
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	GEF funding budgeted by Component, but Co-financing not budgeted by Component
B.	Revisions to the budget	n/a	This is specific to each country; budgets were in some cases revised to allow for unspent funds to be utilized
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	
D.	Proof of fund transfers	Yes	
E.	Proof of co-financing (cash and in-kind)	n/a	Not for all countries, and overall information was very limited
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Financial information was not by Component
G.	Copies of any completed audits and management responses (where applicable)	Yes	Copies of final audit reports were sometimes available, however did not provide management responses
H.	Any other financial information that was required for this project (list):	n/a	Information relevant to expenditures under the Global component were not available
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance <sup>43</sup> with the UN Environment or donor rules		No	Financial reports reviewed complied with relevant rules
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		MS	Delays in obtaining this kept the evaluation process open for longer than planned
<b>2. Communication between finance and project management staff</b>		<b>S</b>	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	
Fund Management Officer's knowledge of project progress/status when disbursements are done.		S	
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		S	
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		S	

<sup>42</sup> See also document 'Criterion Rating Description' for reference

<sup>43</sup> Compliance with financial systems is not assessed specifically in the evaluation. Nevertheless, if the evaluation identifies gaps in the financial data, or raises other concerns of a compliance nature, a recommendation should be given to cover the topic in an upcoming audit, or similar financial oversight exercise.



<b>Overall rating</b>	<b>MS</b>
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**Table 19: Overall rating for Financial Management (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>E. Financial Management</b>	4	5	5	5	5	4	4	5	<b>4.63</b>
1. Completeness of project financial information	5	5	5	5	5	4	4	5	<b>4.75</b>
2. Communication between finance and project management staff	5	5	5	5	5	4	NA	NA	<b>4.83</b>

227. The Evaluation Team determined that although the assessment of this criterion would be Satisfactory, if solely based on the Country Studies, the shortcomings in particular as relates to completeness of financial information did not allow for such a high rating and therefore it was decided to err on the side of prudence and rate this according to the overall assessment, as reflected in Table18 Financial Management Table, above.

### Financial Management Rated “Moderately Satisfactory”

#### 5.4.5 Efficiency

228. Global Project 5307 was amended to extend its duration “to allow project objectives to be achieved” and “to be in line with the Project Implementation Plan”. This amendment was prepared by the Portfolio Manager in November of 2016 and signed by the Director in January of 2017. No explanation was provided to the Evaluation Team but a handwritten note on the file comments that this was only received by the Officer in Charge in January of 2017 and recommends this be signed, even though expired, “to avoid completing a new document”. This amendment extended the Project to December 2017 (previously May 2016 i.e. by 7 months), extending the duration to 43 months.

#### Cost-effectiveness and Financial Efficiency

229. The Evaluation Team was not made aware of any concerns regarding cost effectiveness or costliness and considers that although to date the project has not delivered all of the expected results, those achieved have been delivered at a reasonable cost.

#### Timeliness

230. The project faced delays in its implementation, however these are considered to have been beyond the control of the Executing Agencies and all efforts were made to ensure the late, but successful delivery of results.

**Table 20 Overall rating for Efficiency (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>F. Efficiency</b>	5	5	5	6	5	4	2	4	<b>4.50</b>

## Efficiency is rated as “Moderately Satisfactory”

### 5.4.6 Monitoring Design and Budgeting

231. The M&E for all these three projects was designed according to both the GEF and UN Environment’s standard procedures for Monitoring and Evaluation in place at the time of project design. The logframe included “objectively verifiable indicators of achievements, sources and means of verification for the project outcomes and outputs, and the timeframe for monitoring activities” were specified in the projects’ Monitoring and Evaluation Plans.

232. The organisational arrangements, responsibilities and structures for monitoring and reviewing/adapting progress of project implementation were specified in project documents; according to this, day-to-day management and monitoring of the project activities was the responsibility of the executing agency, at the national level. The M&E plan encompasses the M&E activity, purpose, responsible party and time frame.

233. The project document however neither includes the budget allocated to each M&E activity, nor the total budget for M&E altogether. Nevertheless, the individual budgets per country include an amount between USD 2,000 – USD 4,000 for the Terminal Evaluation. The M&E activities specified in the M&E Plan were – inception workshop, inception report, project supervision and monitoring, progress reports, terminal report, and independent financial audit. No regional inception workshop was planned at project commencement in any region.

234. According to the M&E Plan, UN Environment was responsible for providing technical and administrative support on a regular basis to ensure that the project is carried out according to the agreed workplan and budget. The monitoring role of the UN Environment Project Manager, although defined in the ProDoc<sup>44</sup>, was not operationalized in a clear<sup>45</sup> way. No face-to-face meetings were planned to discuss project implementation mid-way through the project. This was planned to be covered by the Component G and all countries either attended or were invited to attend training/regional workshop, however some stakeholders reported only “chance meetings” in the context of other projects and/or workshops. No Regional Technical Coordinator / Coordinating Body was foreseen in the project, who/which could have carried out Monitoring against the workplan.

235. The Evaluation Team does not consider, given the requirements in place at time of design of the project, that there are any significant weaknesses in monitoring design or budgeting, although the latter would have benefitted from greater detail in the Prodoc.

## Monitoring Design and Budgeting Rated “Satisfactory”

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<sup>44</sup> The role of the project manager is defined as: Technical and Administrative support provided on a regular basis ensuring that the project is being carried out according to the agreed work plan and budget

<sup>45</sup> However stakeholders in the Solomon Islands and Samoa confirmed that the Project Manager could be contacted easily via e-mail for any queries; In most cases, quick and timely responses were received

#### 5.4.7 Monitoring of Project Implementation

236. The reorganization of the UN Environment management and programmatic structure effectively led to a period of two years (2012 and 2013) during which the projects were only superficially monitored. This hindered the efforts of the Executing Agencies, which essentially functioned without supervision or appropriate levels of support during this period. It is estimated that these changes affected projects' efficiency by delaying them by approximately one year.

237. Evidence indicates that monitoring systems were however put in place by the Executing Agencies, in line with their own country standards, and these allowed the persons responsible for monitoring progress against indicators to track results and progress toward project objectives. Monitoring of project progress is considered to have been adequate, given most indicators were at output level, however, monitoring of performance (in terms of achievement of project outcomes and the overall project objective) was unavailable, given inadequacy of indicators.

238. Following the appointment of the current Task Manager in 2015 and in order to address the significant delays the Project had experienced, additional measures were put in place to improve the supervision and support provided by UN Environment to the countries (Executing Agencies). This included strengthening UN Environment capacities with one additional full time staff to closely monitor and follow up on implementation. This support helped to bring the Project back on track and has contributed to the development of more systematic UN Environment supervision systems.

239. It is noteworthy to point out that the Global Component was reportedly conceived retroactively as a quality assurance mechanism to ensure that documents prepared by the countries would be reviewed prior to their submission to the Secretariat of the Stockholm Convention (interview data).

240. It is also notable that in the Pacific Islands, where the project commenced in 2014, the Monitoring role of the UN Environment Project Manager was described as "unclear"; all the Pacific project partner countries have experienced a delay in project implementation and achievement of results. It is also not clear, if and what steps were taken, or planned, to determine the cause of the delays and to take countermeasures.

**Project Implementation Rated "Moderately Satisfactory"**

#### 5.4.8 Project Reporting

241. Overall the reports provided to the Evaluation Team provided adequate reporting to track progress, but were overall incomplete. This was a missed opportunity to raise concerns at the level of the Implementing Agency. Information regarding achievement of outcomes and project objectives was not included.

242. However, half-yearly project reporting from the Pacific countries was regular during the first two years and irregular or non-existent after that. It is not clear, how and what follow-up, if any, was done by UN Environment.

**Project Reporting rated "Satisfactory"**

**Table 21 Overall rating for Monitoring and Reporting (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>G. Monitoring and Reporting</b>	5	5	5	5	6	4	4	4	<b>4.75</b>
1. Monitoring design and budgeting	5	5	5	5	6	5	5	5	<b>5.13</b>
2. Monitoring of project implementation		5	5	5	5	4	2	4	<b>4.29</b>
3. Project reporting		5	5	5	5	4	4	4	<b>4.57</b>

### Monitoring and Reporting Rated "Satisfactory"

#### 5.4.9 Socio-Political Sustainability

243. Sustainability of project outcomes was evaluated using the UN Environment Evaluation criteria Matrix (Criteria 8).

244. The direct outcome of Component 1 is "Institutional strengthening through enhanced national coordination", and the Evaluation Team considers that socio-political sustainability in this case is Likely. This is based on the fact that once institutions have been strengthened and the communication mechanisms streamlined, there is a low degree of dependency as regards this criterion.

245. Before these mechanisms have been adopted at high level, there is a need for socio-political support, however, given the fairly strong degree of ownership and alignment with national, regional and international priorities, the Evaluation Team considers that this is Likely.

246. The direct outcome of Component 2 is "Comprehensive information on current POPs control measures, management practices, use and an impact provides the basis for identifying POPs issues of concern and planning sound actions to address them". This is considered as Likely, once again given the high degree of ownership and low degree of dependency; this is supported by the fact that strong mechanisms are in place to adapt to changes in this social and/or political context, given that social and political priorities have been identified during the project.

247. The direct outcome of Component 3 is "Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans". Once again this criterion shows a low degree of dependency, and a very high degree of mitigation, explained by the fact that these Action Plans become binding once approved by the country specific instances (Parliament, Presidency, etc.) and presented to the Stockholm Convention as part of the commitments of the country.

248. The direct outcome of Component 4 is "Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows countries to develop rational and coherent strategies to reduce POPs risks in and to meet the obligations of the Stockholm Convention". This is as well considered to have a low dependency and high mitigation. Once this has been acquired and shared (awareness raised) and integrated into strategies to reduce risks (as mentioned above re. Action Plans) it is considered that the sustainability of this criterion is Likely.

249. The direct outcome of Component 5 is “NIP endorsed by key stakeholders for transmission to the Secretariat confirms government’s commitment to implement the Stockholm Convention at all levels”. This is considered to have no dependency, hence is considered Likely. Once the NIP is approved and submitted officially as the country’s position, engagement towards commitments acquired through accession and/or ratification of the Convention is unquestionable.

250. The above rating of Likely is as well supported by the ratings average from the Country Studies (see Table 22 Overall Rating for Sustainability (Country Studies), below).

**Socio-political Sustainability rated “Likely”**

**5.4.10 Financial Sustainability**

251. None of the Components are considered to have a dependency on future funding. Institutions have been strengthened, comprehensive information on current POPs control measures and management has been used to identify issues of concern and to plan sound actions to address them; including and leading to the preparation of well-prepared and costed Action Plans. The above resulted in improved understanding of all POPs leading to the development of rational and coherent strategies to reduce POPs risks and meet Convention obligations. The approval of the NIP is the result of these processes and as such does not have any degree of dependency on future funding.

252. This said, for benefits to be sustained, and for further obligations stemming from the Convention (as new substances are added) to be addressed, future funding will need to be secured either from government coffers (highly unlikely in most cases) or from international donors. The Evaluation Team was informed that there is a project submitted for consideration of GEF-7 funding which would help to address this concern.

253. As per the above, supported by the ratings average from the Country Studies (see Table 22 Overall Rating for Sustainability (Country Studies), below), the rating for this criterion is Moderately Likely.

**Financial Sustainability rated “Moderately Likely”**

**5.4.11 Sustainability of the Institutional Network**

254. The Components have a low degree of dependency on the institutions. Once the NIP has been approved and streamlined into the government’s policies and priorities it is considered Likely that this will continue to be implemented as part of the commitments contracted under the Stockholm Convention, barring force majeure.

**Institutional Sustainability is Rated “Likely”**

**Table 22 Overall Rating for Sustainability (Country Studies)**

	Afg	Arg	Cam	Cro	Gam	Kyr	Sam	Sol	Average
<b>H. Sustainability</b>	4	5	5	5	4	4	4	5	<b>4.50</b>

1. Socio-political sustainability	5	5	5	5	5	4	5	6	<b>5.00</b>
2. Financial sustainability	4	5	5	5	4	4	4	5	<b>4.50</b>
3. Institutional sustainability	4	5	5	5	5	4	5	5	<b>4.75</b>

**The overall Rating for Sustainability is “Moderately Likely”**

## 6 Conclusions and Recommendations

Table 23 Ratings Table

Criterion	Summary Assessment	Rating
<b>A. Strategic Relevance</b>	No shortcomings identified	<b>HS</b>
1. Alignment to MTS and POW		HS
2. Alignment to UN Environment /Donor/GEF strategic priorities		HS
3. Relevance to regional, sub-regional and national environmental priorities		HS
4. Complementarity with existing interventions		S
<b>B. Quality of Project Design</b>	Minor shortcomings, although adequate for time of design	S
<b>C. Nature of External Context</b>	Varies per country but overall not a major factor	<b>MF</b>
<b>D. Effectiveness<sup>46</sup></b>	Varies per country/region	<b>S</b>
1. Delivery of outputs		<b>S</b>
2. Achievement of direct outcomes		S
3. Likelihood of impact		ML
<b>E. Financial Management</b>		<b>MS</b>
1. Completeness of project financial information	Expenses were not reported by Component, overall financial information was not complete	<b>MU</b>
2. Communication between finance and project management staff	No shortcomings identified	<b>S</b>
<b>F. Efficiency</b>	No shortcomings identified	<b>MS</b>
<b>G. Monitoring and Reporting</b>	Satisfactory, although budgets were in general low	S
1. Monitoring design and budgeting		S
2. Monitoring of project implementation		MS
3. Project reporting		S
<b>H. Sustainability</b>		<b>ML</b>
1. Socio-political sustainability	Significant government and stakeholder support was evidenced	L
2. Financial sustainability	Interventions will likely continue to be funded; however this will depend on country specific contexts and availability of resources	ML
3. Institutional sustainability	Mainstreaming of POPs related priorities greatly reduces this risk factor	L

<sup>46</sup> Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.

Criterion	Summary Assessment	Rating
<b>I. Factors Affecting Performance<sup>47</sup></b>		S
1. Preparation and readiness		S
2. Quality of project management and supervision <sup>48</sup>		S
3. Stakeholders participation and cooperation		S
4. Responsiveness to human rights and gender equity	Management structures took this into account when/as possible	MS
5. Country ownership and driven-ness	Countries were mostly in the driver's seat	S
6. Communication and public awareness	No shortcomings evidenced	S
<b>Overall Project Rating</b>	<b>Overall design and implementation were satisfactory, despite challenges and delays</b>	<b>Satisfactory</b>

## 6.1 Conclusions<sup>49</sup>

255. The satisfactory performance of the project is considered a success in support of governments' efforts to eliminate POPs and reduce exposure of their populations. In addition, it was an indispensable step to comply with obligations under the Stockholm Convention;

256. National and/or Regional Inception Workshops during which participants identify principal stakeholders and decide on the composition and roles of multi-stakeholder or coordinating steering committees help to further strengthen ownership in support of timely project implementation;

257. Despite these strengths, the project suffered delays in implementation, however these were for circumstances beyond the control of the project and all efforts were deployed to circumvent and overcome these;

258. As mentioned in para 259 below, and as discussed in different sections of the report, for example under Socio-Political Sustainability, above, these NIPs for POPs projects have been satisfactorily mainstreamed into the countries policy processes; the projects are aligned with national, regional and international priorities and strongly support ownership. It is clear that these Enabling Activities support countries to comply with Convention obligations, however it is unfortunate that at the time of design, no consideration was given to understanding and measuring how this support could translate into quantifiable global environmental benefits. In this sense, UN Environment should ensure that the conclusions, lessons learned and recommendations from this

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<sup>47</sup> While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as crosscutting issues as they relate to other criteria. Catalytic role, replication and scaling up should be discussed under effectiveness if they are a relevant part of the TOC.

<sup>48</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

<sup>49</sup> Although at this time, there are no approved direct follow-on projects, the conclusions and recommendations are relevant to the design and implementation of future UN Environment projects



and similar Evaluations are carefully taken into account in the design and implementation of like-minded interventions.

## **6.2 Lessons Learned**

259. The implementation and long-term mainstreaming of project priorities is greatly improved when a multi-sectorial inter-ministerial Steering Committee takes the wheel and effectively assumes ownership. This is further strengthened when not only the government, but civil society and industry are closely involved in the design and implementation of activities, contributing to continuously build stakeholder capacity and increase awareness of POPs;

260. Use of national consultants helps increase the likelihood of the sustainability of the project's intended results;

261. Assumptions regarding capacities were not always correct and this lack of capacities and/or other constraints, in particular among women, leads to not all stakeholders participating at the expected levels, and this is not deemed to be a voluntary lack of participation;

262. Unrealistic project implementation timeframes that are not modified prior to the initiation of activities, contribute to no-cost extensions. In addition, delays in the disbursement of funds from UN Environment as well as other administrative hurdles can further hinder timely implementation. Budgets that are generally considered low may lead to key activities not taking place, (for example, here the low budgets did not allow for thorough field work or laboratory analyses to take place and to support of completion of the inventories. Low budgets may also further contribute to delays;

263. Guidelines for carrying out activities using project-led approaches need to be updated and adapted to national conditions (for example, here conducting POPs inventories, and the Toolkit for preparing the NIP were helpful but needed to be updated and adapted to national conditions);

264. The use of Geographic Information Systems (GIS) can be very helpful in tracking physical installations (for example, here GIS was useful in monitoring transformers which use POPs);

265. Guidelines on resource mobilization, and funding mechanisms (including co-financing) available to support project approaches are needed (for example, here such guidelines would have supported the measures to be taken on POPs). In this project co-finance was provided and spent, however, not documented. With guidelines on resource mobilization, and funding mechanisms (including co-financing) available to support measures taken on POPs, the funds available for the project are likely to have been greater and consequently, increased its impact;

266. Financial reporting based on Components supports results based management.

## **6.3 Recommendations**

267. To ensure sustainability of this and other interventions, UN Environment should strongly urge Governments to continue to support the work of Steering Committees by ensuring these are mainstreamed into the respective permanent coordinating structures. Similarly, UNEP should strongly advise Governments to seek to mobilize resources in support of the activities and/or provide additional resources to continue POPs related sensitization activities and implement strategies developed by the project, actively sharing information with stakeholders;

268. UNEP should urge Government and development partners to provide stakeholders (especially, civil society sector as well as women and marginalized groups) with training and guidelines in resource mobilization, co-financing and funding mechanisms available to support efforts to eliminate POPs;

269. In future work, the capacities of local staff and consultants involved in all aspects of POPs management should be continuously strengthened, and more nationals should be provided with additional and advanced training in POPs management to mitigate the effects of attrition of trained personnel over time;

270. UN Environment projects aimed at improving POPs management, and sensitizing the public about POPs, should pay particular attention to the needs of women and youths and ways to engage them effectively in nation-wide behaviour changing initiatives;

271. Vulnerable groups, and in particular women, should be actively sought out and provided with awareness raising materials and information to support efforts to eliminate POPs and reduce their exposure, thereby protecting their health;

272. UN Environment/Stockholm Convention Secretariat should continue to provide backstopping support to the governments to consolidate the project's impacts;

273. When projects are designed for implementation in countries in conflict or having recently emerged from situations of conflict, UN Environment should ensure that timeframes are adjusted to address national realities and avoid having to obtain "no-cost extensions"; these extensions affect the in-kind contribution of the countries and of UN Environment from personnel (oversight, meetings, financial), which are likely to end up being more than originally estimated. This information was not captured in the reports provided to the Evaluation Team and in this sense, UN Environment should take a proactive role regarding following-up on pledged co-finance. Furthermore co-financing should be rigorously tracked and disbursements of funding tranches tied to availability of reports; Reports (including financial reports and audits) and budgets should be organized according to Components, Activities, and Outputs; in addition, when audits are carried out, Management Responses to these Audit Reports should be provided to Evaluators;

274. Similarly, when projects are designed to be implemented in SIDS, UN Environment should pay particular attention and closely follow up with the Regional Centres of the Conventions as well as UN Environment Regional Representations to ensure and support their full involvement. It is of particular to ensure UN Environment representation at Inception Workshops (regional or not) to clarify expectations in support of timely implementation. Finally, UN Environment should strongly support the recruitment of a Regional Technical Body, not only to coordinate meetings, but above all to provide technical support to these SIDS; this could also play a significant role in ensuring timely and effective implementation;

275. Given the importance of providing full access to information to Evaluators, it is strongly recommended UN Environment ensure that all efforts be made to evaluate projects only after all activities have been completed and they have been properly and fully closed. This will ensure that financial reports at closure, as well as Final Project Reports are available at time of writing of Final Evaluations;

276. Future budgets for this kind of work should be enough to cover the country and required field or laboratory work, or be used for a solidly designed pilot project in a few strategically selected regions.

