



**Terminal Review of the UNEP-GEF Project
“Review and update of the national implementation plan
for the Stockholm convention on Persistent Organic
Pollutants (POPs) in Federated States of Micronesia
(FSM) GEF ID 9634”
(2019-2021)**



United Nations Environment Programme

April 2023



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(Review and update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM))

(9634)

(Date 04/23)

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ACKNOWLEDGEMENTS

This Terminal Review was prepared for UNEP by Yolanda Cachu.

The reviewer would like to express their gratitude to all persons met and who contributed to this review.

The review team would like to thank the project team and in particular Mr. Jeffrey Yamada, Ms. Cindy Ehmes, Ms. Grace Halla and Mr. Dickson Ho for their contribution and collaboration throughout the evaluation process.

The review consultant(s) hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

BRIEF CONSULTANT BIOGRAPHY

Yolanda Cachu has more than 10 years' experience in project development and management. She joined the United Nations Industrial Development Organization (UNIDO) consultant in 2009, working on MDGF and GEF projects in Latin America and Africa, and UN Environment in 2021 as an Evaluation Consultant in the Chemicals and Health Branch.

Ms. Cachu holds a BSc in Biology from Simon Bolivar University in Mexico City and a PhD in Biological Science from Lancaster University in the UK.

ABOUT THE REVIEW

Joint Review: No

Report Language(s): English.

Review Type: Terminal Review

Brief Description: This report is a Terminal Review of the UNEP/GEF project “Review and update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM) ID 9634” implemented between 2019 and 2021. The project's overall development goal was to Review and update the National Implementation Plan (NIP) in order to comply with article 7 and reporting obligations (Article 15) under the Stockholm Convention. The review sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and the relevant agencies of the project participating countries.

Key words: TE; Terminal Evaluation; GEF; GEF Project; POPs; Persistent Organic Pollutants; Small Island Developing States; SIDS; Small Islands; Federated States of Micronesia;¹

Primary data collection period: May to August 2021

Field mission dates: No field mission was undertaken

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

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LIST OF ACRONYMS

DECEM	Department of Environment, Climate Change and Emergency Management
DTIE	Division of Technology, Industry and Economy
EA	Enabling Activity
GEF	Global Environment Facility
NGO	Non-Governmental Organisation
POP	Persistent Organic Pollutant
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
SC	Stockholm Convention
SDG	Sustainable Development Goals
ToC	Theory of Change
ToR	Terms of Reference
TR	Terminal Review
UNEP	United Nations Environment Programme

PROJECT IDENTIFICATION TABLE

Table 1. Project Summary – GEF ID 9634

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.	Programme of Work Output(s):	Output 5 “consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release”.
SDG(s) and indicator(s)	<p>12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.</p> <p>12.4.2: 2 (a) Hazardous waste generated per capita; and (b) proportion of hazardous waste treated, by type of treatment</p> <p>3.9.1: Mortality rate attributed to household and ambient air pollution</p> <p>3.9.2: Mortality rate attributed to unsafe water, unsafe sanitation and lack of hygiene (exposure to unsafe Water, Sanitation and Hygiene for All (WASH) services)</p> <p>3.9.3: Mortality rate attributed to unintentional poisoning</p> <p>5.c.1: Proportion of countries with systems to track and make public allocations for gender equality and women’s empowerment</p> <p>6.3.1: Proportion of domestic and industrial wastewater flows safely treated</p> <p>6.3.2: Proportion of bodies of water with good ambient water quality</p>		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

Project Title:	Review and update of the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)
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Executing Agency:	Department of Environment, Climate and Emergency Management
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Project partners:	UNEP
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Geographical Scope:	Pacific
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Participating Countries:	Federated States of Micronesia
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GEF project ID:	9634	IMIS number*²:	
Focal Area(s):	Chemicals and Wastes	GEF OP #:	2
GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	19 October 2017
UNEP approval date:		Date of first disbursement*:	2 March 2018
Actual start date³:	15 January 2019	Planned duration:	18 months
Intended completion date*:	30 June 2021	Actual or Expected completion date:	30 June 2021
Project Type:	Enabling Activity	GEF Allocation*:	\$200,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	n/a	Total Cost*:	\$200,000
Mid-term Review/eval. (planned date):	n/a	Terminal Evaluation (planned date):	Q2 2021
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	2
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	4 January 2021
Disbursement as of 30 June [year]*:	\$70,000.00	Date of planned financial closure*:	31 December 2021
Date of planned completion⁴*:	30 June 2021	Actual expenditures reported as of 30 June 2021⁵:	\$42,846.65
Total co-financing realized as of 31 December 2020	n/a	Actual expenditures entered in IMIS as of 31 December 2020*:	\$42,846.65
Leveraged financing:⁶	n/a		

² Fields with an * sign (in yellow) should be filled by the Fund Management Officer

³ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

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

⁵ Information to be provided by Executing Agency/Project Manager

⁶ See above note on co-financing

Project background

1. This report is the Terminal Review of the enabling activity (EA) entitled Review and update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM). The project was implemented by the United Nations Environment Programme and executed by the Department of Environment, Climate Change and Emergency Management (DECCEM) of Federated States of Micronesia. The budget of the project was \$200,000 and no co-financing was allocated. The project was approved in October 2017 and implementation began in January 2019. The project was implemented with two extensions and ended on 30 June 2021. By 30 June 2021, and as per the last expenditure report, the total cumulative expenditure to date was \$42,846.65, representing 21.4% of the total budget.
2. The objective of the project was to Review and update the National Implementation Plan (NIP) in order to comply with article 7 and reporting obligations (Article 15) under the Stockholm Convention.
3. The project consisted of 3 components:
 - i. Support to share information and evaluate National Implementation Plans worldwide
 - ii. National Implementation Plan development, endorsement, and submission to the Stockholm Convention Secretariat
 - iii. Monitoring and Evaluation
4. At the time of writing this review, the updated National Implementation plan had been validated by UN Environment but not yet endorsed by the Federated States of Micronesia or submitted to the Stockholm convention.

This Review

5. This Terminal Review (TR) was carried out from May to August 2021 by an independent consultant, Yolanda Cachu, under the supervision of the Senior Task Manager of the GEF Team at the Chemicals and Health Branch of the Economy Division of UN Environment Programme. It was based primarily on a desk review of project documents, outputs and reports, and complemented by on-line meetings and email exchanges with stakeholders as well as responses on questionnaires.
6. In line with the UN Environment Evaluation Policy and the UN Environment Programme Manual, the Terminal Review (TR) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and the global mercury partnership. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

Key findings

7. The overall evaluation rating for the project was **Moderately Satisfactory** and the ratings for the evaluation criteria are detailed in Table 6 (Section VI. Conclusions and Recommendations).
8. The project delivered most of its outputs, except for: Output 1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation; Activity 1.2.2 Incorporate inventory data into the Secretariat of the Stockholm Convention (SSC) clearinghouse; Activity 1.2.3 Identify and disseminate lessons learned; and Output 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.
9. The monitoring and Evaluation Component contemplated carrying out an independent audit. This activity is pending due difficulties in availability of the accounting firm, which is outside of the project's control.
10. The lack of outputs delivered were a contributing factor in the low budget implementation. However, the National Coordination worked very hard to deliver the project, there is an issue with human capacity in FSM. This made the recruitment of a Project Manager difficult and also affected the gender mainstreaming as it was especially difficult to recruit women and ensure a more balanced participation in the project.
11. Despite difficulties at the beginning of the project, namely a delay in accepting the first disbursement, difficulty in recruiting a Project Manager and at later stages Covid-19, which prevented results dissemination activities due to travel restrictions, a good quality National Implementation Plan was produced in a timely manner.

Table 2. Summary of project Findings and Ratings

Criterion	Rating
Strategic Relevance	HS
1. Alignment to UNEP MTS and POW	HS
2. Alignment to Donor strategic priorities	HS
3. Relevance to regional, sub-regional and national environmental priorities	HS
4. Complementarity with existing interventions	HS
Quality of Project Design	S
Nature of External Context	F
Effectiveness	MS
1. Availability of outputs	MS
2. Achievement of project outcomes	MS
3. Likelihood of impact	ML
Financial Management	S
1. Adherence to UNEP's financial policies and procedures	S
2. Completeness of project financial information	MS
3. Communication between finance and project management staff	S
Efficiency	S
Monitoring and Reporting	MS
1. Monitoring design and budgeting	MS
2. Monitoring of project implementation	MS
3. Project reporting	MS
Sustainability	ML

Criterion	Rating
1. Socio-political sustainability	L
2. Financial sustainability	ML
3. Institutional sustainability	L
Factors Affecting Performance	S
1. Preparation and readiness	S
2. Quality of project management and supervision	MS
3. Stakeholders' participation and cooperation	S
4. Responsiveness to human rights and gender equity	S
5. Environmental and social safeguards	S
6. Country ownership and driven-ness	S
7. Communication and public awareness	MU
Overall Project Performance Rating	Moderately Satisfactory

Conclusions

12. The project successfully reached its objective of reviewing and updating the National Implementation Plan in order to comply with article 7 and reporting obligations (Article 15) under the Stockholm Convention. The NIP has been endorsed but not yet submitted to the Stockholm Secretariat.
13. The project was strategically relevant to UNEP's priorities and was complementary to existing interventions in FSM, in its efforts to comply with the Stockholm Convention. It builds on the previous National Implementation Plan project (completed in 2006), and it is complementary to the current Development of a Minamata Initial Assessment project (ID 9932) both implemented by UN Environment.
14. The project demonstrated a strong performance in the Areas of Strategic Relevance. Areas that would benefit from further attention were Quality of Project Design; Effectiveness, Financial Management, Monitoring and Reporting, and factors Affecting Performance, Sustainability, and Efficiency.

Lessons Learned

15. Lesson 1: Awareness and communication of Government procedures for receiving international cooperation funds by Federated States of Micronesia would have been very useful to avoid the 11-month initial delay in project activities.
16. Lesson 2: Ensure Project Management staff is aware of their roles and responsibilities. There was a lack of awareness on UN Environment's administrative procedures that could have benefitted from a training session with UN financial officers and Task Manager at the beginning of the project.

Recommendations

17. Recommendation 1: When developing future NIP projects, gender mainstreaming should be included in the Logical Framework, with specific outputs.
18. Recommendation 2: Carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the

Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.

19. Recommendation 3: In projects where there are no missions planned, profile of the project could be raised by ensuring virtual participation of UN Environment personnel on the inception workshops.