## Annex I. Weighted Ratings Table

Evaluation criteria	Rating	Score	Weight
<b>Strategic Relevance</b> (select the ratings for sub-categories)	<b>Highly Satisfactory</b>	<b>6</b>	<b>6</b>
<i>Alignment to MTS and POW</i>	Highly Satisfactory	6	1
<i>Alignment to UNEP/GEF/Donor strategic priorities</i>	Highly Satisfactory	6	1
<i>Relevance to regional, sub-regional and national issues and needs</i>	Highly Satisfactory	6	2
<i>Complementarity with existing interventions</i>	Satisfactory	5	2
<b>Quality of Project Design</b>	<b>Satisfactory</b>	<b>5</b>	<b>4</b>
<b>Nature of External Context</b>	<b>Moderately Favourable</b>	<b>3</b>	
<b>Effectiveness</b> (select the ratings for sub-categories)	<b>Satisfactory</b>	<b>5</b>	<b>45</b>
<i>Delivery of outputs</i>	Satisfactory	5	5
<i>Achievement of direct outcomes</i>	Satisfactory	5	30
<i>Likelihood of impact</i>	Moderately Likely	4	10
<b>Financial Management</b> (select the ratings for sub-categories)	<b>Moderately Satisfactory</b>	<b>4</b>	<b>5</b>
<i>Completeness of project financial information</i>	Moderately Unsatisfactory	2	
<i>Communication between finance and project management staff</i>	Satisfactory	5	
<b>Efficiency</b>	<b>Moderately Satisfactory</b>	<b>4</b>	<b>10</b>
<b>Monitoring and Reporting</b> (select the ratings for sub-categories)	<b>Satisfactory</b>	<b>5</b>	<b>5</b>
<i>Monitoring design and budgeting</i>	Satisfactory	5	
<i>Monitoring of Project Implementation</i>	Moderately Satisfactory	4	
<i>Project Reporting</i>	Satisfactory	5	
<b>Sustainability</b> (select the ratings for sub-categories)	<b>Moderately Likely</b>	<b>4</b>	<b>20</b>
<i>Socio-political sustainability</i>	Likely	5	
<i>Financial sustainability</i>	Moderately Likely	4	
<i>Institutional sustainability</i>	Likely	5	

<b>Factors Affecting Performance (select the ratings for sub-categories)</b>	<b>Satisfactory</b>	<b>5</b>	<b>5</b>
<i>Preparation and readiness</i>	Satisfactory	5	
<i>Quality of project management and supervision</i>	Satisfactory	5	
<i>Stakeholder participation and cooperation</i>	Satisfactory	5	
<i>Responsiveness to human rights and gender equity</i>	Moderately Satisfactory	4	
<i>Country ownership and driven-ness</i>	Satisfactory	5	
<i>Communication and public awareness</i>	Satisfactory	5	
			<b>100</b>

**Satisfactory**

## Annex II. Summary of Co-Finance Information

Table 24 Co-financing Table (As at 31/07/2019)

Co financing (Type/Source)	UN Environment own Financing (US\$1,000)		Government (US\$1,000)		Overall (US\$1,000)		Total (US\$1,000)		Total Disbursed (US\$1,000)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support			4,124			<b>For 5307 For 5525</b>	5,500 993	2,142 250	
- Other (*) -Cash				467					
Totals	<b>450</b>		<b>4,124</b>	<b>467</b>			<b>6,493</b>	<b>2,392</b>	

### Annex III. Summary of Co-Finance Information

Table 25 Expenditures (Reported per country as at 31/07/2019)

Component/sub-component/output All figures as USD	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
<b>ALBANIA</b>			
Component 1 / Outcome 1	18,604	16,480	89%
Component 2 / Outcome 2	60,037	68,100	113%
Component 3 / Outcome 3	26,046	26,464	102%
Component 4 / Outcome 4	35,348	32,091	91%
Component 5 / Outcome 5	18,604	3,982	21%
<b>ARGENTINA</b>			
Component 1 / Outcome 1	20,884	13,705	66%
Component 2 / Outcome 2	67,396	57,988	86%
Component 3 / Outcome 3	29,217	27,636	95%
Component 4 / Outcome 4	41,768	25,919	62%
Component 5 / Outcome 5	18,796	20,528	109%
<b>BENIN</b>			
Component 1 / Outcome 1	15,222	28,317	186%
Component 2 / Outcome 2	49,122	37,613	77%
Component 3 / Outcome 3	21,311	19,362	91%
Component 4 / Outcome 4	28,922	18,212	63%
Component 5 / Outcome 5	15,221	15,002	99%
<b>BURUNDI</b>			
Component 1 / Outcome 1	18,267	17,057	93%
Component 2 / Outcome 2	50,382	40,482	80%
Component 3 / Outcome 3	16,878	16,656	99%
Component 4 / Outcome 4	28,527	30,827	108%
Component 5 / Outcome 5	15,744	18,744	119%
<b>CAMEROON</b>			
Component 1 / Outcome 1	10,159	10,159	100%
Component 2 / Outcome 2	32,783	31,656	97%
Component 3 / Outcome 3	14,223	14,934	105%
Component 4 / Outcome 4	19,301	21,421	111%
Component 5 / Outcome 5	10,159	8,459	83%
<b>CHILE</b>			

<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component 1 / Outcome 1	18,604	500	3%
Component 2 / Outcome 2	60,037	66,620	111%
Component 3 / Outcome 3	26,046	66,621	256%
Component 4 / Outcome 4	35,348	12,000	34%
Component 5 / Outcome 5	18,604	12,900	69%
<b>COOK ISLANDS</b>			
Component 1 / Outcome 1	12,671	300	2%
Component 2 / Outcome 2	40,896	24,997	61%
Component 3 / Outcome 3	17,739	650	4%
Component 4 / Outcome 4	24,063	100	0%
Component 5 / Outcome 5	12,671	0	0%
<b>CROATIA</b>			
Component 1 / Outcome 1	18,604	3,251	17%
Component 2 / Outcome 2	60,037	30,660	51%
Component 3 / Outcome 3	26,046	8,710	33%
Component 4 / Outcome 4	35,348	15,373	43%
Component 5 / Outcome 5	18,604	62,146	334%
<b>DJIBOUTI</b>			
Component 1 / Outcome 1	15,222	13,699	90%
Component 2 / Outcome 2	49,122	49,514	101%
Component 3 / Outcome 3	21,311	18,266	86%
Component 4 / Outcome 4	28,922	13,177	46%
Component 5 / Outcome 5	15,221	2,841	19%
<b>EGYPT</b>			
Component 1 / Outcome 1	18,604	29,536	159%
Component 2 / Outcome 2	60,037	30,201	50%
Component 3 / Outcome 3	26,046	13,979	54%
Component 4 / Outcome 4	35,348	25,019	71%
Component 5 / Outcome 5	18,604	11,574	62%
<b>GAMBIA</b>			
Component 1 / Outcome 1	11,852	11,208	95%
Component 2 / Outcome 2	38,253	35,245	92%
Component 3 / Outcome 3	16,593	6,276	38%
Component 4 / Outcome 4	22,519	3,111	14%



<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component 5 / Outcome 5	11,851	1,370	12%
<b>GEORGIA</b>			
Component 1 / Outcome 1	15,804	16,603	105%
Component 2 / Outcome 2	53,396	61,681	116%
Component 3 / Outcome 3	27,260	25,649	94%
Component 4 / Outcome 4	32,644	25,889	79%
Component 5 / Outcome 5	15,114	11,052	73%
<b>GHANA</b>			
Component 1 / Outcome 1	16,914	16,914	100%
Component 2 / Outcome 2	54,579	54,579	100%
Component 3 / Outcome 3	23,678	23,678	100%
Component 4 / Outcome 4	32,136	27,567	86%
Component 5 / Outcome 5	16,913	17,560	104%
<b>KIRIBATI</b>			
Component 1 / Outcome 1	12,699	9,121	72%
Component 2 / Outcome 2	40,985	57,431	140%
Component 3 / Outcome 3	17,777	18,155	102%
Component 4 / Outcome 4	24,127	15,910	66%
Component 5 / Outcome 5	12,699	2,139	17%
<b>KYRGYZ</b>			
Component 1 / Outcome 1	17,759	17,759	100%
Component 2 / Outcome 2	57,308	54,788	96%
Component 3 / Outcome 3	24,863	17,759	71%
Component 4 / Outcome 4	33,741	24,862	74%
Component 5 / Outcome 5	17,759	32,052	180%
<b>LEBANON</b>			
Component 1 / Outcome 1	17,759	7,114	40%
Component 2 / Outcome 2	57,308	73,253	128%
Component 3 / Outcome 3	24,863	20,361	82%
Component 4 / Outcome 4	33,741	19,114	57%
Component 5 / Outcome 5	17,759	31,513	177%
<b>LIBYA</b>			
Component 1 / Outcome 1	16,913	15,074	89%
Component 2 / Outcome 2	54,579	9,000	16%

<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component 3 / Outcome 3	23,678	0	0%
Component 4 / Outcome 4	32,136	0	0%
Component 5 / Outcome 5	16,913	0	0%
<b>MADAGASCAR</b>			
Component 1 / Outcome 1	18,604	18,604	100%
Component 2 / Outcome 2	60,038	60,038	100%
Component 3 / Outcome 3	26,046	24,333	93%
Component 4 / Outcome 4	35,348	35,348	100%
Component 5 / Outcome 5	18,604	20,322	109%
<b>MARSHALL ISLANDS</b>			
Component 1 / Outcome 1			
Component 2 / Outcome 2			
Component 3 / Outcome 3			
Component 4 / Outcome 4			
Component 5 / Outcome 5			
<b>MALAWI</b>			
Component 1 / Outcome 1	16,068	13,533	84%
Component 2 / Outcome 2	51,850	55,155	106%
Component 3 / Outcome 3	22,494	20,704	92%
Component 4 / Outcome 4	30,528	34,785	114%
Component 5 / Outcome 5	16,068	12,832	80%
<b>NAURU</b>			
Component 1 / Outcome 1	8,448	10,900	129%
Component 2 / Outcome 2	27,260	10,190	37%
Component 3 / Outcome 3	11,827	0	0%
Component 4 / Outcome 4	16,046	0	0%
Component 5 / Outcome 5	8,447	0	0%
<b>PAKISTAN</b>			
Component 1 / Outcome 1	21,200	21,200	100%
Component 2 / Outcome 2	69,217	65,268	94%
Component 3 / Outcome 3	27,224	18,800	69%
Component 4 / Outcome 4	38,939	35,787	92%
Component 5 / Outcome 5	21,200	37,447	177%
<b>PALAU</b>			

<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component 1 / Outcome 1	9,610	9,673	101%
Component 2 / Outcome 2	22,658	39,730	175%
Component 3 / Outcome 3	18,878	2,539	13%
Component 4 / Outcome 4	10,690	3,500	33%
Component 5 / Outcome 5	9,192	6,352	69%
<b>PARAGUAY</b>			
Component 1 / Outcome 1	16,743	13,865	83%
Component 2 / Outcome 2	54,033	50,655	94%
Component 3 / Outcome 3	23,442	22,062	94%
Component 4 / Outcome 4	31,813	34,617	109%
Component 5 / Outcome 5	16,744	21,620	129%
<b>PNG</b>			
Component 1 / Outcome 1	16,884	17,648	105%
Component 2 / Outcome 2	54,487	51,108	94%
Component 3 / Outcome 3	23,638	18,311	77%
Component 4 / Outcome 4	32,067	8,602	27%
Component 5 / Outcome 5	16,884	0	0%
<b>SAMOA</b>			
Component 1 / Outcome 1	10,582	11,749	111%
Component 2 / Outcome 2	34,154	25,990	76%
Component 3 / Outcome 3	14,815	589	4%
Component 4 / Outcome 4	20,106	0	0%
Component 5 / Outcome 5	10,582	202	2%
<b>SOLOMON ISLANDS</b>			
Component 1 / Outcome 1	16,913	12,248	72%
Component 2 / Outcome 2	52,579	35,860	68%
Component 3 / Outcome 3	23,678	25,413	107%
Component 4 / Outcome 4	31,136	35,068	113%
Component 5 / Outcome 5	16,913	35,723	211%
<b>TONGA</b>			
Component 1 / Outcome 1	12,671	9,738	77%
Component 2 / Outcome 2	40,896	25,653	63%
Component 3 / Outcome 3	17,739	7,626	43%
Component 4 / Outcome 4	17,740	2,400	14%

<b>Component/sub-component/output</b> <b>All figures as USD</b>	<b>Estimated cost at design</b>	<b>Actual Cost/ expenditure</b>	<b>Expenditure ratio (actual/planned)</b>
Component 5 / Outcome 5	18,994	0	0%
<b>TUVALU</b>			
Component 1 / Outcome 1	12,671	9,738	77%
Component 2 / Outcome 2	40,896	25,653	63%
Component 3 / Outcome 3	17,739	7,626	43%
Component 4 / Outcome 4	17,740	2,400	14%
Component 5 / Outcome 5	18,994	0	0%
<b>URUGUAY</b>			
Component 1 / Outcome 1	11,069	10,827	98%
Component 2 / Outcome 2	65,263	76,256	117%
Component 3 / Outcome 3	22,140	18,267	83%
Component 4 / Outcome 4	20,558	19,982	97%
Component 5 / Outcome 5	15,814	11,745	74%
<b>YEMEN</b>			
Component 1 / Outcome 1	16,629	6,843	41%
Component 2 / Outcome 2	53,671	12,909	24%
Component 3 / Outcome 3	22,554	0	0%
Component 4 / Outcome 4	30,926	0	0%
Component 5 / Outcome 5	16,629	0	0%
<b>SIERRA LEONE</b>			
Component 1 / Outcome 1	15,206	9,309	61%
Component 2 / Outcome 2	49,076	52,688	107%
Component 3 / Outcome 3	21,272	21,359	100%
Component 4 / Outcome 4	28,889	32,361	112%
Component 5 / Outcome 5	15,205	13,931	92%
<b>TOTAL</b>	<b>3,960,200</b>	<b>3,116,888</b>	<b>76%</b>

## **Annex IV. List of Consulted Documents**

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- UN Environment ProDoc and minutes from Project Review Committee meetings
- CEO Approval documents
- Project design documents, Project Identification Form (PIF)
- Formal revisions to the project (no-cost extensions)
- Project Extensions
- Cash advance statements and expenditures related documents
- Inception Report
- Co-finance reports, Annual and Final
- NIP, National Inventories, Action Plans
- Partner agreements and amendments
- Legal documents and agreements relating to the projects
- Progress reports
- Quarterly Progress and Financial Reports
- Final Outputs (Action Plans on POPs, Task Team reports)
- Task Team reports
- Quarterly and half-yearly progress reports (2014-2017)
- Financial management documents (e.g. cash advances and remittances)

## Annex V. List of Interviewees

<b>Cameroun</b>	
Joswa AOUDOU	Brigade Chief for Environmental Inspections, MINEPDED/DNC-Yaoundé Cameroon, Focal Point/ Stockholm Convention - National Project Coordinator
Dr Haman UNUSA	Unit Head for Studies and Prospection, GEF Operational Focal Point/Adaptation Fund Focal Point, Ministry of Environment, Protection of Nature and Sustainable Development
Jean Georges, TATKEU	Director General, PanEnviro SARL
Mrs. Nathalie KENMOGNE	Président, L'Association des Femmes Africaines Intègres pour la recherche et le Développement (AFAIRD)
Dr. Gilbert KUEPOUO	Coordinateur, Centre de Recherche et d'Éducation pour le Développement (CREPD)
<b>Argentina</b>	
Leila Devia	National Focal Point - Director, National Institute of Industrial Technology - Buenos Aires
Alberto Santos Capra	Deputy Director, National Institute of Industrial Technology - Buenos Aires
Agustin Harte	Technical advisor, Environmental Management of chemicals and waste, Ministry of Environmental Control and Monitoring
Fernando Lamela	Industry Representative – Grupo Alfa
Manrique Altavista	Advisor - Foreign Affairs Ministry - Buenos Aires
<b>Croatia</b>	
Igor Čižmek (Assistant Minister, Ministry of Environment and Energy)	Executing Agency
Mario Stipetić (Ministry of Environment and Energy)	Executing Agency
Mario Vujić	Project Assistant
Željka Dikanović Lučan (Ministry of Agriculture)	NCC member, presented at workshops
Tihana Jergović Gaši (Ministry of Agriculture)	NCC member
Draženka Stipaničev (HRVATSKE VODE)	NCC member, presented at workshops, data on water pollution
Snježana Herceg Romanić (Institute for Medical Research and Occupational Health)	NCC member, presented at workshops, data on POPs

Gordana Ruklić (Ministry of Environment and Energy)	Executing Agency, GEF Operational Focal Point
Tamara Tarnik (Croatian Employers' Association)	NCC member, Stakeholder
Dijana Varlec (Croatian Chamber of Economy)	NCC member, Stakeholder, hosted workshops
Gordana Vešligaj (Focal point for Basel Convention, Ministry of Environment and Energy)	Executing Agency
Darka Hamel (Croatian Centre for Agriculture, Food and Rural Affairs)	Expert, provided data for inventories, presented at workshops
Morana Belamarić Šaravanja (former DLS)	National consultant, A. 2.1, 2.2, 2.3, presented at workshops
Igor Anić (DVOKUT-ECRO)	National Consultant, A. 2.2
Mirta Pokrščanski Landeka (Ministry of Economy)	NCC member, Stakeholder
Hrvoje Buljan (Ministry of Environment and Energy)	
Nina Zovko (Croatian Agency for Environment and Nature )	NCC member, presented at workshops
Vibor Bulat (Croatian Agency for Environment and Nature )	NCC member, presented at workshops
Romana Grizelj (former Ministry of Environment and Energy)	NCC member
Dubravka Marija Kreković (Ministry of Health)	National Coordinator
Solveg Kovač (former Ministry of Environment and Energy)	NCC member, Stakeholder, presented at workshops - President of NCC, Focal Point for Stockholm Convention
Goran Gregurović (Ministry of Agriculture)	NCC member
Mirjana Vrabec Bistović (Ministry of Agriculture)	NCC member
Irena Zorica Ježić Vidović (Croatian Institute for Toxicology and Antodoping)	NCC member, provided data for inventories, presented at workshops
Branka Pivčević Novak (Ministry of Environment and Energy)	NCC member, presented at workshops
Goran Romac (former Croatian Centre for Cleaner Production)	NCC member, National Consultant, presented at workshops A 1.1., A.2.1, A 4.2
Maja Jerman Vranić (EKONERG)	National Consultant, A. 4.2
<b>The Gambia</b>	
Baboucarr Mbye,	Member Education and Information Dissemination Task Team, lead author of the Gender and Socio-Economic study of the NIP Updating project, and Executive Secretary, Stay Green Gambia
Edrissa Ceesay,	Consultant, and member of the Updating National Profile Task Team

Lalia Jawara,	NCC Member, and Principal Scientific Officer Residue Monitoring & Laboratory Assessment, Food Safety and Quality Authority (FSQA)
Lamin B. J. Samateh,	Programme Officer, Environment Legislation and Policy, NEA
Momodou Canteh,	Project National Consultant, Do fa Consult
Omar S. Bah,	Project Manager NIP Updating project and Registrar of Pesticides and Hazardous Chemicals, NEA
Saja Konateh, Leader,	POPs Pesticides inventory and assessment Task Team, and formerly Principal Agricultural Officer, Plant Protection Services, Department of Agriculture
<b>Kyrgyz</b>	
Marat Usupov (UNIDO)	Stakeholder
Ainash Sharshenova (Profmedicina)	Expert, A. 2.3
Narynbek Myrsaliev (Climate Change Center, expert)	Expert, A.3.2, A.4.2, A 5.1
Rakhmatbek Toychuev (Institute of Medical problems of National Academy of Science)	Scientist, his data was used for A. 2.3.
Indira Zhakipova (NGO EKOIS)	Stakeholders, participants of workshops
Pechenuk NGO Independent Expertise	
Almaz Alakunov Dept of Plant Protection and Chemicalization, Ministry of Agriculture)	Stakeholder, participated and presented in workshops, helped A. 2.3.
Isaak Jumaev	Expert, A. 2.2.
Baigabyl Tolongutov (Environmental Agency Centre on Chemical Safety)	Project Coordinator
Aziza Zhandaeva (Environmental Agency Centre on Chemical Safety)	Project Manager
Ali Khalmurzaev (Environmental Agency Centre on Chemical Safety)	
Baglan Salykmambetova (Environmental Agency Dept of International Relations)	Project Team specialist
Mirbek Esengulov	Expert, A. 2.2.
<b>Samoa</b>	
Ms. Fiasosoitamalii Siaosi	Ministry of Natural Resources and Environment
Mr. Vesi Ioane	Ministry of Agriculture and Fisheries
Ms. Sofai Eteuati	Land Transport Authority
Ms. Varea Dawn	National University of Samoa
Mr. Seumalo Afele Faiilagi	Ministry of Natural Resources and Environment
Dr. Ms. Taema Imo	National University of Samoa



Dr. Frank Griffin	Secretariat of the Pacific Regional Environment Programme
Ms. Fiasosoitamalii Siaosi	Ministry of Natural Resources and Environment
Mr. Seumalo Afele Faiilagi	Ministry of Natural Resources and Environment
Ms. Fiasosoitamalii Siaosi	Ministry of Natural Resources and Environment
<b>Solomon</b>	
Ms. Rosemary Apa	Environment and Conservation Division
Mr. Jimmy J. Hilly	Representative of Health Sector
Wendy Beti	Environment Unit
Wendy Beti	Environment & Conservation Division
Mr. Joe Lelau	Senior Customs Officer

## Annex VI. Evaluation Framework

Evaluation criteria and questions <sup>50</sup>	Sub-questions/sub-dimensions	Source of information and data collection methods	Data analysis methods
<b>Lessons Learned</b>			
Lessons for future POPs related projects	<p>What are the lessons learned from the NIPs for POPs projects that could help in better implementation of future POPs related projects?</p> <p>What are the lessons learned concerning Enabling Activities' main function of supporting countries to comply with their obligations under the SC?</p> <p>What are the reasons and lessons from those countries where the national policy process does not reflect the project results?</p> <p>What are the key factors in fully achieving/not fully achieving project results?</p> <p>What could have been done differently?</p> <p>Did the monitoring system contribute to enhancing implementation efficiency? How/Why not?</p> <p>Did the communication system contribute to enhancing implementation efficiency? How/Why not?</p>	<p>Interviews with:</p> <ul style="list-style-type: none"> <li>Government representatives during evaluation mission</li> <li>Project management team</li> <li>National counterparts during evaluation mission</li> <li>National GEF Focal Point during evaluation mission</li> <li>Project Task Manager</li> </ul> <p>Document review of:</p> <ul style="list-style-type: none"> <li>Project documents</li> <li>PIRs</li> <li>6-monthly status reports in PIMs</li> </ul>	<ul style="list-style-type: none"> <li>Content analysis of interview notes</li> <li>Content analysis of document review</li> <li>Content analysis of survey responses</li> </ul>

<sup>50</sup> These were adapted as/if required by each of the Team members, depending on country specificities

<p>Ownership and Sustainability</p>	<p>To what extent have the NIP for POPs project results been embedded in the countries' policy processes?                  To what extent have funding mechanisms been established/institutionalised to continue policies and enforcement of project results?                  To what extent is it likely that the project achievements will be taken forward at the national level, by the government and by the main stakeholders?</p>	<p>Document review of:                  Relevant national policies/strategies/plan PIRs                  Other expert reports                   Interviews with:                  Government representatives during evaluation mission                  Project Task Manager</p>	<p>Content analysis of document review                  Content analysis of interview notes                  Content analysis of survey responses</p>
<p>Strategic Relevance</p>			
<p>Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW)</p>	<p>At the time of projects' approval:                  To what extent are the projects aligned with the UN Environment's MTS?                  To what extent are the projects aligned with the UN Environment's POW?</p>	<p>Interviews with:                  Project Task Manager                   Document review of:                  UN Environment documents (MTS, POW)</p>	<p>Content analysis of interview notes                  Content analysis of documents</p>
<p>Alignment to UN Environment/ GEF/ Donor Strategic Priorities                  Alignment with the Bali Strategic Plan (BSP) for Technology Support and Capacity Building, and South-South Cooperation</p>	<p>To what extent are the projects aligned with the BSP for Technology Support and Capacity Building?                  To what extent are the projects aligned with South-South Cooperation?</p>	<p>Interviews with:                  Government representatives during evaluation mission                   Document review of:                  UN Environment documents (BSP)</p>	<p>Content analysis of interview notes                  Content analysis of documents                  Content analysis of survey responses</p>
<p>Relevance to Regional, Sub-regional and National Environmental Priorities</p>	<p>To what extent is the intervention suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented?</p>	<p>Interviews with:                  Government representatives during evaluation mission                  National GEF Focal Point during evaluation mission</p>	<p>Content analysis of interview notes                  Content analysis of documents                  Content analysis of survey responses</p>

		Document review of: National and/or sub-national development plans/strategies/roadmap/agreements, environmental agreements.	
Quality of Project Design			
This is assessed separately according to a set of criteria			
Nature of External Content			
Effectiveness			
Financial Management			
Completeness of financial information, including expenditure (to the extent possible at output level),	Availability of financial documentation to the evaluation What was the actual spend across the life of the projects? To what extent was this in line with the approved budget? What changes, if any, have been made and why?	Document review of: Expenditure documents provided to the evaluation Financial reports  Interviews with: UN Environment project manager Government representatives	Content analysis of document review Content analysis of interview notes
Efficiency			
Monitoring and Reporting			
Monitoring Design and Budgeting Assessment of the quality of the design of the monitoring plan as well as the funds allocated for its implementation	To what extent is the monitoring plan designed to track progress against SMART indicators? To what extent have adequate funds been allocated for monitoring purposes? To what extent were the allocated funds adequate for the mid-term and terminal evaluations?	Interviews with: Project Task Manager Project management team  Document review of: Project documents PIRs 6-monthly status reports in PIMS Other progress reports	Content analysis of interview notes Content analysis of document review

<p>Project Reporting Verification of fulfilment of UN Environment and donor reporting requirements</p>	<p>Have the 6-monthly status reports been uploaded regularly in the Project Information Management System (PIMS)? Have the PIRs been submitted annually to the GEF? To what extent have other UN Environment and donor reporting requirements been fulfilled?</p>	<p>Document review of: 6-monthly status reports in PIMS PIRs Other progress reports</p>	<p>Content analysis of document review</p>
<p>Sustainability</p>			
<p>Factors and Processes Affecting Project Performance</p>			
<p>Preparation and readiness Focus on inception or mobilization stage of the projects</p>	<p>To what extent were appropriate measures taken to either address weaknesses in the project design? Did any changes take place between project approval, the securing of funds and project mobilisation? What responses were implemented? What was the nature and quality of engagement with stakeholder groups by the project team? How were partner capacities confirmed? How were partnership agreements developed? Were initial staffing and financing arrangements sufficient to drive implementation?</p>	<p>Interviews with: Project Task Manager Project management team National GEF Focal Point evaluation mission Other country stakeholders during the evaluation mission  Document review of: PIRs 6-monthly status reports in PIMS Other expert reports Project documents</p>	<p>Content analysis of interview notes Content analysis of document review</p>
<p>Responsiveness to Human Rights and Gender Equity Adherence to UN human rights, environmental and gender equality policies</p>	<p>To what extent have the UN Common Understanding on the Human Rights Based Approach (HRBA) and the UN Declaration on the Rights of Indigenous People been applied? To what extent do the projects adhere to UN Environment's Policy and</p>	<p>Document review of: Project documents UN HRBA UN Declaration on the Rights of Indigenous People UN Environment's Policy and Strategy for Gender Equality and Environment</p>	<p>Content analysis of document review</p>

	Strategy for Gender Equality and the Environment?		
Country ownership and driven-ness Assessment of quality and degree of engagement of government/public agencies	To what extent and how were the official representatives involved in the project? To what extent and how were the technical or leadership groups involved in the project? How did this contribute to embed changes in their respective institutions and offices?	Interviews of: Project Task Manager Project management team Government representatives during evaluation mission Technical and/or leadership groups during evaluation mission  Survey: Government representatives	Content analysis of interview notes Content analysis of survey responses

## Annex VII. CVs of Team Members

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### **Cristóbal Vignal (Team Lead)**

+ 52 1 (55) 6869 7094 - [xtobl@me.com](mailto:xtobl@me.com) - [cristobal.vignal@gmail.com](mailto:cristobal.vignal@gmail.com) – Skype:  
xtobl1

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### **Synopsis**

Over 27 years of experience at senior level, as manager, principal specialist, expert, advisor and evaluator. Interventions over the years have supported transparency and accountability of development-oriented intervention processes, both from the donor and executing agency perspective as well as from the governments. Gender equality, equity and justice have always been my credo.

This expertise has been acquired as international civil servant and as international consultant and includes planning, budgeting, development, implementation, coordination and management of complex, multidisciplinary inclusive projects and programmes, as well as monitoring and evaluation of results, and organizational design. This includes extensive negotiation experience with high-level government officials from line ministries as regards implementation and performance-based evaluation to ensure accountability, and transparency in public management. Main areas of expertise include ozone layer protection (Montreal Protocol), hazardous waste management (Basel Convention), POPs controlled under the Stockholm Convention and SAICM, Renewable Energy and Energy Efficiency and also, but to a lesser degree, biodiversity, climate change (Kyoto), private sector development, trade and agri-projects.

As part of advanced studies in the multidisciplinary science of oceanography, acquired in depth training in fluid mechanics, meteorology, earth sciences, chemistry, physics and geology. Thesis, on remote sensing applied to coastal oceanography, demonstrated the impact of paleo-climate on coastal zones.

This knowledge has been constantly built up and kept up to date as part of ongoing international consulting activities in the area of POPs, Montreal Protocol implementation, SAICM and Poverty-Environment Initiative, RE and EE, by assisting Environment Canada, the Global Environment Facility (GEF), the Multilateral Fund Secretariat under the Montreal Protocol, UN Environment, UNDP and UNIDO to develop, implement and/or evaluate projects in Africa, Latin America and the Caribbean, China, Eastern Europe, India and, West Asia, including country evaluations in Mexico, Uruguay and Cuba.

## PROFESSIONAL EXPERIENCE

### **CV&A INTERNATIONAL CONSULTING 2003 - Present**

#### ***Founding Partner - President***

Founded and manages “Cristobal Vignal & Associates” a consulting firm providing policy advice and technical/management services to Governments and International Organizations for: 1) the development and implementation of strategies and programs leading to compliance with intergovernmental agreements, and Sustainable Development Goals of the United Nations including Gender Equality; 2) the development of local government institutions and capacities, including empowering underrepresented minorities; and, 3) the planning, management and or/evaluation of multidisciplinary investment and/or non-investment projects.

#### **NIPs for POPs (2018-2019)**

Client: UN Environment - Evaluation Group

- Team Leader for the Terminal Evaluation of the “Global Project on the Updating of National Implementation Plans for POPs” under the Stockholm Convention. This evaluation covered 32 countries and was covered by a team of 4 International Consultants based worldwide. The final report is expected end April 2019.

#### **NIPs for POPs - Brazil (2018-2019)**

Client: UN Environment - Evaluation Group

- Team Leader for the Terminal Evaluation on “Development of a National Implementation Plan in Brazil as a first step to implement the Stockholm Convention on Persistent Organic Pollutants (POPs)”. Although the project was completed with considerable delays, it received a Highly Satisfactory rating, placing it as a best practices example for UN Environment interventions of similar type.

#### **African Least Developed Countries (2017-2018)**

Client: UN Environment - Evaluation Group

- Team Leader for the terminal evaluations on “Capacity strengthening and technical assistance for the implementation of the Stockholm Convention National Implementation Plans in Africa LDCs of the COMESA, SADC and ECOWAS sub-regions” and for the “Demonstration of a regional approach to environmentally sound management of PCB liquid wastes and transformers and capacitors containing PCBs”. These evaluations covered 26 countries and recommendations will support informed decision making as regards future interventions to implement the Stockholm Convention.

#### **UNIDO (2017)**

Client: UNIDO Evaluation Office and Office of the Director General

- Team Member for preparation of the Programme Country Partnership Evaluation; responsible for preparation of the Senegal Case Study, and co-redactor of the Peru Case Study. This evaluation was extensively referenced by the Governing Council and was a part of a special briefing to Member States on the Management Response to the recommendations, which is a first.

#### **Mauritania (2017)**

Client: UN Environment, Africa Office – OzonAction Compliance Assistance Programme

- Team Leader responsible for the formulation and technical backstopping of the HCFC Phase out Management Plan (HPMP), including the development of UNDP investment components.

#### **ECREEE (2016 - 2017)**

Client: UNIDO - Director General's Office, Evaluation Group



- Team Leader for the preparation of the Strategic Review of the ECOWAS Centre for Renewable Energy and Energy Efficiency project and for the development of the Strategy 2017 - 2021. The Review covered the period of 2010-2016 and recommendations and lessons learned were instrumental in the preparation of the Strategy.

**Sudan (2016)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Mid Term Evaluation of Norway/UNIDO project on Building Institutional Capacities for the Sustainable Management of the Marine Fishery in the Red Sea State.

**Mexico, USA (2015-2016)**

Client: UNIDO – Cleaner and Sustainable Production Unit

- Principal Specialist and Master Writer of the GEF/UNIDO Full Size Project for Implementation of the Strategic Action Programme of the Gulf of Mexico Large Marine Ecosystem, representing a total portfolio value of US\$147M. This project received CEO endorsement in October 2016.

**ECREEE (2015)**

Client: UNIDO - Director General's Office, Evaluation Group

- Organizational development expert engaged to strengthen the capacities of the ECOWAS Centre for Renewable Energy and Energy Efficiency project. This included the revision of the organizational structure and preparation of the relevant job descriptions for staff of the Secretariat.

**Africa/South East Asia (2015)**

Client: UNEP – Division of Technology, Industry and Economics

- Senior International Expert and Coordinator in charge of the development and implementation of 2 projects financed by the European Commission: Environmentally Sound Collection, Management and Destruction of ODS Banks in Developing Countries (US\$7.6M); and, Maximizing Climate Benefits of HCFC Phase Out (US\$4M).

**China (2015)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Terminal Evaluation of the Strengthening Institutions, Regulations and Enforcement (SIRE) Capacities for Effective and Efficient Implementation of the National Implementation Plan (NIP) under the Stockholm Convention.

**Russia (2015)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Terminal Evaluation of the Identification, Evaluation and Priorization of "Pollution Hot-Spots" in the Basins of Trans-Border Reservoirs and Transfer of Environmentally Sound Technologies project.

**Burkina Faso (2015)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Terminal Evaluation of the Promotion of Energy Efficient Technologies in the Beer Brewing Sector in Burkina Faso project. This ITE covered the period of 2012-2014 and the report was instrumental in assisting the partner institutions to identify and address issues to reach the expected outcomes, including replication to neighboring countries.

**Uruguay (2014)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for preparation of the Independent Country Evaluation of UNIDO projects developed and implemented in Uruguay for the period 2008-2015 representing a total portfolio value of over US\$5M. It is expected the report will be instrumental in the realignment and strengthening of industrial development assistance in support of the country's economic development priorities.

**India (2014)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-Term Evaluation of the Environmentally Sound Management and Disposal of Polychlorinated biphenyls (PCB) project. This MTE covered the period of 2010-2015 and the report has been instrumental in assisting the partner institutions to identify and address issues to ensure that the expected outcomes are achieved.

**Ukraine (2014)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-term Evaluation of the Improving Energy Efficiency & Promoting Renewable Energy in the Agro-Food & other Small and Medium Enterprises project. This MTE covered the period of 2011-2013 and the report will be instrumental in assisting the partner institutions to identify and address issues that must be addressed to reach the expected outcomes.

**Sudan (2013-2014)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Final Independent Evaluation of Norway/UNIDO project on Surveys of Renewable Marine Resources in the Red Sea State. This FIE covered the period of 2012-2014 and the report concluded that the project has supported progress in the understanding of fisheries dynamics of the region.

**Mexico (2013)**

Client: UNIDO – Director General's Office, Evaluation Group

- Team Leader for preparation of the Independent Country Evaluation of UNIDO projects developed and implemented in Mexico for the period 2007-2012 representing a total portfolio value of over US\$60M. The report was instrumental in the realignment and strengthening of industrial development assistance in support of the countries economic development priorities.

**ECREEE (2013)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-term Evaluation of the ECOWAS Centre for Renewable Energy and Energy Efficiency project. This MTE covered the period of 2010-2012 and the report has been instrumental in assisting the partner institutions to realign the institution to allow it to continue meeting operational and strategic needs, on a sustainable basis.

**Chile, Colombia, Mexico (2013)**

Client: Multilateral Fund Secretariat of the Montreal Protocol

- Team Leader for preparation of the case studies for Chile, Colombia and Mexico in the context of the Multi-Year Agreement Projects Evaluation. The objective of the Evaluation was to identify specific lessons learned that could be valuable for future MYAs.