I. INTRODUCTION

20. The following report is the Terminal Review of project “Review and update of the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)” developed under the Stockholm Convention. The overall budget for the project was \$200,000, funded by the Global Environment Facility (GEF), and no co-financing was allocated.
21. The GEF implementing Agency UN Environment Economy Division/Chemicals and Health Branch, and the Executing Agency the Department of Environment, Climate Change and Emergency Management (DECCEM) of Micronesia.
22. The project was approved for implementation on 19 October 2017 with an original duration of 18 months, from 16 February 2018 to 31 January 2020. The project had two no-cost extensions, until 30 June 2020 and then 31 August 2021. The budget was \$200,000 with no co-financing.
23. The project contributes to the achievement of the UN Environment biennial Programme of Work (PoW) 2016-2017 Sub-programme 5 Chemicals and Waste (a) “Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”, specifically Programme of work output 5 “consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release”
24. In line with the UN Environment Evaluation Policy and the UN Environment Programme Manual, a Terminal Review is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability.
25. The Review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and the global mercury partnership. Therefore, the Review will identify lessons of operational relevance for future National Implementation Plan projects formulation and implementation.
26. The Terminal Review was carried out by independent consultant Yolanda Cachu, under the supervision of the Senior Task Manager of the GEF Team at the Chemicals and Health Branch of the Economy Division of UN Environment Programme.

II. REVIEW METHODS

27. The Terminal Review used a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods were used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. The consultant maintained close communication with the project team and promoted information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings.
28. No field mission was undertaken; therefore, the findings of the review were based on a desk review of the following:
- Relevant background documentation (Stockholm Convention on Persistent Organic Pollutants, Stockholm Convention Guidance documents for developing NIPs)
 - Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project, the logical framework and its budget
 - Project reports such as six-monthly progress and financial reports
 - Project deliverables (e.g. publications, assessments etc)
 - Evaluations/reviews of previous similar projects (initial NIP project).
29. As well as Microsoft Teams on-line Interviews and email exchanges with:
- UN Environment current and previous Task Managers (TM);
 - Project Manager (PM) and project management team;
 - Project Committee, which includes EPA representatives from FSM's islands.

III. THE PROJECT

A. Context

30. The Stockholm Convention on Persistent Organic Pollutants is an internationally binding agreement that commits governments around the world to take the necessary actions to reduce, and where feasible, eliminate the production and environmental releases of 28 listed POPs. The Convention entered into force on 17 May 2004 with the Federated States of Micronesia (FSM) becoming a Party through ratification of the Convention on 15 July 2005.
31. As a Party, FSM is obligated to comply with the Convention's requirement by establishing an inventory and formulating a National Implementation Plan (NIP) for the proper management of the scheduled POPs and wastes in order to eventually eliminate their releases within the country and abroad. The first draft FSM NIP was completed in 2006 and submitted to the COP of the Stockholm Convention in 2017. Convention article 7 (1)(c) requires that an existing NIP must be updated to show how a country intends to meet its obligations with respect to the amendments to Annexes A, B, and C every time new POPs are added.
32. FSM does not produce POPs. POPs and other hazardous chemicals can be found in imported electrical and electronic waste (e-waste). Waste burning in landfills is also a source of unintentional POPs (uPOPs).

B. Objectives and components

33. The goal of the NIP updating project is to contribute to the efforts of FSM in implementing the Stockholm Convention and consequently protect human health and the environment from the risks posed by the unsound use, management, and release of POPs.
34. The objective of the NIP update is to comply with Article 7 of the Convention that states that Parties shall "review and update, as appropriate, its implementation plan on a periodic basis and in a manner to be specified by the decision of the Conference of the Parties." Through the process of NIP revision and update and the cooperation of main national stakeholders it's expected that FSM will also take tangible steps towards mainstreaming chemicals management in the country.
35. The project document outlines two components to update the NIP, followed by a third component dedicated to monitoring and evaluation.
 - I. Support to share information and evaluate NIPs worldwide;
 - II. Component 2: NIP development, endorsement and submission to the Stockholm Convention Secretariat
 - III. Component 3: Monitoring and Evaluation

C. Stakeholders

36. The project document identifies national and international stakeholders. At the international level, the project includes UN Environment, Division of Technology, Industry and Economics (formerly DTIE, currently Economy Division), UN Environment Regional Office for Asia and Pacific, Stockholm/Basel Regional Centres in the region, the Stockholm Convention Secretariat, as well as internationally accredited recognized laboratories to analyse new POPs, regional and international consultants, interested Intergovernmental Organizations, etc.

International stakeholders were intended to provide technical support and opportunities for information exchange.

37. National stakeholders included the Department of Environment, Climate Change and Emergency Management (Executing Agency); Department of Health and Social Affairs and its Institute of Public Health; Department of Resources and Development; Department of Education; Department of Finance and Administration Division of Customs and Tax; Department of Transportation, Communications, and Infrastructure; Department of Justice; State Environmental Protection Agencies of Yap, Chuuk, Pohnpei, and Kosrae Island Resource Management Authority; as well as Environment NGOs and Councils. Government Departments are responsible for regulating and managing POPs.

D. Project implementation structure and partners

38. UN Environment was the Implementing Agency, providing technical oversight and administrative support to the National Coordinating agency and the National Coordinator, as well as a global perspective and experience from other countries.

39. The Executing Agency was the Department of Environment, Climate Change and Emergency Management (DECEM). DECEM was responsible for: recruiting a National Coordinator and a Technical Assistant to deliver the project's components and liaise with UN Environment for assistance with administrative and project's components matters; engage consultants to assist with specialist tasks such as inventories and audits; as well as forming the National Coordinating Unit.

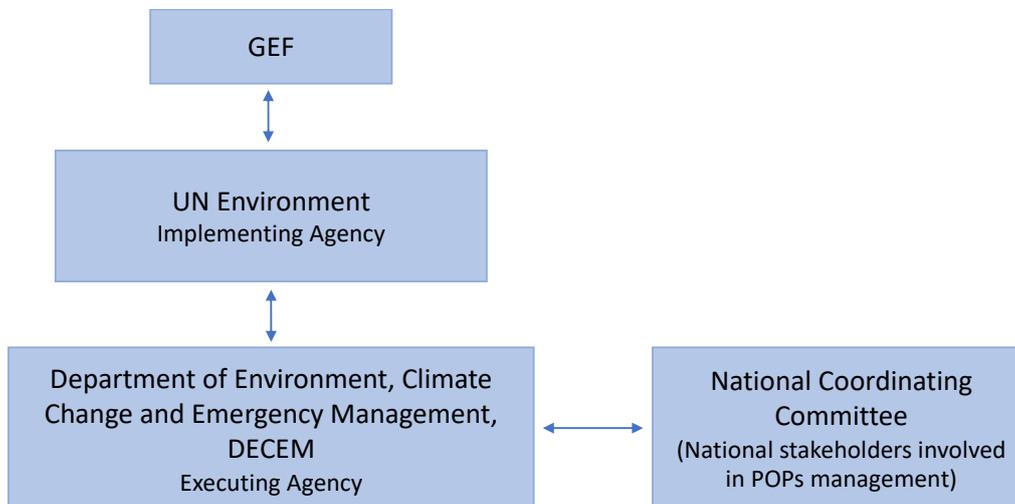


Figure 1: Organigram of the Project with key project key stakeholders

E. Changes in design during implementation

40. The project was originally planned for implementation from 16 February 2018 to 31 January 2020. The project had two no-cost extensions, until 30 June 2020 and then 31 June 2021. There were no changes to planned activities or budget

F. Project financing

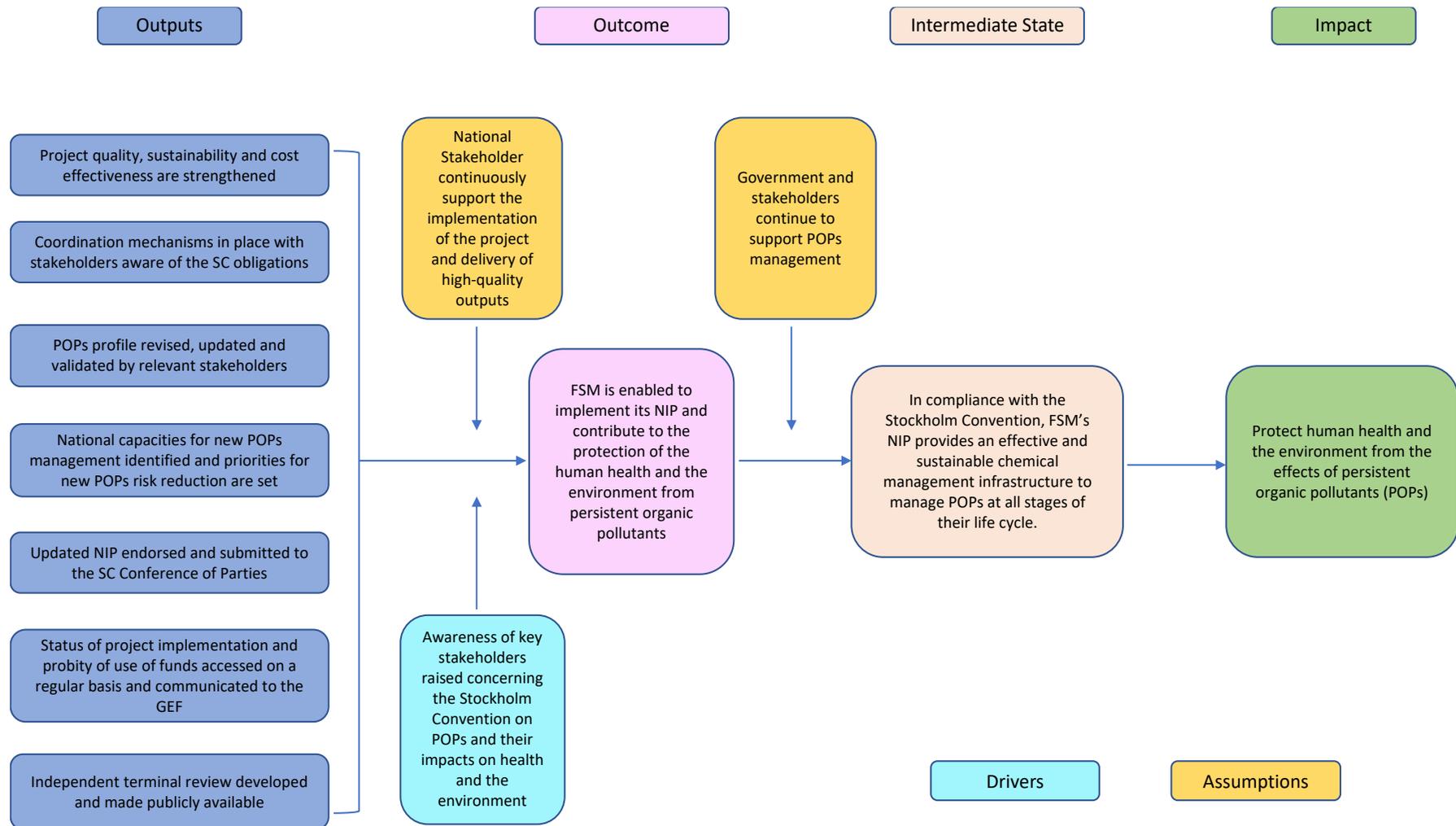
41. The project had an overall budget of \$200,000 and there was no co-financing.

42. A first cash advance of \$30,000 took place in March 2018 and one of \$40,000 was transferred in July 2019, with a total of \$70,000 advanced to DECEM. As per the last expenditure report of March 2021, DECEM has executed \$42,847 of the funds advanced. At the time of this review, \$66,946.65 of project funds had been spent overall, this is 33.5% of the total budget. Table 10 below shows the total expenditure by Outcome.
43. It is important to note that DECEM have indicated their expenditure is higher than the one reported in March 2021, but the updated figure and report are pending as of April 2023, and will be provided to the UNEP Task Manager in due course.

IV. THEORY OF CHANGE AT REVIEW

44. The Project Document did not include a Theory of Change, therefore it was reconstructed based on outputs, outcomes and objectives stated in the Project document and its Annex A. Logical Framework.
45. Because of the scoping nature of this project, there is one major pathway of outcomes to impact and one intermediate state.
46. Impact pathway 1 - Data compiled and update of National Implementation Plan: from outcome to project objective.
47. In a Theory of Change, the fulfilment of the project objective requires the success of the main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic. In this project, there was only one Outcome, and to reach it, it is necessary to deliver the Outputs (blue boxes).
48. For FSM to comply with Article 7 of the Stockholm Convention on Persistent organic Pollutants it must strengthen project quality, sustainability and cost effectiveness; revise, update and validate POPs profile by relevant stakeholders; identify national capacities for new POPs management and set priorities for new POPs risk reduction; and finally endorse and submit the updated NIP to the Stockholm Convention Conference of Parties. At this stage, FSM will be enabled to implement its NIP and contribute to the protection of the human health and the environment from persistent organic pollutants and will reach the Intermediate State at which FSM has an effective and sustainable chemical management infrastructure to manage POPs at all stages of their life cycle.

Figure 2: Theory of Change Reconstructed



V. REVIEW FINDINGS

A. Strategic Relevance

Alignment to UNEP's MTS and POW

49. The project contributed to the achievement of the UNEP biennial Programme of Work (PoW) 2016-2017 Subprogramme 5 Chemicals and Waste (a) "Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements", specifically Programme of work output 5 "consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release".
50. The outcomes of this project were also aligned with the objectives of the Programme of Work (PoW) 2018-2019, Subprogramme 5 Chemicals, waste, and air quality (a) policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant multilateral environmental agreements and the Strategic Approach to International Chemicals Management (SAICM).
51. The project contributed to the UN Environment Medium Term Strategy 2014-2017, under the harmful substances area and the Chemicals and Waste sub-programme, as it increased the participating countries' capacity to manage chemicals and waste and increases collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements (MEAs).
52. It was also in line with the Medium Term Strategy 2018-2021, under Priority Area Chemicals, Waste, and Air quality, as it developed policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management within the frameworks of relevant MEAs and SAICM. Therefore, the project is relevant and in line with UNEP's mandate at the time of project design and implementation

Alignment to Donor Strategic Priorities

53. The GEF is the financial mechanism for implementing the Stockholm Convention on Persistent Organic Pollutants, and it is charged with eliminating the most harmful chemicals which are covered by the Convention. In GEF-6, the Chemicals and Waste strategy sought to support the development of enabling environments, economic models, and financial mechanisms to strengthen the global response to improving the sound management of chemicals and waste.
54. The project is in line with GEF's Focal Area Objective CW 1 Develop the enabling conditions, tools, and environment to manage harmful chemicals and wastes, Program 2: Support enabling activities and promote their integration into national budgets, planning processes, national and sectoral policies and actions, and global monitoring.

Relevance to Regional, Sub-regional and National Priorities

55. Through the planned activities, this project sought to contribute directly to achieve goal (i) of the UNDAF for the Pacific Sub-Region, environmental management, climate and disaster risk management, in support of an integrated approach to environmental sustainability and efforts by Pacific Island Countries and Territories (PICTs) governments and communities to adapt to climate

change and reduce and manage disaster risk; and indirectly to achieve goals (ii) gender equality, with the aim of fostering gender equality, women’s political and economic empowerment and participation, and enhance safety for women and children across the Pacific; and (v) governance and human rights, where the aim is to improve the quality of governance, including the inclusion of vulnerable groups in decision-making processes in the political and economic spheres and advance compliance with international human rights norms and standards.

Complementarity with Existing Interventions

56. The NIP update builds on the initial NIP developed within the “Development of National Implementation Plans for the Management of Persistent Organic Pollutants” global project (GEF ID 1016) implemented by UN Environment.
57. Micronesia also participated in the regional project “PAS: Pacific POPs Release Reduction Through Improved Management of Solid and Hazardous Wastes” (GEF ID 4066) implemented by UNEP that closed in 2020.

Rating for Strategic Relevance:	Highly Satisfactory
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B. Quality of Project Design

58. The project design is rated Satisfactory, as per the UNEP Quality of Project Design Assessment (Table 3). Comparable other NIPs; however, some weaknesses identified (i.e. gender mainstreaming). This section will discuss each criterion in the assessment and will summarize the strengths and weaknesses of the design.
59. Project Preparation: The project document explains the status of POPs in FSM in Part II Section A. It is sufficient to understand the country’s reasons for the implementation. Stakeholders were identified and classified as national and international, stating their responsibilities and areas of expertise. The consultation process of national stakeholders during the design process is not described, but project document describes their role in POPs management and states they will participate in the National Coordinating Committee. No negative impacts were identified in the Annex C. Environmental and Social Safeguards Checklist.
60. Strategic relevance: The document states the contributions to the achievement of the UNEP biennial Programme of Work (PoW) 2016-2017; to regional UNDAF; and previous NIP and POPs global GEF projects in Part II section A. Contributions to GEF strategic priorities are not stated in the text, however project contributes to Focal Area Objective CW 1 Program 2.
61. Intended Results, Causality: No theory of change was presented in project document and had to be reconstructed. The single causal pathway is described to a degree in the narrative Part II section B “Project components and activities”. No impact drivers and assumptions were described. This is an update on an existing NIP, given the scope of the project it is in line with other successful interventions in the given timeframe.
62. Logical Framework and Monitoring: The Project Framework in Part A of the project document does not include any outcomes. The logical framework labelled as Annex A, in the file bundle made available to the reviewer, contains one project outcome and seven outputs, some of which, are different as the ones listed with their corresponding activities on the Project Framework of the Project document. It is unfortunate this design was used when other better ones were already being used in other POPs Enabling Activities and larger projects at the time of design.

There is some baseline information included in situation the section Overview of POPs in FSM. Although no indicators specifically stated in the project document, they are included in the logical framework file Annex A. Monitoring procedures are described in sufficient detail and a budget for Monitoring and Evaluation is allocated.

63. Governance and supervision arrangements: The National Coordinating Committee role and implementation arrangements/supervision is clear. As Implementing agency, UNEP is responsible for overall supervision, monitoring and evaluation, and overarching technical support and advice. There was one financial audit planned to ensure sound financial management
64. Learning, Communication and Outreach: The project includes an output dedicated to knowledge management, but it is not very clear on specific methods of communication. Project does aim to engage with women and minority groups. Dissemination activities were planned as part of knowledge management output but did not specify in what form.
65. Financial Planning/Budgeting: The budget of the project it is in line with other comparable interventions. Budget table is concise and shows allocated funds for each of the three project components and Project Management, as well as different budget lines.
66. Efficiency: The scope of the project it is in line with other comparable successful interventions. Project will build upon previous NIP GEF project. No mention of value for money strategies mentioned although DECEM will provide some resources, such as office space. A 10-month delay at the start of the project is discussed in later sections, as well as the two no-cost extensions.
67. Risk identification and Social Safeguards: No negative impacts or environmental footprint identified.
68. Sustainability / Replication and Catalytic Effects: Some legislation already in place in FSM, and participation in a number of International Treaties, as well as other chemical management projects (GEF, SPREP) mentioned in the project document could provide sustainability, but this is not discussed. Project activities are expected to positively impact other Pacific Island Countries and Territories. No sustainability strategies are mentioned.
69. Gender Marker Score: Project was submitted before 2017, therefore no Gender Marker Score applied by UN Environment. However, based on project document score would = 1 Gender is reflected in the context, implementation, logical framework. The project document recognizes that women, are at high risk from POPs, and they will be included as stakeholders; also, a specialist gender consultant would be recruited to ensure gender considerations were fully taken into account during project implementation.

Table 3: Assessment of Project design quality

A.	Operating Context		YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating: <i>(see footnote 2)</i>
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	No	The country is stable, there is no mention of likelihood of conflict	2
ii)Ongoing/high likelihood of natural disaster?		No	There is no mention of likelihood of natural disaster.		
iii)Ongoing/high likelihood of change in national government?		No	There is no mention of likelihood of change in national government.		
B.	Project Preparation		YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating: <i>(see footnote 2)</i>
2	Does the project document entail clear and adequate problem and situation analyses?		Yes	The project document explains the current status regarding POPs in FSM in Part II Section A. It is sufficient to understand the country's reasons for the implementation.	5
4	Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings or indigenous peoples?		Yes	Stakeholders have been identified and classified as national and international.	
5	<i>If yes to Q4: Does the project document provide a description of stakeholder consultation/participation during project design process? (If yes, were any key groups overlooked: government, private sector, civil society, gendered groups and those who will potentially be negatively affected)</i>		Yes	The consultation process of national stakeholders during the design process is not described, but project document describes their role in POPs management and states they will participate in the National Coordinating Committee.	