**Peru (2012-2013)**

Client: UNIDO - Director General's Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-term Evaluation of the Environmentally

Sound Management and Disposal of Polychlorinated biphenyls (PCB) project. This MTE covered the period of 2010-2012 and the report has been instrumental in assisting the partner institutions to identify and address issues that could potentially derail the expected outcomes.

**Cuba (2012)**

Client: UNIDO – Director General’s Office, Evaluation Group

- Team Leader for preparation of the Independent Country Evaluation of UNIDO projects developed and implemented in Cuba for the period 2005-2012 representing a total portfolio value of over US\$10M. The report was instrumental in the realignment and strengthening of industrial development assistance to meet the country’s economic development priorities.

**Angola (2011, 2012), Chad, Comoros, Congo DR (2011, 2012), Cuba, Djibouti, Gabon, Guinea Bissau, Haiti, Mali (2011), Mauritania (2011), Moldova, Mozambique, Nigeria (2011, 2012), Sierra Leone, Gambia, Togo, Uruguay**

Client: UNDP – Montreal Protocol Unit (MPU), Bureau for Development Policy (BDP), New York

- Team Leader responsible for the formulation and technical backstopping of the HCFC Phase out Management Plans (HPMP), and/or for UNDP investment components of UNEP projects. This led in every case to the approval of funds in support of countries phase-out obligations (ranging from \$200k to US\$15M).

- Team Leader for country specific missions, providing technical support to Country Offices and governments, in support of project implementation. These missions have been essential to ensure the countries remain in compliance with their international obligations.

**Mexico, USA (2011, 2012, 2013)**

Client: UNIDO – Director General’s Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-Term Evaluation (2011/2012) and of the Final Evaluation (2013) of the GEF/UNIDO Integrated Assessment and Management of the Gulf of Mexico Large Marine Ecosystem project representing a total portfolio value of over US\$100M. The report and its recommendations will be used in support of the request for financing of the second phase of the project, which will be submitted to the GEF in early 2014.

- Team Leader for the preparation of the Evaluation of the Enhancing Shrimp Production through Ecosystem Based Management Pilot Project. This second report was commissioned in order review the project and provide recommendations that would increase efficiency and effectiveness, which had been identified by the Mid Term Evaluation as potentially at risk.

**Belarus, Tajikistan, Ukraine, Uzbekistan (2011, 2012)**

Client: UNDP – MPU, BDP, Bratislava Regional Centre

- International Lead Consultant for the formulation of the Full-sized Project Proposal and GEF CEO Endorsement Documents of the GEF/UNDP project for accelerated HCFC phase-out in CEIT countries with a total portfolio value of over US\$35M. The approved Projects are the core strategic documents guiding the implementation of the countries phase out strategies.

**Nigeria and Ghana (2011, 2012)**

Client: UNIDO – Director General’s Office, Evaluation Group

- Team Leader for the preparation of the Independent Mid-Term Evaluation of the GEF/UNIDO Regional project to develop appropriate strategies for identifying sites contaminated by chemicals listed in annexes A, B and/or C of the Stockholm Convention. These evaluations served to demonstrate the successes and challenges facing the countries in their fight to develop and implement successful strategies for the control and disposal of persistent organic pollutants (POPs).

**Cuba (2011)**

Client: UNDP – MPU, BDP, Panama

- Team Leader responsible for the formulation and technical backstopping of the Pilot Demonstration Project on ODS Waste Management and Disposal. This led to the approval of the first destruction project for contaminated stocks of chemicals, the results of which are intended to serve as the basis for regional demonstration projects.

**Mozambique (2010) and Mauritania (2011)**

Client: UNDP – Bureau for Development Policy, New York

- Team Leader responsible for technical backstopping and mainstreaming of efforts under the UNDP-UNEP Poverty-Environment Initiative (PEI) of the Strategic Approach to International Chemicals Management (SAICM) related activities (Mozambique) and project implementation, technical backstopping and delivery of Inception Workshop and follow up on activities being developed and/or implemented (Mauritania). As a result, the countries are successfully complying with their commitments and additional funding will be sought for development and implementation of longer-term strategies.

**Angola (2008, 2009), Chad (2007, 2008, 2009), Benin (2008), Comoros (2008), Congo DR (2007-2010 yearly), Cuba (2007, 2010), Djibouti (2007, 2008), Gabon (2007, 2008), Gambia (2009, 2010), Guinea Bissau (2008, 2009, 2010), Haiti (2008, 2009), Mali (2007, 2008, 2009), Mauritania (2007, 2008, 2009), Mozambique (2009, 2010), Nigeria (2008-2010 yearly), Sierra Leone (2008, 2009, 2010), Swaziland (2009), Togo (2007, 2009)**

Client: UNDP – MPU, BDP, New York

- Responsible for preparation and/or follow up on implementation of Terminal CFC Phase-out Management Plans (TPMP). Team Leader for custom tailored missions providing technical support to Country Offices and governments in support of the implementation of the investment components of the projects. This work led successfully in every case to the approval of funds in support of the countries phase-out obligations.

**Armenia, Chad, Guinea Bissau, Mali, Nigeria, RD Congo, Sierra Leone, and Togo (2008 to 2011)**

Client: UNDP and Governments of the above-mentioned countries

- Provision of guidance to the UNDP Country Teams as regards End-user financial incentives programs and, Technical Evaluation of applications submitted for incentives.

**Bolivia, Chile (2008), Cuba, Mexico, Uruguay (2010)**

Client: Environment Canada

- Responsible for the preparation of the TPMPs for Bolivia and Chile and, in charge of direct follow up on the implementation of projects for Bolivia, Chile, Cuba, Mexico and Uruguay.

**Sao Tome and Principe (2007)**

Client: Democratic Republic of Sao Tome and Principe

- Responsible for the preparation of the Terminal CFC Phase-out Management Plan (TPMP), resulting in approval and funding by the Executive Committee of the Montreal protocol.

**Honduras, Madagascar, Saint Martin, Thailand and Kenya (2006), Nicaragua (2007)**

Client: Multilateral Fund Secretariat of the Montreal Protocol

- Responsible for formulation of the Desk Study for the evaluation of the UN Compliance Assistance Programme (CAP); - Team Leader for the case studies of the Africa, South Asia, Latin America and the Caribbean Networks; Preparation of the draft Final Evaluation Study on the UNEP CAP.

### **Sao Tome and Principe, Nigeria (2006)**

Client: Multilateral Fund Secretariat of the Montreal Protocol

- Team Leader responsible for formulation of the Desk Study on non-compliance with the freeze in consumption of CFCs, Halons, Methyl Bromide and Methyl Chloroform; Preparation of the resulting evaluation case studies for Sao Tome and Principe and Nigeria for the Draft Synthesis Report

### **Senegal (2004), Bolivia (2005), Paraguay (2005)**

Client: Multilateral Fund Secretariat of the Montreal Protocol

- Preparation of the Desk study on the Evaluation of Licensing and Customs Training Systems and preparation of the Country reports used as main contributions to the Final Synthesis report presented to the Executive Committee

### **Worldwide**

Client: Nafta Commission for Environmental Cooperation (CEC)

- Team Leader responsible for preparation of the North American Linkages to Global Environmental Strategies (NALGES 2), a worldwide inventory of Conventions, Agreements and project relating to the mandate of the client organization. This resulted in formulation of recommendations and prioritization for development of synergies with other like-minded organizations.

### **NAFTA ENVIRONMENT COMMISSION, MONTREAL, CANADA 2000-2003**

**Council Secretary** - Secretary to the Council of Ministers, ensuring provision of support to the Council, and advice to the Executive Director, on all matters related and/or emanating from the Council.

Developed and implemented operating guidelines and procedures for the Council and its subordinate bodies and supervised the provision of support services to Council in preparation for and during Council Sessions and other meetings. Acted as primary point of contact between the Council and the Secretariat, and between the Council and the Joint public Advisory Committee and, participated in all procedural and substantive negotiating sessions.

Acted as Session Secretary and assisted the Council Chairperson in the conduct of the Council Session, providing advice on matters related to Council Rules and Procedures, briefing CEC staff on issues arising from the Council Sessions, Alternate Representatives of the Ministers and/or General Standing Committee meetings and, monitored the implementation of Council Resolutions and Decisions.

#### **Planning Monitoring and Evaluation Officer**

Provided advice to the Executive Director and formulated and updated, on a yearly basis, the rolling three year strategic plan and budget, negotiating its approval by the Council, monitoring its implementation and ensuring integration of results of Monitoring and Evaluation into the cycle and into the Secretariat's Strategic Plan.

Planned, coordinated, developed and negotiated the approval of the Program Outline and 3 Year Rolling Program Plan and Budget covering all areas of work (Biodiversity, Pollutants, legal and financial) as well as of the Program Achievements Report and Annual Reports. Designed, developed and implemented a CEC wide cost effective Monitoring and Evaluation system ensuring definition and regular monitoring of clear unit objectives and measurable milestones. Responsible for the preparation of publications such as *Summary of a North American Agenda for Action; A Shared Vision, Toward Sustainability in North America*; Project Briefs; Strategic documents on behalf of the Executive Director, etc.

Standing member, Corporate Policy Group and Coordinating Committee of the CEC - providing advice relating to major policy decisions

**NAFTA ENVIRONMENT COMMISSION, MONTREAL, CANADA 1995-1999**

**Coordinator, Global Strategies and Program Liaison**

**Deputy Council Secretary** - Standing member, CEC Management Committee.

Provided advice to the Executive Director on an ongoing basis and was directly responsible for:

- Planning, coordination and development of the Three Year Program Plan, Annual Program and overall budget, Report on Program Achievements and, of the Annual Report;
- Set up and supervision of the activities and the staff of the North American Fund for Environmental Cooperation (NAFEC);
- Management of the North American Linkages to Global Environmental Strategies (NALGES) initiative;
- Responsible for the coordination of the CEC wide Efficiency Review Task Force and of its sub-groups, within the framework of the Four Year Review of the CEC.

**CV&A INTERNATIONAL CONSULTING, PARIS, FRANCE 1994-1995**

**Founding Partner – President**

Clients included UNEP and international trading companies.

Services ranged from technical backstopping and finalization of sector specific publications (leather tanning industry, electronics, etc.), and facilitator and broker for international trading partnerships in the automobile and aerospace sectors (France-Argentina; France-Mexico).

**UNITED NATIONS ENVIRONMENT PROGRAMME, PARIS, FRANCE 1991-1994**

**Program Officer**

Organized and followed up on regional training workshops and meetings on hazardous waste, Cleaner Production and ozone depleting substances. As founding member of the OzonAction Programme was responsible for the initial set up and management of the office, reporting to the Director of the Industry and Environment Programme. Areas of responsibility included:

- Preparation of technical documentation and training material for workshops and training courses on Cleaner Production, hazardous waste and ozone depleting substances;
- Publication manager for the quarterly *OzonAction* Newsletter and for the *Protecting the Ozone Layer* technical documentation series;
- Responding to technical queries.

**ACADEMICS**

1991 DEA, (Diplôme d'études approfondies) Natural and Human Environment Dynamics, University of Bordeaux III – France. Thesis on remote sensing applied to coastal oceanography

1989 MSc. in Oceanography, University of Bordeaux I - France

1988 BSc. in Earth Sciences, Universities of Marseille-Luminy / Bordeaux I – France

84-86 Marine Sciences, University of Baja California – Ensenada, México

**LANGUAGES**

Perfectly fluent in English, French and Spanish – Fluent in Portuguese, with very good working knowledge of Italian, both read and spoken

Organized Ministerial meetings, conferences, regional training courses and workshops in Canada, Egypt, France, Kenya, Mexico, Thailand, USA, and Venezuela

Represented the United Nations (UNDP, UNEP, UNIDO), the CEC and, Environment Canada, in numerous events;

Authored, co-authored articles, reports and publications.

*Details and references available upon request.*

## **PETR SHAROV**

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web-site: <http://blacksmithinstitute.org/>

### **Education:**

Candidate of Biologic Sciences (Ph.D.), Far Eastern State University, Institute of Graduate Programs, Department of Ecology, Vladivostok, Russia, defended in **June 2006**

- Emphasis in Environmental Health Risk Assessment

Master of Science (M. S.), Environmental Science, University of Idaho, Moscow, ID, graduated in **August 2002**

- Emphasis in Environmental Risk and Remediation

Specialist of Ecology (M.S.), Far Eastern State University, Academy of Marine Biology, Ecology, and Biotechnology, Vladivostok, Russia, graduated in **June 2000**

- Emphasis in Biological Sciences, Ecosystems, and Environmental Law

Bachelor of Science (B. S.), Environmental Science, Washington State University, Pullman, WA, graduated in **May 1999**

- Emphasis in Natural Resources Management, Environmental Policy
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### **Qualifications**

- Geographic Information System ArcGIS, able to create maps, conduct spatial analysis
  - Experienced in chemical laboratory work
  - Expert field group leader for environmental contamination assessments
  - Able to communicate fluently and write in English and Russian, understand and speak some Japanese.
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### **Work Experience**

Blacksmith Institute: New York, USA, February 2014 - now

Position: Regional Director of Eastern Europe and Central Asia Program

- management of projects in Russia, Central Asia, and Eastern Europe

Blacksmith Institute: Artem, Primorye, Russia, March 2010 – February 2014

Position: Regional Coordinator of FSU Projects

- coordination of projects in Russia, Central Asia, and Eastern Europe



Far Eastern Environmental Health Fund: Artem, Primorye, Russia, December 2002 - March 2010

Position: Director of Programs

- leading organization, coordinating programs

Regional environmental newspaper "Fresh Wind": Artem, Primorye, April 2007 – October 2012

Position: Chief Editor

- leading production, managing staff, editing and writing articles

World Wide Fund for Nature Russia: Vladivostok, Primorye, April 2003 – December 2006

Position: Salmon Conservation Projects Coordinator

- coordinating conservation programs activities, fundraising, reporting

Far Eastern State University, Dept of Ecology: Vladivostok, January 2003 – January 2005, September 2007 – December 2010

Position: Lecturer

- teaching GIS, Environmental Mapping, Environmental Economics, and Use of Modeling in Ecology

Wild Salmon Center: Portland, Oregon, May-September 2002

Position: Russia Programs Assistant

- working with spatial data, mapping, translating, writing and editing reports

TerraGraphics Environmental Engineering: Moscow, Idaho, April-May 1999, May-December 2001

Position: Assistant Environmental Engineer

- databases compiling, mapping, reports preparing

Committee of Natural Resources of Primorskiy Krai Regional Administration: Vladivostok, Primorskiy Krai August-October 1999

Position: Practicing Specialist

- office work, correspondence, documents

University of Idaho Environmental Science Program Field Research: Dalnegorsk, Primorskiy kra, June-July 1997

Position: Field Sampler and Translator

- assistance in soil sampling and site characterization in Russian Far East.

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## Participation in International Programs

Kinship Conservation Fellows, Use of Market Tools in Conservation Projects: Bellingham, Washington, USA, June-July 2008

Fellowship Program for Young Russian Policy and Opinion Makers: Warsaw, Poland, July 2006

Tahoe-Baikal Institute Environmental Science and Policy Summer Program: Lake Tahoe Area, California and Nevada, USA; Lake Baikal Area, Irkutsk and Buryatia Regions, Russia, June-August 2001

Russian-American Environmental Exchange Program at Western Washington University: Bellingham, Washington, USA, January-March 1998

Young Leaders of Democracy International Camp: Rabka, Poland, January-February 1995

Global Youth Forum of the United Nations Environmental Programme: Matsue, Shimane, Japan, August 1994

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## **Main publications**

### **(48 total in Russian, English, and Japanese)**

Sharov P. O. 2005. "Lead Contamination of Environment in Rudnaya Pristan and Associated Health Risks." Vladivostok. Dalnauka. 132 p.

Novomodny G.V., Sharov P.O., Zolotukhin S.F. 2004. "Amur Fish: Wealth and Crisis." Vladivostok. Apelsin Publishers. 64 p.

Sharov P. O. 2000. "Optimization of Management for Solving Environmental Problems of the Amur Bay, Gulf of Peter the Great, Sea of Japan." Report for Committee of Natural Resources of Primorsky krai Administration. Vladivostok. Far Eastern State University. 60 p.

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## **Projects Designed and Managed**

"Salyan Obsolete Pesticides Cleanup," Salyan, Azerbaijan; 2016-2017; 50,000 USD; funded by UNIDO/ EU.

"Reducing Lead Health Risk of Children in Sovetskoe," Batken Oblast, Kyrgyz Republic; 2016-2017; 45,000 USD; funded by UNIDO/ EU

"Building the Capacity of Mongolian Non-State Actors to Promote Sustainable Livelihoods and Poverty Reduction in Rural Artisanal Gold Mining Areas," Mongolia; 2013-2016; 580,000 USD; funded by EU and Blacksmith Institute

"North Tajikistan Uranium Contamination Assessment," Khudjand, Tajikistan; 2014-2015; 55,000 USD; funded by Green Cross Switzerland.

"Sumgait Pilot Persistent Organic Pollutants Cleanup of Public Area," Sumgait, Azerbaijan; 2014-2015; 120,000 USD; funded by UNIDO, EU, Azerkymia.

"Clean Sea in Vladivostok," Vladivostok, Russia; 2008, 11,000 USD; funded by USAID

"Rudnaya River Valley Lead Health Risk Reduction Program," Primorsky krai, Russia; 2005- 2010; 500,000 USD; funded by Blacksmith Institute and Green Cross Switzerland

"Kamchatka Salmon Conservation," Kamchatka, Russia; 2005-2006, 2.4 million USD; funded by Gordon and Betty Moore Foundation, USA

## **Projects Managed**

"Toxic Sites Identification Program," Armenia, Georgia, Azerbaijan, Uzbekistan, Ukraine, Kazakhstan, Tajikistan, Kyrgyz Republic, Mongolia; 2013-now; 1.5+ million USD; funded by UNIDO, EU, Green Cross Switzerland, USAID (Mongolia)

"Improving capacities to eliminate and prevent recurrence of obsolete pesticides as a model for tackling unused hazardous chemicals in the former Soviet Union," Armenia, Georgia, Azerbaijan, Belarus, Ukraine, Kazakhstan, Tajikistan, Kyrgyz Republic; 2013-2015; 414,000 USD; funded by FAO/ EU

"Solutions for the Palestinian E-waste Industry: Preserving Health, Livelihood, and Environment Through Community-based Reform and Contaminant Removal," Israel/Palestine; 2015-2016; 370,000 USD; funded by SIDA

"Environmental Health Assessment and Intervention in Mailuu-Suu," Kyrgyz Republic; 2011-2013; 46,000 USD; funded by Green Cross Switzerland

## Curriculum Vitae

Name Suman LEDERER (Ms.)  
Nationality Austrian  
E-mail [suman.lederer@gmail.com](mailto:suman.lederer@gmail.com)

### Employment Record

**05.2009 - dato International Consultant in Evaluation, Project Management, Research**

**05.2011 – dato: Evaluation**

Team leader for the Mid-term evaluation of the UNIDO-GEF project: Removal of technical and economic barriers to initiating the clean-up activities for Alpha-HCH, Beta-HCH and Lindane-contaminated sites at OHIS in the Republic of North Macedonia.