6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development? (e.g. integrated approach to human/natural systems; gender perspectives, rights of indigenous people.	Yes	No negative impacts were identified in the Annex C. Environmental and Social Safeguards Checklist		
C	Strategic Relevance	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:	
7	Is the project document clear in terms of its alignment and relevance to:	i) UN Environment MTS and PoW	Yes	Contributions to the achievement of the UNEP biennial Programme of Work (PoW) 2016-2017 stated in Part II section A	5
		ii) UN Environment /GEF/Donor strategic priorities (including Bali Strategic Plan and South-South Cooperation)	Yes	Contributions to GEF strategic priorities stated in Part II section A	
		iii) Regional, sub-regional and national environmental priorities?	Yes	Contributions to Regional UNDAF stated in Part II section A	
		iv. Complementarity with other interventions	Yes	Previous NIP and POPs global GEF projects stated in Part II section A	
D	Intended Results and Causality	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:	
8	Is there a clearly presented Theory of Change?	No	No theory of change presented in project document	4	
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC? (NOTE if there is no TOC in the project design documents a reconstructed TOC at Evaluation Inception will be need)	Yes	Pathways described to a degree in the narrative Part II section B "Project components and activities"		
10	Are impact drivers and assumptions clearly described for each key causal pathway?	No	No impact drivers and assumptions clearly described for each key causal pathway		

11	Are the roles of key actors and stakeholders, including gendered/minority groups, clearly described for each key causal pathway?	Yes	Stakeholder participation described in the narrative Part II section B "Project stakeholders and gender considerations"	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?	Yes	This is an update on an existing NIP, given the scope of the project it is in line with other successful interventions in the given timeframe	
E	Logical Framework and Monitoring	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
13	Does the logical framework	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes	5
		ii) Have appropriate and 'SMART' results at output level?	Yes	
		iii) Have appropriate and 'SMART' results at outcome level?	Yes	
		iv) Reflect the project's scope of work and ambitions?	Yes	
14	Is there baseline information in relation to key performance indicators?	Yes		
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?	Yes		
16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?	Yes		
17	Have responsibilities for monitoring activities been made clear?	Yes		
18	Has a budget been allocated for monitoring project progress?	Yes		
19	Is the workplan clear, adequate and realistic? (eg. Adequate time between capacity building and take up etc)	Yes		
F	Governance and Supervision Arrangements	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
20	Is the project governance and supervision model comprehensive, clear and appropriate? (Steering Committee, partner consultations etc.)	Yes	Yes, the National Coordinating Committee role and implementation arrangements/supervision is clear.	5

21	Are roles and responsibilities within UNEP clearly defined? <i>(If there are no stated responsibilities for UNEP Regional Offices, note where Regional Offices should be consulted prior to, and during the evaluation)</i>	Yes	As Implementing agency, UNEP is responsible for overall supervision, monitoring and evaluation, and overarching technical support and advice.	
G	Partnerships	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
22	Have the capacities of partners been adequately assessed? <i>(CHECK if partner capacity was assessed during inception/mobilisation where partners were either not known or changed after project design approval)</i>	N/A		N/A
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	N/A		
H	Learning, Communication and Outreach	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
24	Does the project have a clear and adequate knowledge management approach?	Yes	The project includes an output dedicated to knowledge management	5
25	Has the project identified appropriate methods for communication with key stakeholders, including gendered/minority groups, during the project life? <i>If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?</i>	Yes	The project includes an output dedicated to knowledge management but does not mention specific methods of communication. It does aim to engage with women and minority groups.	
26	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	Yes	Dissemination activities not described in the project document but planned as part of knowledge management output	
I	Financial Planning / Budgeting	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
27	Are the budgets / financial planning adequate at design stage? <i>(coherence of the budget, do figures add up etc.)</i>	Yes	The budget of the project it is in line with other comparable interventions	5
28	Is the resource mobilization strategy reasonable/realistic? <i>(E.g. If the expectations are over-ambitious the delivery of the project outcomes may be undermined or if under-ambitious may lead to repeated no cost extensions)</i>	Yes		
J	Efficiency	YES/NO	Comments/Implications for the review design	Section Rating:

			<i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	Yes	The scope of the project it is in line with other comparable successful interventions.	5
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes	Project will build upon previous NIP GEF project	
31	Does the project document refer to any value for money strategies (i.e. increasing economy, efficiency and/or cost-effectiveness)?	No	No mention of value for money strategies mentioned	
32	Has the project been extended beyond its original end date? <i>(If yes, explore the reasons for delays and no-cost extensions during the evaluation)</i>	Yes	Delays have been reported due to national laws regarding international aid funds	
K	Risk identification and Social Safeguards	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
33	Are risks appropriately identified in both the TOC/logic framework and the risk table? <i>(If no, include key assumptions in reconstructed TOC at Review Inception)</i>	No		5
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? <i>(consider unintended impacts)</i>	No	No negative impacts identified	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? <i>(including in relation to project management and work implemented by UNEP partners)</i>	No	No negative environmental footprint identified	
L	Sustainability / Replication and Catalytic Effects	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?			
36	Was there a credible sustainability strategy and/or appropriate exit strategy at design stage?	Yes	Some legislation already in place in FSM, and participation in a number of International Treaties, as well as other chemical management projects	5

			(GEF, SPREP) mentioned in the project document could provide sustainability, but this is not discussed	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action? <i>(if yes, capture this feature in the reconstructed TOC at Review Inception)</i>	Yes	Project activities are expected to positively impact other Pacific Island Countries and Territories	
M	Identified Project Design Weaknesses/Gaps	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
40	Were recommendations made by the PRC adopted in the final project design? If no, what were the critical issues raised by PRC that were not addressed.	N/A		N/A
41	Were there any critical issues not flagged by PRC?			
N	Gender Marker Score	SCORE	Comments	No rating.
	<p>What is the Gender Marker Score applied by UN Environment during project approval? <i>(This applies for projects approved from 2017 onwards)</i></p> <p>UNEP Gender Scoring: 0 = gender blind: Gender relevance is evident but not at all reflected in the project document. 1 = gender partially mainstreamed: Gender is reflected in the context, implementation, logframe, or the budget. 2a = gender well mainstreamed throughout: Gender is reflected in the context, implementation, logframe, and the budget. 2b = targeted action on gender: (to advance gender equity): the principle purpose of the project is to advance gender equality. n/a = gender is not considered applicable: A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.</p>	N/A	<p><i>Although project was approved after 2017, it was received in 2016 when addressing gender was not a requirement.</i></p> <p><i>Score would have been 1 = gender partially mainstreamed: Gender is reflected in the context, implementation, logframe, or the budget.</i></p>	N/A

CALCULATING THE OVERALL PROJECT DESIGN QUALITY SCORE
(An excel file is available to support the calculation of the overall PDQ rating)

	SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x Weighting)
A	Operating Context	2	0.4	0.8
B	Project Preparation	5	1.2	6
C	Strategic Relevance	5	0.8	4
D	Intended Results and Causality	4	1.6	6.4
E	Logical Framework and Monitoring	5	0.8	4
F	Governance and Supervision Arrangements	5	0.4	2
G	Partnerships	5	0.8	4
H	Learning, Communication and Outreach	5	0.4	2
I	Financial Planning / Budgeting	5	0.4	2
J	Efficiency	5	0.8	4
K	Risk identification and Social Safeguards	5	0.8	4
L	Sustainability / Replication and Catalytic Effects	5	1.2	6
M	Identified Project Design Weaknesses/Gaps	5	0.4	2
			TOTAL SCORE :	4.72 <i>(Sum Totals divided by 100)</i>

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

Rating for Project Design: **Satisfactory**

C. Nature of the External Context

70. Elements of external context were not expected to challenge the project performance as the project document does not include any mention of the likelihood or ongoing conflict, natural disaster, or a change in government, and FSM is a stable country.
71. The COVID-19 pandemic at the end on the project resulted in the shutdown of air travel in the FSM and surrounding jurisdictions, preventing visits to the FSM states of Chuuk and Yap to complete POPs inventories. Meetings to review the NIP update were held on-line as travel restrictions remained in place.
72. External context was rated favourable for the implementation of the project as the pandemic did not have significant effects on the delivery of updated NIP.

Rating for Nature of the external context: **Favourable**

D. Effectiveness

Availability of Outputs

73. The outputs of this project are the following:
 - 1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation
 - 1.2 Knowledge management services provided
 - 2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP development and future implementation
 - 2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available
 - 2.3 Draft updated NIP developed based on identified national priorities
 - 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat
 - 3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF
 - 3.2 Independent terminal evaluation developed and made publicly available
74. A desk review of the project documentation, reporting and feedback received during stakeholder consultations has confirmed the availability of most of the project outputs, as well as the good quality of the updated NIP. It was not possible to confirm the reception by the project stakeholders.
75. The NIP has been validated by the National Coordination Committee but not yet endorsed by the Government or submitted to the Stockholm Secretariat.
- 76. Output 1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation**

77. Both activities included in this Output: (1.1.1) Organise training on project coordination and lessons learned and good practices from previous projects; and (1.1.2) A gender expert will be engaged at this stage to ensure gender considerations are fully taken into account in the project implementation; did not take place.

78. According to interviews, it was not possible to engage a gender expert because no professionals in this field could be recruited in FSM. And no possibility of carrying out a regional workshop as Project Manager was unable to organize these because of Covid-19 travel restrictions at the end of project.

79. Output 1.2 Knowledge management services provided

80. Activity 1.2.1 Update/revise/enhance database of experts on POPs management, took place during February 2020.

81. Activities 1.2.2 Incorporate inventory data into the SSC clearinghouse; and 1.2.3 Identify and disseminate lessons learned, did not take place. Presumably covid-19 played a role, however, it was not possible to find out the reason for this as no stakeholders responded to the reviewer's requests for information.

82. Output 2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP development and future implementation

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

2.1.1 National inception workshop to identify key stakeholders and agree on their roles; agree on project workplan and budget; development of a monitoring and evaluation plan and an awareness raising strategy to be implemented throughout the project; completed in March 2019.

2.1.2 Develop initial assessment of institutional needs and strengths; completed in August 2019.

2.1.3 Develop ToRs for National Coordination Mechanism for NIP development; completed in August 2019.

84. Output 2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available

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

2.2.1 Develop a comprehensive overview of national infrastructure and regulatory framework to manage POPs and prepare report; completed in February 2020.

2.2.2 Develop inventories covering all 23 POPs: including updated inventories for POPs covered in initial NIP and first inventories for newly listed POPs and prepare report; completed in February 2020.

2.2.3 Develop an overview of POPs impacts to human health and the environment and prepare report; completed in February 2020.

86. Output 2.3 Draft updated NIP developed based on identified national priorities

87. Activities 2.3.1 Develop report of national progress made on POPs management after NIP submission; and 2.3.3 Develop and make available to all stakeholders a gap analysis report not delivered at time of writing TR.

88. The following activities have been completed:

2.3.2 Action Plans for all POPs developed and/or updated and validated by all stakeholders; completed in April 2020.

2.3.4 Make draft NIP updated available to all stakeholders; completed in April 2020.

89. I was not possible to find out why the activities did not take place at the time of writing this TR as no stakeholders responded to the reviewer's requests for information.

90. Output 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat

91. Both activities on this output: 2.4.1 Develop and implement NIP outreach strategy report in consultation with key national stakeholders; and 2.4.2 Develop and initiate the implementation of a roadmap for NIP endorsement and submission to the Stockholm Convention Secretariat, were not delivered.

92. I was not possible to find out why the activities did not take place at the time of writing this TR as no stakeholders responded to the reviewer's requests for information.

93. Output 3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF

94. Activities:

3.1.1 EA develops and submit technical and financial reports quarterly to UNEP using UNEP's templates

3.1.2 UNEP communicate project progress to the GEF yearly during the PIR using GEF's template

3.1.3 Develop and submit terminal report and final statement of accounts to UNEP at project end

95. These activities were on-going throughout the project. However, no terminal report was submitted.

96. Activity 3.1.4 Independent Financial Audit not delivered at time of writing TR because of problems contracting Deloitte, as firm had availability issues. Activity 3.1.5 Submit final financial audit to UNEP is therefore still pending.

97. Output 3.2 Independent terminal evaluation developed and made publicly available

98. This Terminal Review is underway.

Achievement of Project Outcomes

99. Section A of Project document does not state any outcomes, however outcome "FSM is enabled to implement its NIP and contribute to the protection of the human health and the environment from persistent organic pollutants" as per Annex A file, is partially achieved given that the NIP update approved by UNEP but not yet endorsed by Government and not yet submitted to Stockholm Convention.

Achievement of Likelihood of Impact

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

101. The evaluator used the assessment of likelihood of impact decision tree, which revealed that the impact pathway is **Moderately Likely**.
102. The reason for this rating was that the Level of project outcome achievement has only been partially achieved and no intermediate states have been achieved. In addition, drivers to support transition from Intermediate States to Impact are partially in place and Assumptions for the change process from Intermediate States to Impact partially hold.
103. The intentional positive impacts of this project include raised awareness among stakeholders about POPs and their impact on human health and the environment.
104. No unintended negative effects were identified during the evaluation.

Rating for Effectiveness: Moderately Satisfactory

E. Financial Management

Adherence to UNEP's Financial Policies and Procedures

105. The evaluation verified the application of proper financial management standards and adherence to UNEP's financial management policies.
106. No financial irregularities were detected based on project documentation.

Completeness of Financial Information

107. All quarterly expenditure reports were completed and were made available for the terminal review. These reports provide sufficient detail of what the expenditures were and reflect how the executing agency managed the funds. As of June 30 2021 there was a remaining balance of \$133,153 with \$66,946.55 disbursed.

Communication Between Finance and Project Management Staff

108. There was a lack of awareness regarding UN Environment's administrative and financial procedures carried out by the Fund Management office. Therefore, it is recommended to carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.
109. Not having a dedicated Admin assistant as part of Project Management staff was also a factor, as Project Manager carried out work but lacked experience in UN Environment administrative procedures at the beginning of the project.

Rating for Financial Management: Satisfactory

F. Efficiency

110. The project was able to achieve its objective of producing a high-quality NIP update, with the main challenges being a lack of human capacity, difficulty implementing the budget and the COVID-19 pandemic.
111. There were two no-cost extensions with their corresponding budget revisions and PCA extensions. The first one was caused by a 10-month delay in funds from the first disbursement being authorized by FSM, as accepting international

cooperation funds is a process that must be approved through a Congress resolution. The Executing Agency also had initial difficulties in recruiting a project manager after the first one moved on to a different position. The second extension was granted on the grounds of Covid-19 delays caused by travel restrictions within FSM.

112. Reports from the Executing Agency were sent in a timely manner.

Rating for Efficiency: Satisfactory

G. Monitoring and Reporting

Monitoring Design and Budgeting

113. A monitoring plan and budget were outlined in section E of the project document outlining the Monitoring and Evaluation activity, purpose, responsible party, budget, and time frame.

Monitoring of Project Implementation

114. Monitoring system was operational throughout the project. Monitoring consisted of six-month reports and quarterly financial reports sent to UN Environment.

115. Reports of inception meeting and final NIP workshop included attendance lists but were not disaggregated by male or female participants.

Project Reporting

116. Monitoring and reporting mechanisms consisted in quarterly expenditure reports and six-month progress reports submitted to the UN Environment task manager. Six-month reports have gaps, as not all planned activities were reported on, and they do not state why some activities did not take place. No final report as per project activity 3.1.3 submitted at the time of TR.

117. Main communication method was email and phone, and feedback received indicated that communication between the Project Manager and the Task manager was very good.

Rating for Monitoring and Reporting: Moderately Satisfactory

H. Sustainability

Socio-political Sustainability

118. It is moderately likely the NIP update will be endorsed. The previous NIP developed in 2007 was sent to the Stockholm convention in 2017, only when funding for the NIP update project had been requested. Although there has been participation in other POP projects (POPs in PICs, SPREP) there has not been proper engagement with policies as stated in the NIP itself. Therefore, socio-political sustainability rated as High dependency on social/political factors.

119. It is possible an increase in UN Environment visibility by organizing/attending on-line meetings or workshops could have raised the profile of the project and secured more interest from the FSM Government. It is not clear if there is sufficient Government support to endorse the NIP update and submit it to the Stockholm Secretariat, given that the same situation happened at the end of the original NIP project, which took 10 years to submit and during this time the POP

working groups in the country were not active. There was also a very poor response to the request for information for the TR, one reason for this is that personnel from the EA have a very high workload and were focused on other active projects and duties at the time of the review.

Financial Sustainability

120. High dependency on future funding Further development of project outcomes is highly dependent on future funding. The action plans included in the NIP are highly dependent on available funding.

Institutional Sustainability

121. There is still capacity development needed, with a shortage of trained professionals in the environmental sector. There is a high dependency on institutional support. However, first NIP project shows there is interest in improving chemical management.

Rating for Sustainability: Moderately Likely

I. Factors Affecting Performance and Cross-Cutting Issues

Preparation and Readiness

122. First disbursement in March 2018 was delayed by 10 months as foreign financial assistance must be approved by congress, this resolution took place on 14 Jan 2019. Therefore, no staff could be hired during this time. The first Project Manager worked from April-Sept 2019. Second Project Manager started activities in October 2019.

Quality of Project Management and Supervision

123. Good project management and supervision as main project output was achieved. Not all activities took place, and a very low level of budget was disbursed. There was a good involvement by both Task Managers, and ways to increase expenditure were discussed, although these efforts were not successful. Project Manager in FSM required further support, mainly the recruitment of a Technical Assistant by DECEM FSM, as well as training in UN admin procedures.

Stakeholders Participation and Cooperation

124. Stakeholders participated in the National and State level committees. However, there seemed to be a low-level participation in General. Low level participation in the final NIP workshop, with not all relevant Ministries present.
125. There was also near zero participation during the Terminal Review on the FSM side.

Responsiveness to Human Rights and Gender Equity

126. The project planned to recruit a gender consultant to ensure gender mainstreaming was incorporated into the NIP update, however this activity was not implemented.
127. Gender mainstreaming was not directly included in the project document; however, gender considerations are included in the updated NIP. There is no evidence of women or other vulnerable groups not being considered in the implementation

128. It was difficult to ensure participation of women in the project as there is a shortage in qualified environmental professionals in general, and more so women. However, this NIP update project was housed by the new DECEM department and was originally managed by a woman. Women manage many of the DECEM activities and, as heads of the state EPA offices, participated in this project. In these varying capacities women have been involved in the planning, designing, and review of the NIP update.

Environmental and Social Safeguards

129. Environmental and social safeguards were evaluated during the project design phase and no issues were identified during the Terminal Review.

130. The project assessed the situation with regards to POPs in FSM and did not take direct action on the ground, but assessments and POPs inventories will assist the country to identify priority issues in relation to human health and the environment, where socio-economic and environmental considerations will be identified.

Country Ownership and Driven-ness

131. Initial NIP project closed in 2006 and was submitted to the Stockholm Convention Council in 2017, which may be indicative of low driven-ness. Their efforts in producing a NIP update is an encouraging sign, however low participation during the review raises questions of project ownership and sustainability.

Communication and Public Awareness

132. Although updated NIP was shared with all related parties and approved by the National and State level stakeholder committees, there is no mention of dissemination activities in the project reports. In addition, regional discussions, and information exchange on POPs based on updated NIPs, planned under Output 1.1, did not take place due to Covid-19 travel restrictions.

Rating for Factors Affecting Performance and Cross-Cutting Issues:	Satisfactory
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VI. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

133. The project successfully reached its objective of reviewing and updating the National Implementation Plan in order to comply with article 7 and reporting obligations (Article 15) under the Stockholm Convention. The NIP has been endorsed by the Government but yet to be submitted to the Stockholm Secretariat.
134. The project was strategically relevant to UNEP's priorities and was complementary to existing interventions in FSM, in its efforts to comply with the Stockholm Convention. It builds on the previous National Implementation Plan project ("Development of National Implementation Plans for the Management of Persistent Organic Pollutants" global project GEF ID 1016), and it is complementary to the PAS: Pacific POPs Release Reduction Through Improved Management of Solid and Hazardous Wastes (GEF ID 4066).
135. The project demonstrated a strong performance in the Areas of Strategic Relevance. Areas that would benefit from further attention were Quality of Project Design; Effectiveness, Financial Management, Monitoring and Reporting, and factors Affecting Performance, Sustainability, and Efficiency.
136. The project framework presented in the project document is incomplete as it does not contain any outcomes, this was also different to the logical framework Annex A file, which only included one outcome. Following the Guidance of Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (2017) a better outcome structure would be:
- I. Establishment of a coordinating mechanism and organization process
 - II. Establishment of POPs inventories and assessment of national infrastructure and capacity
 - III. Priority assessment and objective setting
 - IV. Formulation of the NIP
 - V. Endorsement and submission of the NIP
137. For NIP updating:
- Develop and implement action plans for unintentionally produced chemicals (Article 5).
 - Develop and implement strategies for identifying stockpiles, products and article in use, and wastes with POPs (Article 6).
 - Implement control measures to reduce or eliminate releases from intentional production and use (Articles 3 and 4).
 - Include the new chemicals in the programme for the effectiveness evaluation (Article 16).
 - Include the new chemicals in the reporting (Article 15).
138. Political circumstances should be taken into account, such as legislation in place to accept international cooperation funds, which in the case of this project delayed implementation by 10 months.
139. There is a shortage of trained professionals in FSM because of its small population. It was difficult to recruit personnel for the project. The project manager needed additional support throughout the project and on occasion this

support was not sought because of unfamiliarity with UN Environment project implementation.

140. The timeline for this project was too short as other NIP projects have a duration of 24 months. Choosing a slightly longer implementation project could save on no-cost extension that are in fact costing all parties involved in the project. It is also worth considering if there will be national elections at the time of implementation that could delay the activities and factor them into the project implementation length.

B. Summary of project findings and ratings

141. The table below provides a summary of the ratings and finding discussed in Chapter V. Overall, the project demonstrates a rating of Satisfactory.