Team leader for the UNIDO-GEF project Environmentally sound management and final disposal of PCBs in the Republic of Serbia.

Team member for the Terminal Evaluation of UN Environment-GEF Project Global Project on the Updating of NIPs for POPs. Country Case Studies: Samoa and the Solomon Islands; 9 Country Status Reports, mainly Pacific countries.

Team leader for the Mid-term evaluation of the UNIDO-GEF project Demonstration of BAT and BEP in open-burning activities in response to the Stockholm Convention on POPs in the ESEA.

Team leader for the Mid-term Evaluation of the UNIDO-GEF project Environmentally sound management and disposal of PCB wastes and PCB-contaminated equipment in Sri Lanka.

Team leader for the Mid-term Evaluation of the UNIDO project Improving competitiveness of export-oriented industries in Armenia through modernization and market-access - Phase 2.

Team leader for the Terminal Evaluation of the UNIDO project in Tajikistan: Industrial modernization and competitiveness improvement of carpet-weaving and embroidery/textile sectors in Tajikistan.

Team leader for the Mid-term Evaluation of UNIDO-GEF project in Indonesia: Introduction of an environmentally sound management and disposal system for PCB wastes and PCB-contaminated equipment in Indonesia.

Team leader for the Mid-term Evaluation of UNIDO-GEF project in Lao PDR: PCB Management and Disposal at the Energy Sector in Lao PDR.

Team member for the Terminal Evaluation of the UNEP project: “Global Platform for Action on sustainable Consumption and Production (SCP): Supporting the implementation of the 10 Year Framework of Programmes on SCP (10 YFP)”.

Team leader for the Mid-term Evaluation of 2 UNIDO-GEF Regional Africa projects: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the SADC and COMESA Sub-regions.

Team member for the Terminal Evaluation of the UNIDO-GEF Regional Asia project: Demonstration of BAT and BEP in Fossil Fuel-fired Utility and Industrial Boilers in Response to the Stockholm Convention on POPs.

Team member for the Mid-term Evaluation of UNIDO-GEF project: Environmentally Sound Management of Medical Wastes in India.

Team member in UNIDO Project Evaluation: Africa (Accelerated) Agribusiness and Agro industries Development Initiative (3ADI).

Team member in UNIDO Thematic Evaluation: Field Office Performance.

Evaluation Analyst in UNIDO Thematic Evaluation: UNIDO's Work in the Area of Persistent Organic Pollutants (POPs).

Concept for external evaluation capacity building  
Quality Assurance of evaluation reports.

#### **04.2010 – 05.2011: Project Management**

Project team for the UNIDO-HP Partnership Programme, with the following tasks:

Monitoring and management of the project;

Coordinating activities with the project partner Hewlett-Packard as well as with participating organisations in Africa and Asia;

Carrying out project-related research and drafting;

Held a workshop on Logical Framework Approach (LFA) for the team members.

#### **05.2009 – 12.2009: Research, UNIDO**

##### **02. 2017 – 30.06.2017: Lecturer, IMC University of Applied Sciences, Krems, Austria**

Lecturer in one semester for Cross-Cultural Communication in Business

##### **03.2013 – 30.06.2016: Lecturer, University of Applied Sciences of the WKW, Vienna, Austria**

Lecturer, part-time, in Bachelor and Master Degree Programmes.

Tasks included lectures in:

Project Management

Business Administration I

Cross-Cultural Communication, Gender and Diversity Management

Business Game

Communication Case Study

Further: Cross-Cultural Communication lectures at Business Schools in Amsterdam, Antwerp, Brussels, Lisbon and Paris

Live virtual lectures in Cross-Cultural Communication at Business Schools in Argentina, Finland, and the Netherlands

**03.2008 – 05.2009 Raiffeisen Foreign Trade, Vienna: Steel Trading – Employee International Project Management**

Work with Letters of Credits (L/C);

Contract implementation in cooperation with international suppliers, customers and banks

**09.2006 – 09.2007 UNIDO, Vienna: Research**

Research, define and retrieve relevant data from various databases, including UNIDO's industrial statistics database, identify the “big hitters” and construct country-specific graphs

**02.1997 – 02.2003 German Legal Courts: Interpreter**

**Education**

09.2006      06.2007      **Master of Advanced International Studies** (10. M.A.I.S.)  
University of Vienna, Diplomatic Academy of Vienna

09.2005      06.2006      **Special Programme in International Studies** (6. S.P.I.S.)  
Diplomatic Academy of Vienna

03.2002      07.2005      **Bachelor of Business Administration** (International  
Management)  
Karlsruhe University of Applied Sciences

**Publications**

Evaluation reports of the afore-mentioned evaluations.

Introduction of Film As An Additional Resource for Transferring Skills in Intercultural Communication Management. Conference Presentation, EDULEARN 13, 2013, Spain.

Determinants of National Innovation Systems: Policy implications for developing countries. Innovation: Management, Policy & Practice Volume 14, Issue 1, 2012. (co-author)

Foreign Direct Investment in Sub-Saharan Africa: Motivating Factors and Policy Issues. Journal of African Business Volume 10, Issue 2, 2009. (co-author)

Changing Patterns in Industrial Performance - A UNIDO Scoreboard Perspective - Implications for Industrial Development; Staff Working Paper, UNIDO, 2009 (co-author)

**Language and Computer Skills**

Proficiency	English, German
Basic	French, Spanish
Proficiency	Microsoft Office, LIME survey (web-based), Survey Monkey (web-based)
Advanced	SAP

	<p><b>KATIM SERINGE TOURAY</b>  <b>Independent International Development Consultant</b></p> <p><b>Mailing Address:</b> P.O. Box 2315, Serrekunda, The Gambia</p> <p><b>E-mail:</b> <a href="mailto:kstouray@gmail.com">kstouray@gmail.com</a> ■ <b>Skype:</b> katim.s.touray ■ <b>LinkedIn:</b> <a href="https://www.linkedin.com/in/kstouray">https://www.linkedin.com/in/kstouray</a></p> <p><b>Tel./WhatsApp:</b> +(220) 995-2942/<b>Mobile:</b> +(220) 717-1646</p>
<b>Bio</b>	<p>Dr. Katim S. Touray is an independent international development consultant with <b>over 17 years consulting experience</b> on assignments for <b>UN agencies, government agencies</b>, the <b>African Union Commission (AUC)</b>, as well as non-governmental organizations (NGOs). Dr. Touray has board experience in non-profit organizations in the US, and in the Gambia government. He thus served on the board of the Internet Corporation for Assigned Names and Numbers (ICANN), a US-based organization which manages the domain names and addressing system of the global Internet. While on the ICANN board from 2008-2011, ICANN re-negotiated its relationship with the US Department of Commerce, resulting in the Affirmation of Commitments (AoC), thus paving the way to make ICANN more independent of the US government. In addition, Dr. Touray participated in the work of the board, ICANN, and the global ICANN community to help the organization prepare for the launch in 2012 of the new gTLD program which resulted in what is up to today, the largest ever increase in the number of top level domain names.</p> <p>Dr. Touray was also the Chairman of the board of the former National Agricultural Development Agency (NADA), which was created in 2007 as part of the re-organization of the Ministry of Agriculture (MOA). As chairman of the board, he led efforts to build NADA from scratch, starting with the recruitment of the Director General, and about 6 Directors of the agency's technical departments. About 300 additional staff were then recruited, and the agency then started working on its strategic plan. Dr. Touray also worked with the MOA, other government ministries, as well as national and international development partners to turn NADA into a streamlined organization with highly motivated staff. Unfortunately, the agency operated under difficult political conditions, and the incessant interference in the work of the agency finally resulted in its dissolution by the National Assembly (parliament) of The Gambia toward the end of 2008.</p> <p>Dr. Touray also has a lot of experience conducting various studies and consultancies in ten West, East, and Central African countries and internationally on issues such as sustainable land management (<b>SLM</b>), <b>agricultural development</b>, the <b>MDGs, project and program formulation and evaluation</b>, and information and communication technologies (<b>ICTs</b>). Dr. Touray has a wealth of experience working with and leading <b>multi-cultural, and inter-disciplinary teams of consultants</b>, and various stakeholders. Other valuable skills he has include <b>excellent communication, Internet, research, analytical, and quantitative skills</b>. In addition, he has working knowledge of <b>French</b>, and consulting experience in French-speaking countries in Africa.</p>
<b>Qualifications</b>	<ul style="list-style-type: none"> <li>• Ph. D. (Soil Science), University of Wisconsin, Madison, WI, USA, with Major in Soil Science (Soil Physics), and Minor in Agricultural Engineering (Soil and Water Conservation) (1994)</li> <li>• M.S. (Soil Science), Montana State University, Bozeman, MT, USA (1987)</li> <li>• Soil and Plant Analysis Training Course, International Institute of Tropical Agriculture, Ibadan, Nigeria (1982)</li> <li>• B. Agric. (Soil Science), University of Nigeria, Nsukka, Nigeria (1981)</li> <li>• Diplôme d'Études en Langue Française (DELF) B1 (2006)</li> <li>• Director Professionalism Course, NACD, USA (June 2010)</li> </ul>
<b>Skills and Consulting Experience</b>	<ul style="list-style-type: none"> <li>• Over 17 years of experience as an independent international development consultant in Africa</li> <li>• Consultancies for UN agencies (UNDP, UNCCD Secretariat, UNDP Drylands Development Centre, UNEP, UNECA, UNICEF, and UNFPA), government agencies, NGOs (Action Aid, Society for Women and Aids, Catholic Relief Services), and AUC.</li> <li>• Consulting experience in Ethiopia, Cameroon, Gambia, Guinea Bissau, Mali, Nigeria, Rwanda, São Tomé and Príncipe, Uganda, and Zambia</li> <li>• Consulting experience on assignments for the African Union Commission and ICANN</li> <li>• Consulting experience in project and program formulation and evaluation, HIV/AIDS, MDGs, civil society organizations, and information and communication technologies (ICTs)</li> <li>• Experience in preparing organizational strategic plans, and policy reviews and development</li> <li>• Experience working with and leading international, multi-cultural, and inter-disciplinary teams of consultants</li> <li>• Excellent communication (writing, speaking and presentation), Internet, research (including Internet research), quantitative and analytical skills</li> <li>• Board level experience in the US and The Gambia and involvement in organizational changes</li> <li>• Working knowledge of French</li> </ul>

<b>Program &amp; Project Evaluation &amp; Development</b>	<ol style="list-style-type: none"> <li>1. <a href="#"><u>UNDP Ethiopia: - April - June, 2019</u></a> As International Consultant helping in the preparation of an inclusive and sustainable agricultural development programme document, I reviewed various documents on Ethiopia's development sectors, had consultations with UNDP, Ministry of Agriculture, the ATA and other stakeholders, visited various sites in Addis Ababa, SNPP, Oromia, and Amhara, presented the draft document at a national workshop, and prepared the project document.</li> <li>2. <a href="#"><u>UN Environment: - July 2018 - July 2019</u></a> As Supporting Consultant for Terminal Evaluation of UN Environment and GEF project on Global Project on the Updating of National Implementation Plans for POPs, I conducted the case study on Gambia and Cameroon, and prepared the Status Reports on Ghana, Sierra Leone, Egypt, Madagascar, Burundi, Benin, Malawi, and Djibouti.</li> <li>3. <a href="#"><u>UNDP, The Gambia: Aug. - Sept. 2015</u></a> As Consultant in the preparation of the 2015 Common Country Assessment (CCA), I contributed chapters on (i) agriculture, food security and nutrition, and (ii) infrastructure (including ICTs, energy, and transportation) of the CCA</li> <li>4. <a href="#"><u>Mid-term review (MTR) of the European Union's Support to the UNDP's IDDP (2012)</u></a> (click on link to see details)</li> <li>5. <a href="#"><u>UNDP, The Gambia, Mar. – May, 2012</u></a> As Consultant, I conducted a terminal evaluation of the Support to the National E-government Strategy Project. I reviewed literature on the project, designed the evaluation questionnaire, and prepared the evaluation report.</li> <li>6. <a href="#"><u>Preparation of 5-Year Fisheries Strategic Action Plan (2011)</u></a></li> <li>7. <a href="#"><u>Preparation of the Gambia National Agricultural Investment Plan (GNAIP) – 2008-2009</u></a></li> <li>8. <a href="#"><u>UNEP Nairobi, Kenya: Jan. – July, 2010</u></a> As Associate Evaluator working with two other consultants to conduct a terminal evaluation of the 12-country pilot project to support the preparation of National Implementation Plans (NIPs) for the Stockholm Convention on Persistent Organic Pollutants (POPs), I evaluated the implementation of the project in Mali, and Zambia using UNEP/GEF guidelines</li> <li>9. <a href="#"><u>UNDP São Tomé and Príncipe: Sept. - Dec. 2009</u></a> As Lead Consultant, I worked with 2 national consultants to prepare a project document for a project to provide jobs to new graduates</li> <li>10. <a href="#"><u>UNDP Kigali, Rwanda: April – May, 2008</u></a> As International Consultant to prepare a project document for Phase II of the Rwanda TOKTEN program</li> <li>11. <a href="#"><u>UNDP Kigali, Rwanda: Dec. 2007 – Feb. 2008</u></a> As International Consultant to evaluate UNDP support to the TOKTEN Volunteer Program in Rwanda</li> <li>12. <a href="#"><u>National Institute of Statistics of Rwanda (NISR)/UNDP Kigali, Rwanda: Aug. – Oct. 2007</u></a> As International Consultant, working with 8 national consultants to prepare the Rwanda MDG Report</li> <li>13. <a href="#"><u>Action Aid The Gambia: Aug. – Nov., 2006</u></a> As leader of a five-person team (including myself) of consultants conducting a country program review for AATG, I helped review the Action Aid Country Programme for The Gambia and Guinea Bissau</li> <li>14. <a href="#"><u>UNFPA, The Gambia: Aug. – Oct., 2006</u></a> As a national consultant to evaluate the 5th UNFPA Country Program for The Gambia</li> <li>15. <a href="#"><u>Society for Women and AIDS in Africa (SWAA), Nov.- Dec., 2005</u></a> As consultant in evaluation of human rights and HIV/AIDS in The Gambia</li> <li>16. <a href="#"><u>UNDP, The Gambia: Sept. – Oct. 2005</u></a> As Lead Consultant, I worked with three national consultants, the UN Country Team, the CCA Task Force, and other international consultants to prepare the Common Country Assessment (CCA) for The Gambia (<a href="http://www.undg.org/archive_docs/7624-Gambia_CCA.pdf">http://www.undg.org/archive_docs/7624-Gambia_CCA.pdf</a>).</li> <li>17. <a href="#"><u>UNDP, The Gambia: April – May, 2005</u></a> As consultant to evaluate the National Environment and Youth Corps (NEYC) project as part of the evaluation of The Gambia-UNDP country cooperation framework (CCF)</li> <li>18. <a href="#"><u>UNDP, The Gambia: Sept., 2004 – Mar., 2005</u></a> As Lead Consultant, I worked with four national consultants and other stakeholders to prepare the 2005 localized Millennium Development Goals (MDG) Report for The Gambia</li> </ol>
<b>Agriculture and Natural Resources Management</b>	<ol style="list-style-type: none"> <li>1. <a href="#"><u>UNDP Ethiopia: - April - May, 2019</u></a></li> <li>2. <a href="#"><u>PIWAMP/SLMP, Ministry of Agriculture, The Gambia: Jan. 2014 – Dec. 2014</u></a> As National Sustainable Land Management (SLM) Technical Advisor for the SLM Project helping prepare The Gambia SLM Investment Framework (GAMSIF), and providing technical support for the implementation of the project, and helped secure a \$50,000 (fifty thousand dollars) grant from the African Union's NEPAD TerrAfrica Secretariat</li> </ol>



<b>Consulting Experience</b>	<ol style="list-style-type: none"> <li>3. <u><i>The Association of Non-Governmental Organisations of the Gambia (TANGO): Jul. 2012 – Oct., 2013</i></u> As Consultant helping prepare an NGO position paper on agriculture, the environment, and climate change</li> <li>4. <u><i>The Association of Non-Governmental Organisations of the Gambia (TANGO): Jul. 2012 – Jan., 2013</i></u> As Lead Consultant in a two-person team of consultants conducting a study on NGO policies in The Gambia and other African countries, and lessons for The Gambia</li> <li>5. <u><i>Action Aid International The Gambia (AATG): Sept. – Dec., 2012</i></u> As Consultant for the preparation of a research paper on policy implications of the 2011/12 crop failure in The Gambia.</li> <li>6. <u><i>UNDP Drylands Development Centre (DDC), Nairobi, Kenya: Jan. – Apr., 2012</i></u> As International Consultant conducting the mid-term review (MTR) of the European Union's Support to the Integrated Drylands Development Programme (IDDP).</li> <li>7. <u><i>Enhanced Integrated Framework Programme (EIF) of the Ministry of Trade, Industry and Employment (MOTIE), The Gambia: April, 2011 – May, 2011</i></u> As Consultant helping prepare the five-year fisheries strategic action plan (FSAP)</li> <li>8. <u><i>Ministry of Trade, Industry, and Employment (MOTIE), The Gambia: Sept. 2008 – Jul. 2009</i></u> As Lead Consultant for the preparation of the National Agricultural Investment Program (NAIP)</li> <li>9. <u><i>UNDP Drylands Development Centre: Sept. – Dec. 2008</i></u> As International Consultant for the Integrated Drylands Development Program (IDDP) review, I led two Regional Consultants (for East and Southern Africa, and West and Central Africa) to review the implementation of the IDDP from 2002 to 2007 in seven countries in Africa, and in the preparation of the framework document for IDDP II</li> <li>10. <u><i>Action Aid The Gambia: May – Jul., 2007</i></u> As leader of a two-person team (including myself) of consultants helping them prepare their five-year country strategy paper (CSP III)</li> <li>11. <u><i>National Agricultural Development Agency (NADA): Mar. 2007 – Dec. 2008</i></u> As Chairman of the NADA Board of Directors, I provided overall leadership for the newly-established NADA, recruiting the Director General and various Directors, and preparing the NADA Strategic Plan.</li> <li>12. <u><i>National Environment Agency (NEA), The Gambia August, 2008</i></u> I reviewed the Land chapter of the 2010 State of the Environment Report of The Gambia, and provided my comments on how to improve it (<a href="http://tinyurl.com/mzdjoau">http://tinyurl.com/mzdjoau</a>).</li> <li>13. <u><i>UNCCD Secretariat: May – Sept., 2006</i></u> As consultant preparing a background paper on youth and desertification, I prepared and presented a <a href="#">background paper</a> for the International Conference on Youth and Desertification</li> <li>14. <u><i>National Environment Agency (NEA), The Gambia August, 2005</i></u> As one of 3 consultants that facilitated the Government of The Gambia/UNEP/UNDP Roundtable Consultation, I helped prepare Gambia's report to the Sept. 2005 UN World Summit on the MDGs.</li> </ol>
<b>ICT and Internet-related Consulting Experience</b>	<ol style="list-style-type: none"> <li>1. <u><i>InterConnect Communications, Ltd., Chepstow, Montmouthshire, UK: Aug. – Oct., 2013</i></u> As Associate Consultant, I worked with a 5-person team of consultants from the UK, Australia, and the US that served as Independent Experts assessing the effectiveness of ICANN's policy development process (PDP), and whether the PDP serves the needs of the multi-stakeholder model and Internet users. I developed the online survey using Lime Survey (<a href="http://www.limesurvey.org">http://www.limesurvey.org</a>), helped analyze data collected, and prepared a report on our findings.</li> <li>2. <u><i>UN Economic Commission for Africa (UNECA), Addis Ababa, Ethiopia: Oct. 2011 – Sept., 2012</i></u> As Consultant, I assessed the implementation of ICT policies in The Gambia using various approaches such as review of various documents, as well as interviews with key stakeholders in ICT policy implementation. UNDP, The Gambia</li> <li>3. <u><i>UNESCO, Oct. 2011 – Sept., 2012</i></u> As Lead Consultant, conducting a study of the use of Free and Open Source Software (FOSS) in education in Africa study, I worked with two other consultants to develop a questionnaire. I also developed an online survey based on Lime Survey (<a href="http://www.limesurvey.org">http://www.limesurvey.org</a>), helped analyze data collected, and prepared a draft report on our findings.</li> <li>4. <u><i>UNDP, The Gambia: Nov., 2010 – May, 2011</i></u> As Consultant, helping prepare the Gambia E-government Project Proposal I reviewed documents such as the National Information and Communications Infrastructure policy and plan, the e-government readiness assessment, and the e-government strategic action plan. I also consulted various stakeholders, and the Steering Committee to develop a 15-year (2012-2026) national e-government project proposal.</li> <li>5. <u><i>African Union Commission (AUC), Dept. of Human Resources, Science and Technology: July. - Dec. 2009</i></u></li> </ol>

	<p>As consultant, I prepared a background paper on ICT capacity building and research and development (R&amp;D) in Africa to help prepare for the January 2010 AU Summit which had the theme <i>Information and Communication Technologies (ICT) in Africa: Challenges and Prospects for Development</i>. I reviewed ICT capacity-building, and R&amp;D activities in Africa, identifying challenges and opportunities, and made recommendations on the way forward. I presented my draft paper at the Experts Session of the extra-ordinary session for the Communication and Information Technology Ministerial Conference (CITMC), and finalized my paper based on recommendations and feedback from the working group.</p> <p>6. <u><i>Gambia Radio and Television Service (GRTS): May – September, 2003</i></u> As Lead Consultant, I led a team of supervisors and enumerators to conduct a nationwide audience survey for GRTS, the national radio and TV broadcaster of The Gambia. I worked with the national statistics office to develop the survey questionnaire, train data collectors, and analyze the data. I prepared the survey report, and presented it to GRTS.</p> <p>7. <u><i>Impact assessment of The Gambia's Internet Initiative (2002)</i></u> As consultant, I conducted an impact assessment of the implementation of the UNDP Internet Initiative for Africa in The Gambia. I designed the survey questionnaires, conducted face-to-face interviews with key stakeholders, conducted data entry and analysis, and wrote study report. I also presented my findings at a National Information and Communications Technologies (ICT) Forum to discuss the future of ICT development in The Gambia</p>
<b>Mapping &amp; Assessment of NGOs</b>	<p>1. <u><i>The Association of Non-Governmental Organisations of the Gambia (TANGO): Jul. 2012 – Jul., 2013</i></u> As Consultant conducting a participatory assessment of civil society in The Gambia in partnership with CIVICUS</p> <p>2. <u><i>Non-State Actors Strengthening Programme (NSASP), The Gambia: July – Sept., 2010</i></u> As consultant for baseline survey of non-state actors (NSAs) in The Gambia</p> <p>3. <u><i>Action Aid The Gambia: July., 2008</i></u> As consultant conducting a capacity assessment of select civil society and media organizations</p> <p>4. <u><i>Action Aid International, The Gambia, March.- May., 2006</i></u> As consultant in mapping of potential AAITG partners in almost 50 villages</p> <p>5. <u><i>UNDP/National Action Committee on AIDS (NACA), Nigeria: Mar. – April, and July, 2005</i></u> As the Lead Consultant working with 6 national consultants in a nationwide mapping of 381 support groups for people living with HIV/AIDS I led the development of the mapping tools and data entry template, and compiled the national report</p>
<b>Board &amp; NGO Experience</b>	<p>1. Chair, National Agricultural Research Board (NARB) Research Committee, The Gambia: Dec. 2012 – Dec. 2015</p> <p>2. Member Board of Directors, Internet Corporation for Assigned Names and Numbers (ICANN), a US-based organization managing the domain name, addressing system, and related policy development issues for the global Internet - <a href="https://www.icann.org/resources/pages/katim-touray-2014-05-22-en">https://www.icann.org/resources/pages/katim-touray-2014-05-22-en</a>: Nov. 2008 – Oct. 2011</p> <p>3. Chair, Board of Directors, National Agricultural Development Agency (NADA), The Gambia: Mar. 2007 – Dec. 2008</p> <p>4. Member, Council, Free Software and Open Source Foundation for Africa (FOSSFA) - <a href="http://fossfa.net/index.php?q=node/7">http://fossfa.net/index.php?q=node/7</a>: April 2008 – Dec. 2014</p> <p>5. Vice Chair, Council, Free Software and Open Source Foundation for Africa (FOSSFA) - <a href="http://fossfa.net/index.php?q=node/7">http://fossfa.net/index.php?q=node/7</a>: May 2010 – Oct. 2012</p> <p>6. <u><i>Community Radio WORT 89.9 FM, Madison, WI, USA (<a href="http://www.wort-fm.org">http://www.wort-fm.org</a>): 1993-2000</i></u> As volunteer, I was a: <ul style="list-style-type: none"> <li>• producer and host of a call-in public affairs program for about 3 years (1997 – 2000)</li> <li>• member of the Programming Committee (1997-2000) and helped draft the Committee's charter, design the listener survey, and evaluate new program proposals</li> </ul> </p> <p>7. <u><i>Community Television, WYOU TV, Madison, WI, USA (<a href="http://www.wyou.org">http://www.wyou.org</a>): 1995-1997</i></u> As volunteer, I: <ul style="list-style-type: none"> <li>• Was elected to Board of Directors and served on it from March 1996 to June 1997</li> <li>• Served on the Finance, Technical, and Planning Committees of Board of Directors</li> <li>• Launched "The African Hour" in Feb. 1997, a weekly African affairs program, and produced it for 2 years</li> </ul> </p>
<b>Employment History</b>	<ul style="list-style-type: none"> <li>• <b>Independent International development consultant: 2002 – Present</b></li> <li>• <b>Fana Fana Corp: 1995 - 2001</b> As founder of Fana Fana Corp., I: <ul style="list-style-type: none"> <li>▪ Incorporated Fana Fana Corp. while I was in Madison, Wisconsin, to provide consumer and small business information, and other Internet services</li> <li>▪ Procured and managed a server, and co-located it with a provider in Florida.</li> </ul> </li> </ul>

- Developed Fana Fana Info Web site with over 10,000 links to consumer and small business publications from government agencies, non-profit organizations, and trade associations. The server crashed in 2002 after my return home to The Gambia. The domain name was bought by another person, but the site is archived at: <http://web.archive.org/web/19990208013103/http://www.fanafana.com/>
- Used the Fana Fana Web server to enable the World Association of Community Radio Broadcasters (AMARC – <http://www.amarc.org>) Webcast their coverage of the Peoples' Summit of the Americas, and the World Conference Against Racism.
- Managed the Fana Fana Web site and Internet discussion lists for Freelance Journalists, as well as African Radio and TV, to name a few.
- Attended Small Business Fundamentals Seminar, Oct. 14, to Nov. 16, 1995. UW-Madison, Small Business Development Center
- **University of Wisconsin-Madison, USA: 1990-1994**  
As GRADUATE RESEARCH ASSISTANT pursuing a Ph. D. degree from the Department of Soil Science, I majored in Soil Sci. (Soil Physics) and minored in Agric. Engineering (Soil and Water Conservation). I conducted, for 3 years, field research on the effects of erosion and manure on soil productivity, and taught an introductory Soil Science laboratory class for one Semester
- **Research Officer, Departments of Agriculture/Agricultural Research, The Gambia: 1987 - 1990**  
I conducted soil and water management research, trained Research Assistants, and collaborated with other research programs in our Department and the Department of Water Resources.
- **Scientific Officer, Department of Agriculture, The Gambia: 1981 - 1987**  
I helped implement national and regional agronomy research programs, worked in the soil and plant analysis laboratory, trained staff on basic soil science. I also pursued my MS degree in Soil Science from Montana State Univ., Bozeman (1985-1987), and obtained my degree in 1987, with a thesis on plant drought stress parameters

### Select Publications

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1. Touray, K. S. 2012. Policy Implications of the 2011/12 Crop Failure in The Gambia.
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6. Touray, K. S. 2012. Mid-Term Review of European Union's Support to the Integrated Drylands Development Programme (IDDP)
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9. Touray, K.S. 2008. Final Evaluation of the Support Project to the Implementation of the Rwanda TOKTEN Volunteer program. <http://tinyurl.com/yfeegfn>
10. Touray, K.S., A. Jiteh, A. Gaye, D. C. Sock, and I. Touray. Nov., 2006. Action Aid International The Gambia 2000 – 2006 Country Program Review

#### Development Management and Research

11. Touray, K.S. and N. Y. Baldeh. 2013. NGO Policies in Africa: Lessons for The Gambia
12. Touray, K. S. 2010. Baseline Survey of NSAs [Non-state Actors] in The Gambia.
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17. Touray, K.S., A. Maiwada, B. Nwabuko, A. Tongo, A. Abu, A. Chule, and R. Odetoyinbo-Nwagwu. August, 2005. Mapping of Support Groups for People Living with HIV/AIDS in Nigeria. Final National Report
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28. Touray, K.S. 2009. Gas Flaring and Venting and Greenhouse Gas Emissions: A Sub-Saharan Africa perspective. In *Effective Hydrocarbon Management: Lessons from the South*. Special Unit for South-South Cooperation, UNDP. pp: 115-132 <https://www.slideshare.net/WERI/effective-hydrocarbon-management-2009>
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## Annex VIII. Evaluation ToRs

### TERMS OF REFERENCE

#### Terminal Evaluation of the UN Environment/Global Environment Facility project: “Global Project on the Updating of National Implementation Plans for POPs” [Covering GEF IDs 5307 and 5525 and related country level Enabling Activities]

#### Section 1: PROJECT BACKGROUND AND OVERVIEW

##### i) Project General Information

Table 1. Project summary

<b>GEF project IDs:</b>	5307 and 5525	<b>Executing Agency</b>	UN Environment and participating National Governments
<b>Sub-programme:</b>	Chemicals and Waste	<b>Expected Accomplishment(s):</b>	b. Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related multilateral environmental agreements
<b>UNEP approval date:</b>	November 2013?	<b>PoW Output(s):</b>	3. Methodologies to monitor and evaluate impact of actions addressing chemicals releases to support sound management of harmful substances and MEA implemented at the national level
<b>GEF OP #:</b>	GEF-4	<b>Focal Area(s):</b>	Persistent Organic Pollutants (POPs)
<b>GEF approval date:</b>	August 2013	<b>GEF Strategic Priority/Objective:</b>	CHEM 4 POPs enabling activity
<b>Expected Start Date:</b>	20 Aug 2013	<b>Actual start date:</b>	Differs for each country
<b>Planned completion date:</b>	Differs for each country	<b>Actual completion date:</b>	Dec 2017 (But SIDS in June 2018)
<b>First Disbursement:</b>	Differs for the each country	<b>Date of financial closure:</b>	-
<b>No. of revisions:</b>	-	<b>Date of last revision:</b>	-
<b>Mid-term review/ evaluation (planned date):</b>	N/A	<b>Mid-term review/ evaluation (actual date):</b>	N/A
<b>Date of last Steering Committee meeting:</b>		<b>Terminal Evaluation (actual date):</b>	December 2017
<b>GEF ID 5307</b>			
<b>Coverage - Country(ies):</b>	Afghanistan, Albania, Argentina, Benin, Burundi, Cameroon, Chile, Croatia, Djibouti, Egypt, Gambia, Georgia, Ghana, Kiribati, Kyrgyz Republic, Lebanon, Libyan Arab Jamahiriya, Madagascar, Malawi, Malaysia, Montenegro, Paraguay,	<b>Coverage - Region(s):</b>	Global - Africa, West Asia, Europe, Asia and the Pacific, Latin America and the Caribbean

	Samoa, Solomon Islands, Tuvalu, Uruguay <sup>51</sup>		
<b>Project Type:</b>	FSP Full-size project (umbrella)		
<b>Planned project budget at approval (GEF ID5307):</b>	US\$ 10,465,753	<b>Total expenditures reported:</b>	To be confirmed during the evaluation
<b>GEF Allocation:</b>	US\$ 4,965,753	<b>GEF grant expenditures reported as of [date]:</b>	To be confirmed during the evaluation
<b>Expected FSP co-financing:</b>	US\$ 5,500,000	<b>Secured FSP co-financing:</b>	To be confirmed during the evaluation
<b>Dates of previous project phases:</b>	Initial NIPs for POPs projects	<b>Status of future project phases:</b>	UN Environment is preparing follow-up projects in Madagascar and Cameroon (projects in Kyrgyz Republic and in the Pacific are also in the pipeline but depends on the funds available and GEF priorities in the next funding cycle that starts only Mid-2018). project
<b>GEF ID 5525</b>			
<b>Coverage - Country(ies):</b>	Sierra Leone, Yemen <sup>52</sup> , Cook Islands, Marshall Islands, Tonga, Papua New Guinea, Pakistan, Palau, and Nauru	<b>Coverage - Region(s):</b>	Global (Africa and Asia and the Pacific)
<b>Project Type:</b>	MSP- Medium-size project (umbrella)		
<b>Planned project budget at approval:</b>	US\$ 2,314,552	<b>Total expenditures reported:</b>	To be confirmed during the evaluation
<b>GEF Allocation:</b>	US\$ 1,321,552	<b>GEF grant expenditures reported as of [date]:</b>	To be confirmed during the evaluation
<b>Expected FSP co-financing:</b>	US\$ 5,500,000	<b>Secured FSP co-financing:</b>	TBC
<b>Dates of previous project phases:</b>	Initial NIPs for POPs projects	<b>Status of future project phases:</b>	UN Environment is preparing follow-up projects in Madagascar and Cameroon (projects in Kyrgyz Republic and in the Pacific are also in the pipeline but depends on the funds available and GEF priorities in the next funding cycle that starts only Mid-2018).

## ii) Project background

The Stockholm Convention on Persistent Organic Pollutants (POPs) is a global treaty (adopted in 2001 and entered into force in 2004) established to protect human health and the environment from chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of humans and wildlife, and have harmful impacts on human health or on the environment. Exposure to POPs can lead to serious health effects. Given their long range transport, **no one government acting alone can protect its citizens or its environment from POPs**. In response to this global problem, the

<sup>51</sup> Equatorial Guinea and Malaysia were cancelled, Libya has had no progress

<sup>52</sup> Yemen was cancelled

Stockholm Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment.<sup>53</sup>

At its 16th Session in November 2000, during the time negotiations for the Stockholm Convention on POPs were still underway, the GEF Council decided that “should the GEF be the financial mechanism for the legal agreement it would be willing to initiate early action with regard to the proposed Enabling Activities [for the implementation of the convention] with existing resources.” As a result, preliminary guidelines to fund Enabling Activities under the Stockholm Convention were initiated by the GEF in 2001.<sup>54</sup> The purpose of the enabling activities is to provide support the parties in complying with convention obligations<sup>55</sup>.

This evaluation Terms of Reference (TOR) focuses on two ‘umbrella’ projects under which several country level enabling activity projects have been/are being implemented. The GEF projects 5307 and 5525, both named as “Global Project on the Updating of National Implementation Plans for POPs”, cover a total of 35 country level enabling activities aiming to “[assist countries to review and update the National Implementation Plan \(NIP\) in order to comply with reporting obligations \(Article 15\) and updating of National Implementation Plans \(Article 7\) under the Stockholm Convention](#)”.

### iii) Project objectives and components

**The project under GEF ID 5307** is a full-size GEF project designed to assist countries to update and/or develop their National Implementation Plans and [also includes a regional/global support component to provide technical expertise and tools to facilitate the updating of the NIPs and information exchange](#). The project consists of the global/regional component and country level components that are implemented under the GEF Enabling Activities modality (27 countries). **The project under GEF ID 5525** is an [add-on to the full-size Project](#) (GEF ID 5307) as described above. It aimed to support an additional 8 countries. The main project objective and specific objectives are therefore the same for both projects. Table 2 below presents the project components.

**Table 2: Project components GEF ID 5307 (5525 has similar objectives)**

Goal: To protect human health and the environment through the implementation of the Stockholm Convention		
Overall project objective: To assist countries to review and update the National Implementation Plan (NIP) in order to comply with reporting obligations (Article 15) and updating of National Implementation Plans (Article 7) under the Stockholm Convention.		
Project Component	Expected Outcomes	Expected Outputs <sup>56</sup>
(Global/regional support) Support to share information and evaluate NIPs updating worldwide	Enhanced communication and sharing information will enable Parties to <a href="#">compare and harmonize data and identify lessons learned and good practices</a>	<ol style="list-style-type: none"> <li>1. <a href="#">lessons learned Identified and disseminated</a></li> <li>2. <a href="#">initial needs and opportunities for exchange of information and expertise identified</a></li> <li>3. <a href="#">Provision of regional/global training support and encouragement of information exchange</a></li> </ol>
(National NIP Updating/development) NIP updating/ development	A National Implementation Plan on POPs <a href="#">updated</a> in order to comply with the Stockholm Convention requirement	Outputs separately defined

**The Global/regional component** of the project was designed to enhance communication and the sharing of information among Parties to compare and harmonize data and identify lessons learned and good practices. [UN Environment was to leverage on the Regional Basel and Stockholm Centres \(today Basel, Rotterdam and](#)

<sup>53</sup> <http://chm.pops.int/TheConvention/Overview/tabid/3351/>

<sup>54</sup> Evaluation of GEF Enabling Activities - Approach Paper Approved by the Director of the GEF Evaluation Office on May 16, 2012

<sup>55</sup> <https://www.thegef.org/about/funding>

<sup>56</sup> Wording edited by the Evaluation Office to be ‘results-oriented’.

Stockholm convention centres) and research institutions in the regions to assist countries in updating their NIPs. The global/regional component included:

- (a) A regional and global assessment of the initial NIP development process to identify gaps and needs in regions and countries;
- (b) Development of an information exchange system including discussion forums, expert sessions, etc);
- (c) Enhancement of the Stockholm Convention clearinghouse (in close collaboration with the Basel, Rotterdam, Stockholm Convention Secretariat) and facilitation of national reporting;
- (d) Development of an expert database by region, language, and field of expertise and;
- (e) Development and dissemination of lessons learned.