Table 1: Summary of project findings and ratings

Criterion	Summary assessment	Rating
Strategic Relevance		HS
1. Alignment to UNEP MTS and POW	In line with UN Environment's MTS and POW	HS
2. Alignment to Donor strategic priorities	In line with GEF strategic priorities	HS
3. Relevance to regional, sub-regional and national environmental priorities	Relevant to Regional and National environmental priorities	HS
4. Complementarity with existing interventions	Complementary with previous interventions	HS
Quality of Project Design	Comparable other NIPs; however, some weaknesses identified (i.e. gender mainstreaming)	S
Nature of External Context	COVID-19 affected implementation in the final stages of project	F
Effectiveness		MS
4. Availability of outputs	Output 1.1 was not delivered Activities 2.3.1 Develop report of national progress made on POPs management after NIP submission and 2.3.3 Develop and make available to all stakeholders a gap analysis report not delivered Output 2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat was not delivered Activity 3.1.4 Independent Financial Audit not delivered at time of writing TR	MS
5. Achievement of project outcomes	NIP update approved by UNEP but not yet endorsed by Government and not yet submitted to Stockholm Convention	MS
6. Likelihood of impact		ML
Financial Management		S
7. Adherence to UNEP's financial policies and procedures	No issues identified	S
8. Completeness of project financial information	Project expenditure by output/outcome partially available due to report format No final expenditure report or final audit report available at the time of TR	MS
9. Communication between finance and project management staff	No dedicated Admin assistant as part of Project Management staff; Project Manager carried out work but lacked experience in admin procedures at the beginning of the project	S

Criterion	Summary assessment	Rating
Efficiency	Two no cost extensions due to national budget regulations outside of project's control, and covid-19	S
Monitoring and Reporting		MS
10. Monitoring design and budgeting	There is a monitoring and evaluation project component with funds allocated to an independent audit and Terminal Review	S
11. Monitoring of project implementation	Monitoring consisted of six-month reports and quarterly financial reports sent to UN Environment. Progress reports are not complete and did not report on reasons outputs and activities that did not take place	MS
12. Project reporting	Some gaps in six-month reports (not all planned activities are reported) No available reports for 2021, and no final report submitted as per project activity 3.1.3 Very low expenditure since the first year of project should have elicited corrective actions	MS
Sustainability		ML
13. Socio-political sustainability	It is likely the NIP update will be endorsed as the original one was. High dependency on social/political factors	L
14. Financial sustainability	High dependency on future funding	ML
15. Institutional sustainability	Capacity development needed, shortage of trained professionals in the environmental sector. High dependency on institutional support. However, first NIP project shows there is continuous support for improving chemical management	L
Factors Affecting Performance		S
16. Preparation and readiness	First disbursement in March 2018 was delayed by 10 months as foreign financial assistance must be approved by congress, this resolution took place on 14 Jan 2019. Therefore, no staff could be hired during this time. First Project Manager worked from April-Sept 2019. Second Project Manager started activities in October 2019.	S
17. Quality of project management and supervision	Very low level of budget implementation, Task Manager discussed ways to increase expenditure, Project Manager in FSM required further support (recruitment of a Technical Assistant by FSM, training in UN admin procedures, etc). This was a missed opportunity to deliver all planned outputs, although a good quality NIP update was delivered.	MS
18. Stakeholders' participation and cooperation	Stakeholders participated in the National and State level committees. However, there seemed to be a low level participation in General as not all stakeholders participated in the final NIP workshop.	S
19. Responsiveness to human rights and gender equity	Gender mainstreaming was not directly included in the project document; however, gender considerations are included in the updated NIP. There is no evidence of women or other vulnerable groups not being considered in the implementation.	S
20. Environmental and social safeguards	No safeguarding issues were identified	S
21. Country ownership and driven-ness	Initial NIP project closed in 2006 and was submitted to the Stockholm Convention Council in 2017, which may be indicative of low driven-ness. Their efforts in producing a NIP update is an encouraging sign, however low participation during the review raises questions of project ownership and sustainability.	S

Criterion	Summary assessment	Rating
22. Communication and public awareness	Although updated NIP was shared with all related parties and approved by the National and State level stakeholder committees, there is no mention of dissemination activities in the project reports. In addition, regional discussions, and information exchange on POPs based on updated NIPs, planned under Output 1.1, did not take place.	MU
Overall Project Performance Rating		Moderately Satisfactory

C. Lessons learned

Lesson Learned #1:	Awareness and communication of Government procedures for receiving international cooperation funds by Federated States of Micronesia would have been very useful to avoid the 11-month initial delay in project activities.
Context/comment:	

Lesson Learned #2:	Ensure Project Management staff is aware of their roles and responsibilities. There was a lack of awareness on UN Environment's administrative procedures that could have benefitted from a training session with UN financial officers and Task Manager at the beginning of the project.
Context/comment:	

D. Recommendations

Recommendation #1:	
Challenge/problem to be addressed by the recommendation:	Carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.
Priority Level ⁷:	Opportunity for improvement

⁷ Select priority level from these three categories:

Critical recommendation: address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.

Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.

Opportunity for improvement: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

Responsibility:	UNEP and EA
Proposed implementation time-frame:	Subsequent activities

142. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings Section E. Financial Management

Recommendation #2:	
Challenge/problem to be addressed by the recommendation:	When developing future NIP projects, gender mainstreaming should be included in the Logical Framework, with specific outputs.
Priority Level:	Opportunity for improvement
Responsibility:	UNEP TM
Proposed implementation time-frame:	Subsequent activities

143. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings B. Quality of Project Design

Recommendation #3:	
Challenge/problem to be addressed by the recommendation:	In projects where there are no missions planned, profile of the project could be raised by on-line participation of UN Environment Task Managers on the inception workshops.
Priority Level:	Opportunity for improvement
Responsibility:	UNEP TM
Proposed implementation time-frame:	Subsequent activities

144. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings H. Sustainability

Recommendation #4:	
Challenge/problem to be addressed by the recommendation:	At project design, include a ToC. Project Framework template used was a generic one used in other NIPs; it does not state Outcomes, and it is different to the Logical framework supplied as an Annex A on the

	electronic folder system, which was not included as an annex in the actual Project document.
Priority Level:	Opportunity for improvement
Responsibility:	UNEP TM
Proposed implementation time-frame:	Subsequent activities

145. Cross-reference(s) to rationale and supporting discussions:

- Section V Review Findings B. Quality of Project Design

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Table 2: Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate

Page Ref	Stakeholder comment	Evaluator Response

ANNEX II. PEOPLE CONSULTED DURING THE REVIEW

Table 3: People consulted during the Evaluation

Organisation	Name	Position	Gender
UNEP	Grace Halla	Task Manager	Female
UNEP	Giovanna Chiodi Moire	Associate Programme Management Officer	Female
UNEP	Anuradha Shenoy	Programme Budget Officer	Female
UNEP	Gladys Karanja	Finance and Budget Assistant	Female
DECEM	Jeffrey Yamada	Project Manager	Male

ANNEX III. KEY DOCUMENTS CONSULTED

Project planning and reporting documents

- Six-month Progress reports 2019-2020.
- Quarterly Expenditure reports 2018-2020.
- UN Environment 2018. Project Cooperation Agreement for the Review and Update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)
- UN Environment 2019. Project Cooperation Agreement Extension request.
- UN Environment 2020. Project Cooperation Agreement Extension request

Project outputs – Overall

- United Nations Environment Programme, Department of Environment, Climate Change and Emergency Management (CEDEM). 2020. Federated States of Micronesia Updated National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants and annexes.

Reference documents

- United Nations Environment Programme. 2014. Programme of work and budget for the biennium 2016-2017.
- United Nations Environment Programme. 2015. Medium Term Strategy 2014-2017.
- United Nations Environment Programme. 2016. Medium Term Strategy 2018-2021.
- United Nations Environment Programme. 2016. Gender Equality and the Environment – A guide to UNEP's work
- United Nations Environment Programme. 2016. Programme of work and budget for the biennium 2018-2019.
- United Nations Environment Programme. 2017. Guidance for Developing a National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants. Secretariat of the Basel, Rotterdam and Stockholm conventions, United Nations Environment Programme, Geneva.
- United Nations Environment Programme. 2018. Review and Update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)– GEF ID 9634.
- United Nations Environment Programme. 2021. Terms of Reference for the Terminal Review of the UNEP/GEF project Review and Update of the national implementation plan for the Stockholm convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)– GEF ID 9634.
- Federated States of Micronesia. 2007. National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants.

PROJECT BUDGET AND EXPENDITURES

I. Table 4: Project Funding Sources Table (IF NOT ALREADY WITHIN THE REPORT)

Funding source All figures as USD	Planned funding	% of planned funding	Secured funding	% of secured funding
Cash				
Funds from the Environment Fund	200,000			
Funds from the Regular Budget				
Extra-budgetary funding (listed per donor):				
Sub-total: Cash contributions				
In-kind				
Environment Fund staff-post costs				
Regular Budget staff-post costs				
Extra-budgetary funding for staff-posts (listed per donor)				
Sub-total: In-kind contributions				
Co-financing*				
Co-financing cash contribution				
Co-financing in-kind contribution				
Sub-total: Co-financing contributions				
Total	200,000			

*Funding from a donor to a partner which is not received into UN Environment accounts, but is used by a UN Environment partner or collaborating centre to deliver the results in a UN Environment – approved project.

II. Table 5: Expenditure by Outcome/Output

Component/sub-component/output All figures as USD	Estimated cost at design	Actual Cost/ expenditure
Component 1. Support to share information and evaluate NIPs worldwide	\$15,000	\$14,000
Component 2 NIP development, endorsement and submission to the Stockholm Convention Secretariat	\$151,818	\$37,884
Component 3 Monitoring and Evaluation	\$15,000	\$10,000
Project management	\$18,182	\$4,962
TOTAL	\$200,000	\$66,846

ANNEX IV. FINANCIAL MANAGEMENT

Table 11: Financial Management Table

Financial management components:		Rating	Evidence/ Comments
1. Adherence to UNEP's policies and procedures:		S	
Any evidence that indicates shortcomings in the project's adherence ⁸ to UNEP or donor policies, procedures or rules		No	No evidence of shortcomings
2. Completeness of project financial information⁹:			
Provision of key documents to the reviewer (based on the responses to A-H below)		MS	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	Overall budget by activity at design available
B.	Revisions to the budget	Yes	Two budget revisions available
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	Original PCA and extensions available
D.	Proof of fund transfers	Yes	Proof of funds transfers available
E.	Proof of co-financing (cash and in-kind)	N/A	
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	Project expenditure by output/outcome partially available due to report format No audit report available at the time of TR No expenditure report for Q2 2021.
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	No	Independent audit has been delayed due to accounting firm being unavailable
H.	Any other financial information that was required for this project (list):	N/A	
3. Communication between finance and project management staff		S	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	No dedicated Admin assistant as part of Project Management staff; Project Manager carried out work but lacked experience in admin procedures when he took over the project
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	

⁸ If the review raises concerns over adherence with policies or standard procedures, a recommendation maybe given to cover the topic in an upcoming audit, or similar financial oversight exercise.

⁹ See also document 'Criterion Rating Description' for reference

Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the review process	S	
Overall rating		Satisfactory

ANNEX V. BRIEF CV OF THE REVIEWER

Yolanda Cachu

Profession	Biologist
Nationality	Mexican
Country experience	<ul style="list-style-type: none">• Europe: Austria, Germany, UK• Africa: Kenya, Mozambique, Senegal, Tanzania, The Gambia• Americas: Mexico, Honduras, USA, Brazil
Education	<ul style="list-style-type: none">• PhD Biological Science• BSc Biology

Yolanda Cachu has more than 10 years' experience in project development and management. She joined the United Nations Industrial Development Organization (UNIDO) consultant in 2009, working on MDGF and GEF projects in Latin America and Africa, and UN Environment in 2021 as a Consultant in the Chemicals and Health Branch.

Ms. Cachu holds a BSc in Biology from Simon Bolivar University in Mexico City and a PhD in Biological Science from Lancaster University in the UK.

ANNEX VI. REVIEW TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

Terminal Review of the UNEP/GEF project

“Review and update of the national implementation plan for the Stockholm Convention

on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)” and “GEF ID 9634”

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.	Programme of Work Output(s):	Output 5 “consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release”.
SDG(s) and indicator(s)	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement. 12.4.2: 2 (a) Hazardous waste generated per capita; and (b) proportion of hazardous waste treated, by type of treatment 3.9.1: Mortality rate attributed to household and ambient		

	air pollution 3.9.2: Mortality rate attributed to unsafe water, unsafe sanitation and lack of hygiene (exposure to unsafe Water, Sanitation and Hygiene for All (WASH) services) 3.9.3: Mortality rate attributed to unintentional poisoning 5.c.1: Proportion of countries with systems to track and make public allocations for gender equality and women's empowerment 6.3.1: Proportion of domestic and industrial wastewater flows safely treated 6.3.2: Proportion of bodies of water with good ambient water quality		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

Project Title:	Review and update of the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) in Federated States of Micronesia (FSM)
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Executing Agency:	Department of Environment, Climate and Emergency Management
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Project partners:	UNEP
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Geographical Scope:	Pacific
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Participating Countries:	Federated States of Micronesia
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GEF project ID:	9634	IMIS number*¹⁰:	
Focal Area(s):	Chemicals and Wastes	GEF OP #:	2
GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	19 October 2017
UNEP approval date:		Date of first disbursement*:	2 March 2018
Actual start date¹¹:	15 January 2019	Planned duration:	18 months
Intended completion date*:	30 June 2021	Actual or Expected completion date:	30 June 2021
Project Type:	Enabling Activity	GEF Allocation*:	\$200,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	n/a	Total Cost*:	\$200,000
Mid-term Review/eval. (planned date):	n/a	Terminal Evaluation (planned date):	Q2 2021
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	2
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	4 January 2021
Disbursement as of 31 December 2020*:	\$70.000,00	Date of planned financial closure*:	31 December 2021
Date of planned completion^{12*}:	30 June 2021	Actual expenditures reported as of 31 December 2020¹³:	\$42.846,65
Total co-financing realized as of 31 December [year]:	n/a	Actual expenditures entered in IMIS as of 31 December 2020*:	\$42.846,65

¹⁰ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

¹¹ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

¹² If there was a “Completion Revision” please use the date of the revision.

¹³ Information to be provided by Executing Agency/Project Manager

Leveraged financing: ¹⁴	n/a		
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2. Project rationale¹⁵

1.

2. FSM ratified the Stockholm Convention in 15 July 2005. FSM recognized its obligation under article 7 of the Convention to develop a National Implementation Plan (NIP) and transmit it to the Conference of the Parties (COP) within two years of entry into force of the Convention. FSM also recognized its obligation under article 15 to report at periodic intervals to the Conference of the Parties on the measures it had taken to implement the provisions of the Stockholm Convention. However, the country had not complied with its commitments under these articles due to insufficient funding and national capacity. The project created the enabling conditions that would allow FSM to comply with its obligations under the Stockholm Convention.¹⁶

3. Article 13 of the Convention sets out the principles on which "...developed country Parties shall provide new and additional financial resources to enable developing country Parties and Parties with economies in transition to meet the agreed full incremental costs of implementing measures that fulfil their obligations under the convention". The GEF is a principal component of the financial mechanism of the Stockholm Convention and, as such, supports activities to meet its objectives. The GEF Council in its 17th meeting (May 2001) had decided that a typical enabling activity proposal is expected to have a total cost not exceeding \$500,000. In this context FSM participated in the GEF funded global project Development of National Implementation Plans for the Management of Persistent - Organic Pollutants (POPs (GEF ID 1016).

4. At its fourth meeting, held from 4 to 8 May 2009, the COP, adopted decisions SC-4/10 to SC-4/18 that amended Annexes A (elimination) and C (unintentional production) of the Stockholm Convention to list nine additional chemicals as Persistent Organic Pollutants (new POPs). The COP noted needs for guidance and technical/financial support for developing countries and countries with economies in transition, bearing in mind paragraph 1 of Article 12 of the Convention. The COP also noted that some of the listed chemicals, especially industrial chemicals, are still produced in some countries and used in many countries; others exist globally in stockpiles and wastes that need to be dealt with in accordance with Article 6 of the Convention. Some Parties expressed needs for guidance on how to identify chemicals contained in articles/products and also those released from unintentional production. At its fifth meeting, held from 25-29 April 2011, the COP to the Stockholm Convention, by decision SC-5/4 adopted endosulfan as the tenth new POP. At its sixth meeting, held from 28 April to 10 May 2013 the COP to the Stockholm Convention, by decision SC-6/13 adopted hexabromocyclododecane as the eleventh new POP. At its seventh meeting, held in 2015, the Conference included the adoption of decisions listing Hexachlorobutadiene, pentachlorophenol and its salts and esters, and polychlorinated Naphthalenes to the Convention. The project does not approach chemicals listed in 2015.

5. FSM had ratified the amendments of COP 4, COP 5, and COP 6. The implications for Parties of the listed new chemicals include the need:

- To implement control measures for each chemical listed in annexes A or B (Articles 3 and 4);
- To develop and implement action plans for unintentionally produced chemicals listed in annex C (Article 5);
- To develop inventories of the chemicals' stockpiles (Article 6);
- To review and update the National Implementation Plan (Article 7);
- To include the new chemicals in the reporting (Article 15);

¹⁴ See above note on co-financing

¹⁵ Grey =Info to be added

¹⁶ This is the cost associated with the unit executing the project on the ground and could be financed out of trust fund or co-financing sources. For EAs within the ceiling, PMC could be up to 10% of the Subtotal GEF Project Financing.

- To include the new chemicals in the programme for effectiveness evaluation, to be indicated by the Stockholm Convention Secretariat (Article 16).

6. At COP-5, the Global Environment Facility (GEF) announced that it would make available grants of up to 250,000 USD to each eligible country embarking upon NIP review and updating. Parties to the Stockholm Convention were requested not only to include information on new POPs but also to update existing information on the twelve initial POPs.

7. The GEF Programming for its replenishment VI, Program 2 had allocated 20\$ million to “support enabling activities and promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring” which highlights the strong commitment of the GEF to support countries to comply with the Stockholm Convention.

8. Through this project FSM applied for additional funds to revise its first draft NIP and update it taking into account the newly listed POPs.

3. Project Results Framework

Project Objective: Review and update the National Implementation Plan (NIP) in order to comply with article 7 under the Stockholm Convention			
Project Component	Project Outputs	(in \$)	
		GEF Project Financing	Confirmed Co financing ²
1. Support to share information and evaluate NIPs worldwide	1.1 Capacity building and technical assistance provided to countries to develop NIPs while building sustainable foundations for its future implementation;	15,000	0
	1.2 Knowledge management services provided.		
2. NIP development, endorsement and submission to the Stockholm Convention Secretariat	2.1 Technical guidance and support provided to strengthen the national coordination mechanism for NIP development and future implementation;	151,818	0
	2.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available;		
	2.3 Draft updated NIP developed based on identified national priorities;		
	2.4 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.		

9.

3. Monitoring and Evaluation	3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF. 3.2 Independent terminal evaluation developed and made publicly available.	15,000	0
Subtotal		181,818	0
Project Management Cost ³		18,182	0
Total Project Cost		200,000	0

10.

4. Executing Arrangements

11. At the national level, the National Coordinating Committee guides the Project. This Committee includes national stakeholders involved in POPs management as indicated above. This team meets regularly and assesses progress made in the project and also identifies problems in executing the project. The outcomes of the National Coordinating Committee Meetings are communicated to the Implementing Agency.

12. The UNEP NIP updating method is based on the development of national capacity to manage POPs while establishing linkages to regional or sub-regional technical expertise to support the process and the provision of global coordination. Each Party makes an individual submission to the GEF but each regional grouping accesses the same sources of technical expertise through the global component. This allows each Party to proceed at their own pace and to include elements that are specific to their countries.

- UNEP as Implementing Agency:

13. 1. Serves as the Implementing Agency for the project;

14. 2. Liaises with technical experts in each region or sub-region for identified groups of Parties. Each Party (or its members) accesses regional experts identified by UNEP;

15. 3. Undertakes the implementation of the project such as handling administrative issues of the GEF project and in addition UNEP also provides the global perspective to ensure that knowledge is shared amongst Parties and common approaches are taken. This should produce NIPs that are more comparable;

16. 4. Works, as much as possible, in close cooperation with the BRS Secretariat to ensure that synergies can evolve, including joint training activities and sharing of guidance materials.

- The National Executing Agency:

17. 1. Engages a National Coordinator for the duration of the NIP updating project. This person is recruited locally and is responsible for delivering the components of the project. Reporting to the National executing agency;

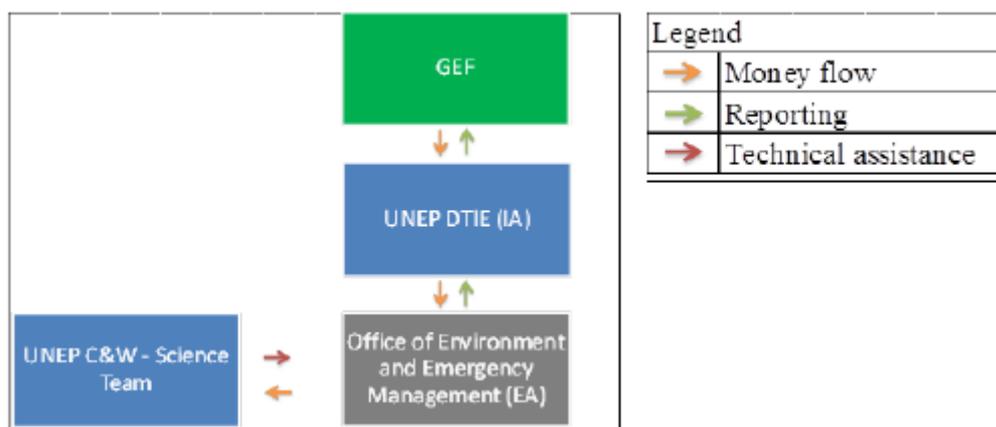
18. 2. Engages a technical assistant on a part or full time basis will be engaged to help the National Coordinator deliver the outcomes of the project;

19. 3. Provides the offices and operating expenses of the National Coordinator and the Technical Assistant;

20. 5. Requests the National Coordinator to draw on the UNEP Chemicals and Wastes for assistance with the components of the project and with UNEP for additional help and administrative needs;

21. 6. Has access to additional resources such as to engage consultants as necessary to assist further with specialist tasks such as inventorying and audits;

22. 7. Forms the National Coordinating Unit, which has an established place within the Ministry hosting the National Coordinator;



23.