The following specific outcomes were set under the **country level NIP** updating/development component:

- (a) **Outcome 1:** Institutional strengthening and enhanced national coordination.
- (b) **Outcome 2:** Comprehensive information on current POPs control measures, management practices, use and impacts provides the basis for identifying POPs issues of concern and planning sound actions to address them.
- (c) **Outcome 3:** Sound and cost-effective actions to address POPs issues of concern are facilitated by the availability of well-prepared and costed action plans.
- (d) **Outcome 4:** Improved understanding of all POPs for cost-effective actions to address priority POPs issues allows the country to develop rational and coherent strategies to reduce POPs risks in the country and to meet the obligations of the Stockholm Convention.
- (e) **Outcome 5:** NIP endorsed by key stakeholders for submission to the Secretariat confirms government's commitment to implement the Stockholm Convention at all levels.

#### iv) Executing Arrangements

UN Environment was to be the implementing agency and to provide administrative support to the executing agencies at the regional and national level. It was also to supervise the progress made in all regions and coordinate activities to share experiences and lessons learned among regions. UN Environment Economy Division's Chemicals branch was to provide support to the National Executing Agencies by organizing global/regional information exchange meetings and by taking the lead in identifying lessons learned and good practices.

The Stockholm/Basel Regional Centres in the regions were required to coordinate some key activities at the regional level and provide logistic and administrative support to countries. The Regional Centres were to work very closely with the UN Environment Chemicals branch and the Stockholm Convention Secretariat [now Secretariat of the Basel, Rotterdam and Stockholm (BSR) Conventions].

The BSR Secretariat would provide technical support to Parties as part of their work-programme. UN Environment was to coordinate with the Secretariat in specific training activities and provide technical expertise to deliver effective and needed technical support in a timely manner.

At the national level, the National governments would allocate the Executing Agencies, usually the Ministry of Environment or Health, who would coordinate with other National Ministries and stakeholders. They would use existing coordinating platforms for chemicals management in countries (e.g. National Coordinating Committees created for the NIP development process) and include additional stakeholders involved in the management of newly listed POPs such as industry associations, store retailers, national laboratories working with POPs, civil society, etc.



## v) Project Cost and Financing

**GEF ID 5307.** The project budget was US\$ 10,465,753 as detailed in table 3 below. This included a GEF grant of US\$ 4,965,753 and co-financing totalling US\$ 5,500,000. Details of the planned co-financing are provided in table 4 below.

**Table 3: Project Budget of the project under GEF ID 5307 (at design)<sup>57</sup>**

Project Component	GEF Grant Amount (US\$)	Co-finance Amount (US\$)
(Global/regional support)	368,000	300,000
Support to share information and evaluate NIPs updating worldwide		
(National NIP Updating/development)	4,361,289	4,200,000
NIP updating/ development		
Subtotal	4,729,289	4,500,000
Project Management Costs	236,464	1,000,000
Total Project Costs	4,965,753	5,500,000

**Table 4: Project Co-finance of the project under GEF ID 5307 (at design)<sup>58</sup>**

Country	Co-finance Amount (US\$)
<b>Africa</b>	
Benin (Sierra Leone)	180,000
Burundi	180,000
Cameroon	120,000
Djibouti	180,000
Egypt	220,000
Equatorial Guinea (cancelled)	180,000
Ghana	200,000
Gambia	140,000
Libyan Arab Jamahiriya (project suspended)	200,000
Madagascar	220,000
Malawi	190,000
Africa Subtotal	2,010,000
<b>Asia</b>	
Afghanistan	500,000
Georgia	220,000
Kyrgyz Republic	210,000
Lebanon	210,000
Malaysia (cancelled)	200,000
Asia Subtotal	1,320,000
<b>Central and Eastern Europe (CEE)</b>	
Albania	220,000
Croatia	220,000
Montenegro	220,000
CEE Subtotal	660,000
<b>Latin America and the Caribbean (LAC)</b>	
Argentina	247,500
Chile	220,000
Paraguay	198,000
Uruguay	187,000
LAC Subtotal	852,500
<b>Pacific</b>	
Kiribati (Cook, Marshall, Nauru, Palau, Tonga, PNG, Yemen)	150,000
Samoa	125,000
Solomon Islands	200,000

<sup>57</sup> Based on the Project Identification Form (PIF) - [http://www.thegef.org/sites/default/files/project\\_documents/4-19-2013%2520ID%25205307%2520rev%2520PIF.pdf](http://www.thegef.org/sites/default/files/project_documents/4-19-2013%2520ID%25205307%2520rev%2520PIF.pdf)

<sup>58</sup> Based on the Project Identification Form (PIF) - [http://www.thegef.org/sites/default/files/project\\_documents/4-19-2013%2520ID%25205307%2520rev%2520PIF.pdf](http://www.thegef.org/sites/default/files/project_documents/4-19-2013%2520ID%25205307%2520rev%2520PIF.pdf)

Tuvalu	120,000
Pacific Subtotal	595,000
Co-Finance Total	5,437,500

**GEF ID 5525.** The total budget of the project under GEF ID 5525 at design was US\$ 2,314,552 as detailed in table 7 below. This included a GEF grant of US\$ 1,321,552 and co-financing totalling US\$ 993,000. Details of the co-financing are provided in table 8 below.

**Table 7: Total project cost for the project under GEF ID 5525 (at design)**

Project Component	Expected Outcomes	GEF Grant (US\$)	CO-financing (US\$)
(Global/regional support) Support to share information and evaluate NIPs updating worldwide	Enhanced communication and sharing information will enable Parties to compare and harmonize data and identify lessons learned and good practices	100,000	150,000
(National NIP Updating/development) NIP updating/ development as indicated in Annex A (27 countries)	A National Implementation Plan on POPs updated in order to comply with the Stockholm Convention requirement	1,110,502	340,000
Subtotal		1,210,502	490,000
Project Management Costs (PMC)		111,050	503,000
<b>TOTAL PROJECT COST</b>		<b>1,321,552</b>	<b>993,000</b>

**Table 8: Project co-financing sources and type for the project under GEF ID 5525 (at design)**

Source of Co-financing	Name of Co-financier	Type of Co-financing	Amount (US\$)
UNEP		In-Kind	150,000
Cook Islands	National Environment Service	In-Kind	150,000
Marshall Islands	Office of the President	In-Kind	100,000
Marshall Islands	Office of the President	Cash	20,000
Nauru	Department of Commerce, Industry & Environment	In-Kind	15,000
Palau	Office of the President	In-Kind	100,000
Papua New Guinea	Office of the Secretary	In-Kind	200,000
Sierra Leone	Environment Protection Agency	In-Kind	8,000
Sierra Leone	Environment Protection Agency	Cash	2,000
Tonga	Ministry of Lands, Environment, Climate Change and Natural Resources	In-Kind	230,000
Yemen	Ministry of Environment and Water	In-Kind	18,000
Total Co-financing			993,000

## vi) Implementation Issues

Mid-term evaluations/reviews were not undertaken for these projects because these projects are considered as GEF Enabling Activities which do not therefore require undertaking MTRs/MTEs. In addition, the durations of the projects were originally less than four years, the threshold required for an MTR/MTE. The implementation issues identified next are therefore drawn from the Project Implementation Reviews (PIRs) and preliminary discussions with project management. Preliminary issues identified are: a) staff turnover in UN Environment; b) Technical capacity at national level was considered limited presenting challenges in undertaking the inventories of the POPs using the required methodologies; d) for a number of executing agencies/countries – there was a time lag between approval of the project and start of activities; and e) other delays in the implementation process (also possibly related to the competing country level priorities).

## **Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION**

### **vii) Key Evaluation principles**

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation 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 evaluation and follow-up projects building on the National Implementation Plans on POPs are being, or are planned to be, executed in several locations, this evaluation can provide lessons for future POP projects. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.

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

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

### **viii) Objective of the Evaluation**

In line with the UN Environment Evaluation Policy<sup>59</sup> and the UN Environment Programme Manual<sup>60</sup>, the Terminal Evaluation (TE) is undertaken at completion of the full-size and medium size GEF 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 evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, and regional and national partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

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<sup>59</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>60</sup> [http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf) . This manual is under revision.

## ix) Key Strategic Questions

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

UN Environment has several POPs related projects in the pipeline and under development. The existence of National Implementation Plans on POPs is often the starting point for further development/implementation of POPs projects. The project should consider any lessons revealed by this evaluation that could help in better implementation of future POPs related medium- or full-size projects. (Check assumption of capacity and plans as entry point)

The evaluation will pay particular attention to what extent the country level NIP for POPs project have been embedded to the country's policy processes. This aspect will be covered under the effectiveness and sustainability analysis. Particular attention should be paid to reasons and lessons deriving from those countries where the national policy process has not been fully satisfactory.

'Enabling Activities' is a GEF funding tool/modality. Projects implemented under this funding modality are often with less than 500 000 USD of GEF funding and thus not subject to evaluation. This evaluation offers an opportunity to draw lessons concerning 1) Enabling Activities' main function of supporting countries to comply with convention obligations, and 2) how this support translates in quantifiable global environmental benefits<sup>61</sup>.

## x) Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Both projects (GEF ID 5307 and GEF ID 5525) will be rated together<sup>62</sup>, disaggregation of ratings will be done by geographic locations if deemed useful for the evaluation purposes. The overall evaluation covering the global component and country level implementation will be informed by a maximum of 9 country studies and 26 status reports (see Annex 1 and 2) among other data collected in the course of the evaluation process. Sections A-I below, outline the scope of the criteria and a link to a table for recording the ratings is provided in Annex 1). A weightings table will be provided in excel format (link provided in Annex 1) to support the determination of an overall project rating. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the achievement of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

### A. Strategic Relevance

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

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<sup>61</sup> Formulated based on the email exchange with GEF Evaluation Office

<sup>62</sup> The evaluation office considers there two project (GEF ID 5307 and GEF ID 5525) as "one umbrella" that have been given two GEF IDs as an administrative arrangements.

i. Alignment to the UN Environment Medium Term Strategy<sup>63</sup> (MTS) and Programme of Work (POW)  
The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

ii. Alignment to UN Environment /GEF/Donor Strategic Priorities  
Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>64</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

iii. Relevance to Regional, Sub-regional and National Environmental Priorities  
The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or relevant environmental or regional agreements etc.

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

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

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

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

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

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

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval). This rating is entered in the final

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<sup>63</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>64</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, the overall rating for Effectiveness may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together. A justification for such an increase must be given.

#### **D. Effectiveness**

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

##### **i. Achievement of Outputs**

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

Factors affecting this criterion may include: preparation and readiness and quality of project management and supervision<sup>65</sup>.

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

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed<sup>66</sup> Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

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

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

Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is

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<sup>65</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<sup>66</sup> UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

outlined in a guidance note available on the EOU website, [web.unep.org/evaluation](http://web.unep.org/evaluation) and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>67</sup>

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>68</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>69</sup> and/or the high level results prioritised by the funding partner.

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

### **E. Financial Management**

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

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

### **F. Efficiency**

In keeping with the OECD/DAC definition of efficiency, the evaluation will assess the cost-effectiveness and timeliness of project execution. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will also assess to what extent any project extension could have been avoided through stronger project management and identify any negative impacts

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<sup>67</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

<sup>68</sup> Scaling up refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. Replication refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

<sup>69</sup> A list of relevant SDGs is available on the EO website [www.unep.org/evaluation](http://www.unep.org/evaluation)

caused by project delays or extensions. The evaluation 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 evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.

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

### **G. Monitoring and Reporting**

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

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

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>70</sup> indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The evaluation 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 if applicable.

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

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

#### **iii. Project Reporting**

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Projects funded by GEF have specific evaluation requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template<sup>71</sup>), which will be made available by the Task Manager. The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

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

### **H. Sustainability**

Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Some factors of sustainability

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<sup>70</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

<sup>71</sup> The Evaluation Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.



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

ii. Financial Sustainability

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

iii. Institutional Sustainability

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

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

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

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

i. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project. The evaluation 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 evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

ii. Quality of Project Implementation and Execution

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

The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

The evaluation 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 evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.

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

v. Country Ownership and Driven-ness

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

vi. Communication and Public Awareness

The evaluation 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 evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gender and marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

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

The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation 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 evaluation will be based on the following:

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

Relevant background documentation, inter alia existing NIPs for POPs documentation of the target countries<sup>72</sup>, other chemicals related policies/strategies/plans, Stockholm convention related guidelines

Project design documents (including minutes of the project design review meeting at approval, if applicable); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;

Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;

Project outputs: updated NIPs and other related studies/reviews produced by the projects

Evaluations/reviews of similar projects.

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

UN Environment Task Manager (TM);

Project management team (and country focal points);

UN Environment Fund Management Officer (FMO);

Sub-Programme Coordinator;

Project partners;

Relevant resource persons.

The lead consultant might be required to attend a **Stakeholder Meeting** (Closure of the global component) in **June 2018 (in Montevideo)**

**Field visits/in-depth desk studies to 9 participating countries**

Criteria	Project ID	Preliminary identifications of case studies
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<sup>72</sup> <http://www.pops.int/Implementation/NationalImplementationPlans/NIPTransmission/tabid/253/Default.aspx>

-Geographic locations (regional coverage) -NIP status (progress) -Future funding potential/follow-on projects -Severity of POP status in countries <sup>73</sup>	GEF ID 5307	Argentina (LAC) Albania (Europe) Cameroon (Africa) Gambia (Africa) Egypt (MENA) or Kyrgyzstan (Asia/Central Asia) Afghanistan (Asia/Central Asia) (desk based)
	GEF ID 5525	Solomon Islands (Pacific islands) Samoa (Pacific islands)

## xi) Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- **Inception Report:** (see Annex 3 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project (a general TOC covering the logic of the initiative), project stakeholder analysis (as relevant), evaluation framework and a tentative evaluation schedule, and a clear work plan covering the responsibilities of each consultant.
- **Draft country status reports and studies** (see table 2): The country studies (annex 1) will be produced on the selected project countries (8 all together) to assess individual country level project performance. Other countries will be covered with a status report (1-pager, annex 2). The country studies/status reports will be presented as two volumes of Supplementary Material to the Evaluation (Supplementary Material I: Latin America, Europe and Africa; Supplementary Material II: MENA, Asia and the Pacific).
- **Final country status reports and studies presented in two volumes**
- **Draft Evaluation Report covering both projects:** (see links in Annex 3) containing an executive summary that can act as a standalone document covering both projects; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence (status reports, case studies and other collected evidence); lessons learned and recommendations and an annotated ratings table, utilizing findings of the country studies and status reports. This report will contain one rating table covering both GEF IDs 5307 and 5525 (unless otherwise guided by the evaluation office).
- **Findings presentation:** The main findings will be discussed with the key project stakeholders (Project Managers and Task Manager). A short presentation will be circulated and discussed in the form of PowerPoint or a briefing note.
- **FINAL Evaluation Report covering both projects:** (see links in Annex 3) addressing all Evaluation Office and Stakeholder comments (and a table of those comments that were not fully integrated in the final report version.)
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings/lessons concerning enabling activities on NIPs development for a wider dissemination.

**Table 2. Evaluation products – country studies and status reports**

GEF ID 5307	Main data collection approach	Evaluation products
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<sup>73</sup> The information will be difficult to obtain before the submission of country NIPs. Nevertheless, this criterion will be considered during the final case study selection.

Total 25 countries	6 country missions (or in-depth desk studies)	6 country studies (see annex 1)
	19 country level desk reviews	1-pager status report on each of the 19 countries (see annex 2)
GEF ID 5525	Main data collection approach	Evaluation products
Total 7 countries	2 country missions (or in-depth desk studies)	2 country studies (see annex 1)
	5 country level desk reviews	1-pager of each of the 5 countries (see annex 2)

**Review of the draft evaluation report.** The evaluation team will submit a draft report and all related country studies and status reports to the Evaluation Manager and revise the drafts in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) 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 Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a **quality assessment** of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the Evaluation Report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

## xii) The Consultants' Team

For this evaluation, the evaluation team will consist of a Team Leader and 2-3 Supporting Consultants who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Saila Toikka, in consultation with the UN Environment Task Manager Kevin Helps, Fund Management Officer Anuradha Shenoy and the Sub-programme Coordinator of Chemicals and Waste. The consultant(s) will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The Team Leader will be hired over the period 18 May 2018 to 18 March 2019 and should have: an advanced university degree in environmental sciences, natural sciences, international development or other relevant political or social sciences area; a minimum of 15 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad

understanding of Stockholm convention and National Implementation Plan related processes; excellent writing skills in English; other language skills are considered as an advantage, team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UN Environment.

The Supporting Consultants will be hired over the period 18 May 2018 to 18 March 2019 and should have: an undergraduate university degree in environmental sciences, natural sciences, international development or other relevant political or social sciences area; a minimum of 8 years of technical/monitoring/evaluation experience; sufficient understanding of Stockholm convention and National Implementation Plan related processes; excellent English skills; other language skills are considered as an advantage. Where possible, knowledge of the UN system, specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

The Team Leader will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation and timely delivery of its outputs, described above in Section 11 above. The Supporting Consultant will make substantive and high quality contributions to the evaluation process and outputs (case studies, status reports). All consultants will ensure together that all evaluation criteria and questions are adequately covered.

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

### **xiii) Schedule of the evaluation**

The table below presents the tentative schedule for the evaluation.

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

<b>Milestone</b>	<b>Deadline</b>
Contracting procedures	May 18
Inception Report	July 20
Evaluation Missions	September 15
Status reports and case studies	October 30
Draft main report to Evaluation Manager (and Peer Reviewer)	November 30
Draft Report shared with UN Environment Project Manager and team	December 30
Final Report	February 28 <sup>74</sup> , 2019

### **xiv) Contractual Arrangements**

Evaluation Consultants will be selected and recruited by the Evaluation Office of UN Environment under an individual Special Service Agreement (SSA) on a "fees only" basis (see below). By signing the service contract with UN Environment/UNON, the consultant(s) certify 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 by the Evaluation Office of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the team specified in a separate document.

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<sup>74</sup> To be adapted and agreed during the evaluation process

Fees only contracts: Air tickets will be purchased by UN Environment 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 Evaluation Office and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) 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 evaluation report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UN Environment Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UN Environment's quality standards.

If the consultant(s) fail to submit a satisfactory final product to UN Environment in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

## Annex 1. Content of the Country Studies

This describes the content of the additional material produced as part of the evaluation. In addition to the main evaluation report the evaluation team will produce 2-3 volumes of case studies and status reports (they can be grouped by geographic coverage). The evaluation team should ensure that each volume uses similar formatting and structure.

This annex describes the content of the front page and case studies in each volume (see annex 2 for status report structure).

### Front pages to each volume:

<p><b>Preliminaries</b> (Note that the previous abbreviation of UNEP should now be written as UN Environment)</p>	<p>Title page – Name and number of the project under which the case study was conducted indicating the scope of this specific country study type of evaluation (mid-term or terminal), month/year evaluation report completed, UN Environment logo. Include an appropriate cover page image.</p> <p>Contents page – including chapters, tables and annexes</p> <p>Abbreviations table – introduce each abbreviation on first use and ensure it is in the table</p> <p>Preamble text – to specify that the country study has been produced as part of a larger evaluation</p> <p>Disclaimer text- 'This report has been prepared by independent consultant evaluators and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management'</p> <p>Header/footer – Name of evaluated project, type of evaluation and month/year evaluation report completed. Page numbers, header and footer do not appear on the title page</p>
<p><b>Objectives and components</b></p>	<p>Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised). And changes in the design since the original design <b>(1/2 page)</b></p>
<p><b>Theory of Change</b></p>	<p>The TOC at Evaluation<sup>75</sup> should be presented clearly in a diagrammatic form.</p>
<p><b>Purpose</b></p>	<p>Concise statement of the purpose of the country studies and status reports within the context of the overall evaluation. <b>(Max 1/4 page)</b></p>
<p>Country Study/Status Report approach and methods</p>	<p>A description of country study/status report methods and information sources used, including the number and type of respondents; justification for methods used (eg qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case countries; strategies used to increase stakeholder engagement and consultation; details of how data were verified (eg triangulation, review by stakeholders etc). The methods used to analyse data (eg. scoring; coding; thematic analysis etc) should be described.</p> <p>It should also address limitations to the country studies/status reports.</p>

<sup>75</sup> During the Inception Phase of the evaluation process a TOC at Design is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.



	Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.
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### Country studies within each volume:

Each country study is max 15 pages (including figures and tables, excluding preliminaries and annexes).

<b>I. Country X Study</b>	
<b>A. Project Identification Table</b>	*** content will be agreed in the early stages of the evaluation ***
B. Context	Brief overview of the main issue that the project is trying to address at country level, focus on the severity of the POPs/chemicals management issues in the country, including root causes and consequences on the environment and human well-being (i.e. a brief synopsis of the problem and situational analyses). Highlight especially any socio-economic, political, institutional or environmental contextual details that might differentiate each country (subjects of the overall evaluation) from each other. Can include a map of the intervention locations. The section should identify any specific external challenges faced by the project (eg conflict, natural disaster, political upheaval etc). <b>(1/2 page + map)</b>
C. Project implementation structure, partners Stakeholders <sup>76</sup>	A description of the country implementation structure with a list of key project partners, including their role in project delivery and performance. Description of groups of targeted stakeholders at country level organised according to relevant common characteristics such as: interest/influence; roles/responsibilities or contributions/benefits etc. Key change agents should be identified, and due attention given to gender and under-represented/marginalised groups. <b>(1/2 -1 page)</b>
D. Project financing	Completed tables of: (a) country budget at design and expenditure by components (b) planned and actual sources of funding/co-financing should be provided. <b>(1 page)</b>
E. Reconstructed Theory of Change at Evaluation	Most likely in this evaluation each country has a similar generic TOC to explain the logic of the Enabling Activity at the country level (developed in the inception phase of the evaluation). Nevertheless, the generic TOC needs to be adapted to fully represent country specific context (e.g. drivers and assumptions might vary by country).

<sup>76</sup> Evaluation Office of UN Environment identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners: government officials and duty bearers (eg national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (eg households, tradespeople, disadvantaged groups, members of civil society etc). UN Environment recognizes the nine major groups as defined in Agenda 21: Business and Industries, Children & Youth, Farmers, Indigenous People and their Communities, Local Authorities, NGO's, the Scientific & Technological Community, Women, Workers and Trade Unions.

	<p>A brief description of how the Country Study links to the overall evaluation and the TOC (as applicable),</p> <p><b>(2 pages)</b></p>
<b>II. Country Study Findings</b>	
<b>**Refer to the TOR for descriptions of the nature and scope of each evaluation criterion**</b>	<p>This chapter is organized according to the evaluation criteria presented in the TORs. Each subject of the country study approach will be rated following the rating table (link in Annex 3).</p> <p>The country study findings section provides a summative analysis of all triangulated data relevant to the parameters of the criteria. Evaluation findings should be objective, relate to the evaluation objectives/questions, be easily identifiable and clearly stated and supported by sufficient evidence. This is the main substantive section of the report and incorporates indicative evidence<sup>77</sup> as appropriate. "Factors Affecting Performance" should be discussed as appropriate in each of the evaluation criteria as cross-cutting issues (see section IV. I below). Ratings are provided at the end of the assessment of each evaluation criterion and the complete ratings table is included under the Conclusions section (V. A) below.</p> <p><b>The Generic evaluation criteria as presented in the TOR as such is applied to the overall evaluation of the project (GEF ID 5307 and 5525). This section of the country studies will inform the overall evaluation and the evaluation criteria are modified to be relevant to the country study (as described below).</b></p>
A. Strategic Relevance	Relevance of the NIPs for POPs Enabling Activities to UN Environment and GEF will be covered in the main evaluation report. The relevance analysis of the country studies will focus on the <u>relevance to the national and regional priorities</u> (which will inform the main evaluation findings). <b>(1/2 pages)</b>
B. Quality of Enabling Activity	Summary of the strength and weaknesses of the project design. This section will pay attention to any design issues that could be relevant in terms of the design of the country level Enabling Activity. <b>(1/4 page)</b>
C. Nature of the External Context	Summary of any key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (eg conflict, natural disaster, political upheaval) <b>(1/4 pages)</b>
D. Effectiveness: i. Achievement of outputs ii. Achievement of direct outcomes iii. Likelihood of impact	<p>Integrated analysis, guided by the causal pathway represented by the TOC at Evaluation, of all evidence relating to the delivery of results. Change processes explained and the roles of key actors, as well as drivers and assumptions, should be explicitly discussed.</p> <p>Ensure that Factors Affecting Performance at country level are also discussed here.</p> <p><b>(4 pages)</b></p>
E. Financial Management	Integrated analysis of all dimensions evaluated under financial management: completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used and communication between

<sup>77</sup> This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

	financial and project management staff.. The completed 'financial management' table should be included in this section. <b>(1 page)</b>
F. Efficiency	This section should contain a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UN Environment's environmental footprint. <b>(1/2 pages)</b></li> </ul>
G. Monitoring and Reporting	Integrated analysis of all dimensions evaluated under Monitoring and Reporting at country level but in relation to the overall project/ convention obligations, including: <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (as applicable at county level)</li> <li>• Monitoring implementation of the project (as applicable at county level)</li> <li>• Project reporting (as applicable at county level) <b>(1/2 pages)</b></li> </ul>
H. Sustainability	Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of achieved <u>direct outcomes</u> at country level are identified and discussed, including: <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability (including issues of partnerships) <b>(1 page)</b></li> </ul>
I. Factors Affecting Performance	These factors are not discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b> . A rating is given for each of these factors in the Evaluation Ratings Table.
<b>III. Conclusions and Recommendations</b>	
A. Conclusions	This section should summarize the main conclusions of the evaluation following a logical sequence from cause to effect. The conclusions should highlight the main strengths and weaknesses of the country level Enabling Activity, preferably starting with the positive achievements and a short explanation of how these were achieved, and then moving to the less successful aspects of the project and explanations as to why they occurred. <b>(Max 1/2 pages)</b>
B. Lessons Learned	Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated in similar contexts. Alternatively they can be derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful. Specific lessons on how human rights and gender equity issues have been successfully integrated into project delivery and/or how they could have could have been taken into consideration, should be highlighted. <b>(1/2 page)</b>
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with paragraph cross-referencing where possible.

	<p>Recommendations are proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results at country level or at UN Environment</p> <p><b>(1/2 pages)</b></p>
<p><b>Annexes</b></p>	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> <li>1. Evaluation itinerary, containing the names of locations visited and the names (or functions) and of people met/interviewed. (A list of names and contact details of all respondents should be given to the Evaluation Manager for dissemination of the report to stakeholders, but contact details should not appear in the report, which is publicly disclosed on the EOU website).</li> <li>2. List of documents consulted</li> </ol>

**Annex 2. NIPs for POPs Country Status Report Template (max 1 page, font 10)**

This is a template to specify the format of the NIPs for POPs status report of the selected countries (those countries that are not covered with a field mission and a separate case study, see annex 2). The data for these status reports will be obtained via desk study of project documents, internet sources and 1-3 key stakeholder interviews.

Date template completed:	
Country:	
Key country partner/focal point	Indicate responsible national agency in terms of NIPs for POPs process and indicate whether the responsible contact person was reached/interviewed for this evaluation (include name and email address of the contact person).
Date of joining Stockholm Convention and signing any amendments <sup>78</sup> :	Indicate the key dates regarding the country's Convention commitments
Status of the National Implementation Plan:	a)Specify the endorsement and submission date of the first NIPs for POPs, b) describe the status of the national endorsement and submission of the updated NIPs etc.
Status of the project in the country:	
a)Project start date and end date; b)Total country level project budget and expenditure (including summary of any in-kind contributions and/or co-financing received) c) <u>Briefly</u> describe the progress of key activities under each of the 5 components as described in the Enabling Activity Project Identification Form (ProDoc):  Component 1: Initiation of the process of reviewing and updating national implementation plans Component 2: Assessment of the national infrastructure and capacity for the management of all POPs, development of the New POPs inventories and updating for the initial POPs inventories and monitor effects of POPs in humans and the environment. Component 3: Development of Action Plans for New POPs and updating of Action Plans for initial POPs including gaps analysis Component 4: Formulation of revised and updated National Implementation Plan with its associated Action Plans for all 22/23 POPs Component 5: Endorsement of National Implementation Plan  d) Rate each component as FULLY COMPLETED, MORE THAN HALF COMPLETED, LESS THAN HALF COMPLETED, NOT STARTED	
Significant changes in plans/personnel:	Record major changes in plans/personnel that had a noticeable effect on the in-country implementation of the project.
Key challenges/negative effects:	Briefly describe 2-4 challenges or negative effects of the project derived from the project documentation, reports and key stakeholder interviews /email exchange.
Key positive lessons/unexpected achievements:	Briefly specify 2-4 key lessons or unexpected achievements of the project derived from the project documentation, reports and key stakeholder interviews /email exchange
Contribution to the UN Environment PoW [indicator (a) (i) (1)]	xv) Briefly specify information on the country level progress towards set PoW targets ["adoption of policies, legislation at the national level for the implementation of the Stockholm Convention, besides the endorsement of the updated NIP [UN environment PoW indicator (a) (i) (1)"]

<sup>78</sup> Note: according to the Convention the amendments enter into force for all countries (except a list of 20 countries) one year after the notification by the Depository of the adoption of the amendments.

### Annex 3: Tools, Templates and Guidance Notes for use in the Evaluation

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

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

Document	Name	URL link
1	Evaluation Process Guidelines for Consultants	<a href="#">Link</a>
2	Evaluation Criteria (summary of descriptions, as in these terms of reference)	Evaluation Manager to provide
3	Evaluation Ratings Table	<a href="#">Link</a>
4	Matrix Describing Ratings by Criteria	<a href="#">Link</a>
5	Weighting of Ratings (excel)	<a href="#">Link</a>
7	Project Identification Tables (GEF and non-GEF)	<a href="#">Link</a>
6	Template for the Assessment of the Quality of Project Design	<a href="#">Link</a>
7	Use of Theory of Change in Project Evaluations	<a href="#">Link</a>
8	Structure and Contents of the Inception report	Evaluation Manager to provide
9	Assessment of the Likelihood of Impact Decision Tree (Excel)	<a href="#">Link</a>
10	Possible Evaluation Questions	<a href="#">Link</a>
11	Structure and Contents of the Main Evaluation Report	Evaluation Manager to provide
12	Cover Page, Prelims and Style Sheet for Main Evaluation Report	<a href="#">Link</a>
13	Financial Tables	<a href="#">Link</a>
14	Template for the Assessment of the Quality of the Evaluation Report	<a href="#">Link</a>

**Annex 4. Task division between the consultants**

Evaluation deliverables	Role in the process <sup>79</sup>			
	Lead consultant	Team member 1	Team member 2	Team member 3
Inception report	Main writing responsibility	Inputs/comments to the inception report	Inputs/comments to the inception report	Inputs/comments to the inception report
Number of Country studies (see Annex 1)	2	2	2	2
Number of Status reports (see Annex 2)	3	9	8	4
Main evaluation report	<ul style="list-style-type: none"> <li>-Consolidation and analysis of the data from the case studies and status reports (including the global support component)</li> <li>-Main writing responsibility of the main evaluation report</li> <li>-Review of the country status reports and case studies before submission to Evaluation Office</li> <li>-Analysis of the global support component</li> <li>-Addressing and compiling responses to the stakeholder comments</li> </ul>	<ul style="list-style-type: none"> <li>Inputs/comments to the main report</li> <li>Preparation of the supplementary material (2-3 volumes)</li> <li>Addressing country specific stakeholder comments</li> </ul>	<ul style="list-style-type: none"> <li>Inputs/comments to the main report</li> <li>Preparation of the supplementary material (2-3 volumes)</li> <li>Addressing country specific stakeholder comments</li> </ul>	<ul style="list-style-type: none"> <li>Inputs/comments to the main report</li> <li>Preparation of the supplementary material (2-3 volumes)</li> <li>Addressing country specific stakeholder comments</li> </ul>

<sup>79</sup> Preliminary work load per consultant, country division is still subject to change

## Annex IX. Assessment of the Quality of the Evaluation Report

Evaluation Title:

<b>Global Project on the Updating of National Implementation Plans for POPs (GEF IDS 5307 and 5525)</b>
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All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Final Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p><b>Final report:</b></p> <p>The Executive Summary acts as a stand alone summary of the main report.</p>	6
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p><b>Final report:</b></p> <p>Complete and concise section</p>	6
<p><b>II. Evaluation Methods</b></p> <p>This section should include a description of how the TOC at Evaluation<sup>80</sup> was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and</p>	<p><b>Final report:</b></p> <p>Detailed section</p>	6

<sup>80</sup> During the Inception Phase of the evaluation process a TOC at Design is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.



<p>consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p>		
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>Context: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>Objectives and components: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>Stakeholders: Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>Project implementation structure and partners: A description of the implementation structure with diagram and a list of key project partners</li> <li>Changes in design during implementation: Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>Project financing: Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p><b>Final report:</b></p> <p>The two projects are well-described as evaluands in a concise way with sufficient detail.</p>	<p>6</p>
<p><b>IV. Theory of Change</b></p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</p>	<p><b>Final report:</b></p> <p>Theory of Change is well presented in both narrative and diagrammatic forms.</p>	<p>6</p>
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p>	<p><b>Final report:</b></p> <p>Complete and concise section, including discussion of South-South Cooperation. Tabular display and aggregation of ratings for countries visited is appreciated.</p>	<p>6</p>

<p>v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW)</p> <p>vi. Alignment to UN Environment/ Donor/GEF Strategic Priorities</p> <p>vii. Relevance to Regional, Sub-regional and National Environmental Priorities</p> <p>viii. Complementarity with Existing Interventions</p>		
<p><b>B. Quality of Project Design</b> To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report: Good summary.</p>	<p>6</p>
<p><b>C. Nature of the External Context</b> For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.</p>	<p>Final report: External context adequately described given the large number of implementing countries.</p>	<p>6</p>
<p><b>D. Effectiveness</b> <b>(i) Outputs and Direct Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.  The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Final report: The discussion of delivery of outputs and achievement of outcomes is handled well in this overall report - it draws on the material in the supplementary volumes and provides a good synthesis.</p>	<p>6</p>
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?  How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?  Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Final report: Discussion is grounded in an understanding of the TOC and is supported by an earlier section</p>	<p>6</p>
<p><b>E. Financial Management</b> This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.  Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• completeness of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• communication between financial and project management staff</li> </ul>	<p>Final report: All aspects are considered and discussed, as far as UN Environment financial systems allow. It is noted that financial information was provided late in the evaluation process and this led to repeated revisions to the text.</p>	<p>5</p>
<p><b>F. Efficiency</b> To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources,</li> </ul>	<p>Final report: Basic assessment of efficiency in line with Evaluation Office guidelines. Could have possibly provided more insights into efficiency in regard to working in many countries at one time.</p>	<p>5</p>

<p>synergies and complementarities with other initiatives, programmes and projects etc.</p> <ul style="list-style-type: none"> <li>The extent to which the management of the project minimised UN Environment's environmental footprint.</li> </ul>		
<p><b>G. Monitoring and Reporting</b> How well does the report assess:</p> <ul style="list-style-type: none"> <li>Monitoring design and budgeting (including SMART indicators, resources for MTE/R etc.)</li> <li>Monitoring of project implementation (including use of monitoring data for adaptive management)</li> <li>Project reporting (e.g. PIMS and donor report)</li> </ul>	<p>Final report:</p> <p>All sections adequately discussed.</p>	6
<p><b>H. Sustainability</b> How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:</p> <ul style="list-style-type: none"> <li>Socio-political Sustainability</li> <li>Financial Sustainability</li> <li>Institutional Sustainability</li> </ul>	<p>Final report:</p> <p>All sections well discussed.</p>	6
<p><b>I. Factors Affecting Performance</b> These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>Preparation and readiness</li> <li>Quality of project management and supervision<sup>81</sup></li> <li>Stakeholder participation and co-operation</li> <li>Responsiveness to human rights and gender equity</li> <li>Country ownership and driven-ness</li> <li>Communication and public awareness</li> </ul>	<p>Final report:</p> <p>Factors Affecting Performance are mentioned, where relevant, within the report and also in the two supplementary volumes. The large number of implementing countries makes aggregating findings under these topics inappropriate.</p>	5
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>Final report:</p> <p>No strategic questions, beyond the standard evaluation questions, were posed in the TOR.</p> <p>Sound conclusion section</p>	6
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>Final report:</p> <p>.Concise section</p>	5
<p><b>iii) Quality and utility of the recommendations:</b></p>	<p>Final report:</p>	6

<sup>81</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>(UNEP Evaluation Office guidance on the formatting of recommendations is evolving and this report was in an advanced draft stage just as a more recent template was introduced.)</p> <p>Concise and relevant recommendations</p>	
<p><b>VII. Report Structure and Presentation Quality</b></p>		
<p><b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>Final report: Very good presentation of a large volume of material</p>	<p>6</p>
<p><b>ii) Quality of writing and formatting:</b> Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?</p>	<p>Final report: Well written and good use of tables.</p>	<p>6</p>
<p><b>OVERALL REPORT QUALITY RATING</b></p>		<p><b>5.8</b></p>

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. All questions with negative compliance must be explained further in the table below.

Evaluation Process Quality Criteria	Compliance	
	Yes	No
<b>Independence:</b>		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	Y	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	Y	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	Y	
4. Was the evaluator contracted directly by the Evaluation Office?	Y	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	Y	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		N
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
<b>Financial Management:</b>		
8. Was the evaluation budget approved at project design available for the evaluation?	Y	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	Y	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?		N
<b>Timeliness:</b>		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		N
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	Y	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	Y	
<b>Project's engagement and support:</b>		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	Y	
15. Did the project make available all required/requested documents?	Y	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?		N
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	Y	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	Y	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	Y	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	Y	
<b>Quality assurance:</b>		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	Y	
22. Was the TOC in the inception report peer-reviewed?	Y	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	Y	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?		N
<b>Transparency:</b>		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	Y	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared	Y	

draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?		
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	Y	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	Y	
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?	Y	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	Y	

**Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.**

<b><u>Process Criterion Number</u></b>	<b><u>Evaluation Office Comments</u></b>
10	There was a considerable delay in being able to pay the final instalment of fees because of cash issues within the project. These were only resolved after prolonged communications between the Evaluation Office and project staff.
11.	As a large number of countries were involved and not all have reach operational completion, the question of when the evaluation took place in relation to completion is a complex one. The efficiency of evaluating many countries initiatives at once out-weighed this consideration of timing.
16	Financial information was received in the late stages of the review of the final evaluation report.
24	The Evaluation Manager provided feedback on the draft reports but failed to assess the quality of the draft using the standard template. This is partly because there were 3 volumes of the report to provide feedback on.