Figure 1: Institutionnel Arrangements

24.

5. Project Cost and Financing

Component	Original budget	Expenditure as of 31st December 2020
Component 1	\$15,000	\$14,000
Component 2	\$151,818	\$37,884
Component 3	\$15,000	\$10,000
Project management	\$18,182	\$4,962
Total	\$200,000	\$66,846

6. Implementation Issues

25. There have been no important issues during the implementation of this enabling activity. Travelling was challenging due to the COVID-19 pandemic.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

7. Objective of the Review

26. In line with the UNEP Evaluation Policy¹⁷ and the UNEP Programme Manual¹⁸, the Terminal Review (TR) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The Review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and Department of Environment, Climate and Emergency

¹⁷ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

¹⁸ <https://wecollaborate.unep.org>

Management. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation based on key evaluation principles.¹⁹

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

28. **The “Why?” Question.** As this is a Terminal Review and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention will be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the review exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was and make a serious effort to provide a deeper understanding of “why” the performance was as it was (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

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

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

8. Key Strategic Questions

30. In addition to the evaluation criteria outlined in Section 10 below, the Review will address the **strategic questions** listed below. These are questions of interest to UNEP and to which the project is believed to be able to make a substantive contribution: Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

31.

32. Q1: Has the project facilitated the early implementation of the Stockholm Convention?

33. Q2: Are national stakeholders aware of their obligations under the Convention?

34. Q3: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project’s performance?

35.

¹⁹ The term Review Consultant is used in the singular throughout these Terms of Reference and can be taken to refer to consultants in cases where a Review Team is formed.

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

37.

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

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

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

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

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

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

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

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

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

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

9. Evaluation Criteria

40. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. The set of evaluation criteria are grouped in nine categories: (A) Strategic Relevance; (B) Quality of Project Design; (C) Nature of External Context; (D) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (E) Financial Management; (F) Efficiency; (G) Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance.

41. Annex 1 of these Terms of Reference provides a table with links to various tools, templates and guidelines that can help Reviewer to follow the approach taken by UNEP Evaluation Office in its evaluation work. These links include one to a table for recording the ratings by criteria and an excel file determining the overall project performance rating (using a weighted averaging approach). There is also a matrix that provides guidance on how to set the ratings level (at which point on the 6-point scale) for each evaluation criterion. Please contact Cecilia Morales (cecilia.morales@un.org) if any of these links do not work.

A. Strategic Relevance

The Review will assess the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor. The Review will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval, as well as each country's UNDAF. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UNEP's Medium Term Strategy²⁰ (MTS), Programme of Work (POW) and Strategic Priorities*

The Review should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building²¹ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

ii. *Alignment to Donor/Partner Strategic Priorities*

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

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

The Review will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. The extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented will be considered. Examples may include: UN Development Assistance Frameworks (UNDAF) or, national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

iv. *Complementarity with Existing Interventions/Coherence²²*

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization²³, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP -programmes, or being implemented by other agencies within the same country, sector or institution) that address similar needs of the same target groups. The Review will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

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

²⁰ UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

²¹ <http://www.unep.fr/ozonaction/about/bsp.htm>

²² This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

²³ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

B. Quality of Project Design

42. The quality of project design is assessed using an agreed template during the review inception phase. Ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/templates-and-tools). The complete Project Design Quality template should be annexed in the Inception Report. Later, the overall Project Design Quality rating should be entered within the ratings table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included in the Executive Summary of the Main Review Report. (Guidance on the Structure and Content of an Inception Report and Main Review Report is given in the materials listed in Annex 1 of these Terms of Reference).

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

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

C. Nature of External Context

43. At review inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval²⁴). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or *Highly Unfavourable* external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Review Consultant and Task Manager together. A justification for such an increase must be given.

D. Effectiveness

Availability of Outputs²⁵

44. The Review will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in making its programmed outputs available and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision²⁶

²⁴Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

²⁵ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

²⁶ For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

i. Achievement of Project Outcomes²⁷

45. The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed²⁸ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes in the ProDoc is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

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

ii. Likelihood of Impact

46. Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the Review will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-unenvironment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

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

48. The Review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication²⁹ as part of its Theory of Change and as factors that are likely to contribute to long-lasting impact.

49. Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

Factors affecting this criterion may include:

²⁷ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

²⁸ 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.

²⁹ *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.

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project Manager and the Fund Management Officer as it relates to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

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

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

52. The Review will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities³⁰ with other initiatives, programmes and projects etc. to increase project efficiency.

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

Factors affecting this criterion may include:

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

³⁰ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

55. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART³¹ results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed, where applicable.

ii. Monitoring of Project Implementation

56. The review will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The Review should confirm that funds allocated for monitoring were used to support this activity.

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

57.

iii. Project Reporting

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

Factors affecting this criterion may include:

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

H. Sustainability

59. Sustainability³² is understood as the probability of the benefits derived from the achievement of project outcomes being maintained and developed after the close of the intervention. The Review will identify and

³¹ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

³² As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

assess the key conditions or factors that are likely to undermine or contribute to the endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

iii. Institutional Sustainability

62. The Review will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors Affecting Project Performance and Cross-Cutting Issues

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

i. Preparation and Readiness

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

ii. Quality of Project Management and Supervision

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

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

iii. Stakeholder Participation and Cooperation

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

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

iv. Responsiveness to Human Rights and Gender Equity

68. The review will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the review will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment³³.

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

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

v. Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements³⁴ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues

³³The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

³⁴ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

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

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

vi. Country Ownership and Driven-ness

71. The Review will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The Review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gender and marginalised groups.

vii. Communication and Public Awareness

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

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

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

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

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

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

- Relevant background documentation, inter alia GEF guidance on NIPs and the Stockholm Convention.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project deliverables (e.g. publications, assessments etc)
- Mid-Term Review or Mid-Term Evaluation of the project;
- Evaluations/reviews of similar projects.

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

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

10. Review Deliverables and Review Procedures

75. The review team will prepare:

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

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

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

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

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

11. The Review Consultant

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

81. The consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the review as efficiently and independently as possible.

The Review Consultant will be hired as per cover TORs.

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

12. Schedule of the review

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

Table 3. Tentative schedule for the Review

Milestone	Tentative dates
Inception Report	30 April 2021
Review Mission	n/a
Telephone interviews, surveys etc.	31 May 2021
Powerpoint/presentation on preliminary findings and recommendations	15 June 2021
Draft Review Report to Task Manager (and Project Manager)	20 June 2021
Draft Review Report shared with UNEP colleagues	30 June 2021
Draft Review Report shared with wider group of stakeholders	30 June 2021
Final Review Report	31 July 2021
Final Review Report shared with all respondents	31 July 2021

13. Contractual Arrangements

84. Review Consultants will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a "fees only" basis (see below). By signing the service contract with UNEP/UNON, the

consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

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

86. Schedule of Payment for the consultant:

87. Deliverable	88. Percentage Payment
89. Approved Inception Report	90. 30%
91. Approved Draft Main Review Report	92. 30%
93. Approved Final Main Review Report	94. 40%

95.

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

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

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

99. If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to reduce the consultant's fees by an amount equal to the additional costs borne by the project team to bring the report up to standard.

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

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

ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from a link to be provided by the evaluation unit during the Inception Phase and use those versions throughout the review.

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

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

15	Possible Review Questions
16	Structure and Contents of the Main Review Report
17	Cover Page, Prelims and Style Sheet for Main Review Report
18	Financial Tables
19	Template for the Assessment of the Quality of the Review Report

Annex 2 : Evaluation Ratings Table

The review will provide individual ratings for the evaluation criteria described in the table below. The Evaluation Office website (<https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach>) holds all support tools, templates and guidance notes mentioned below.

Most criteria will be rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU). A Ratings Matrix is available to support a common interpretation of points on the scale for each evaluation criterion. These ratings are 'weighted' to derive the Overall Project Rating (see 'Weighting of Ratings' on the Evaluation Office website).

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

Criterion <i>(Enter each rating into the Weighting of Ratings table to arrive at the rating for each criterion and the overall project rating)</i>	Summary Assessment	Rating
A. Strategic Relevance		HS → HU
<i>1. Alignment to UNEP's MTS and POW</i>		HS → HU
<i>2. Alignment to Donor/GEF strategic priorities</i>		HS → HU
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>		HS → HU
<i>4. Complementarity with existing interventions</i>		HS → HU
B. Quality of Project Design		HS → HU
C. Nature of External Context		HF → HU
D. Effectiveness ³⁵		HS → HU
<i>1. Availability of outputs</i>		HS → HU
<i>2. Achievement of project outcomes</i>		HS → HU
<i>3. Likelihood of impact</i>		HL → HU
E. Financial Management		HS → HU
<i>1. Adherence to UNEP's policies and procedures</i>		HS → HU
<i>2. Completeness of project financial information</i>		HS → HU
<i>3. Communication between finance and project management staff</i>		HS → HU
F. Efficiency		HS → HU
G. Monitoring and Reporting		HS → HU

³⁵ Where a project is rated, through the assessment of Project Design Quality template during the review inception stage as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Review Consultant and Project Manager together. Any adjustments must be fully justified.

Criterion <i>(Enter each rating into the Weighting of Ratings table to arrive at the rating for each criterion and the overall project rating)</i>	Summary Assessment	Rating
1. <i>Monitoring design and budgeting</i>		HS → HU
2. <i>Monitoring of project implementation</i>		HS → HU
3. <i>Project reporting</i>		
H. Sustainability <i>(the overall rating for Sustainability will be the lowest rating among the three sub-categories)</i>		HL → HU
1. <i>Socio-political sustainability</i>		HL → HU
2. <i>Financial sustainability</i>		HL → HU
3. <i>Institutional sustainability</i>		HL → HU
I. Factors Affecting Performance and Cross-Cutting Issues ³⁶		HS → HU
1. <i>Preparation and readiness</i>		HS → HU
2. <i>Quality of project management and supervision</i> ³⁷		HS → HU
3. <i>Stakeholders participation and cooperation</i>		HS → HU
4. <i>Responsiveness to human rights and gender equity</i>		HS → HU
5. <i>Environmental, social and economic safeguards</i>		HS → HU
6. <i>Country ownership and driven-ness</i>		HS → HU
7. <i>Communication and public awareness</i>		HS → HU
Overall Project Rating		HS → HU

³⁶ While ratings are required for each of these factors individually, they should be discussed within the Main Review Report as cross-cutting issues as they relate to other criteria. Note that catalytic role, replication and scaling up are expected to be discussed under effectiveness if they are a relevant part of the TOC.

³⁷ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as the Implementing Agency.

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

Section	Notes	Data Sources	Recommended no. pages
Preliminary pages	Review and complete (where necessary) the Project Identification Table that was in the Terms of Reference.	TOR, ProDc, TM	1
1. Introduction	<p><i>Summarise:</i></p> <p>Purpose and scope of the review (<i>eg learning/accountability and the project boundaries the review covers</i>)</p> <p>Project problem statement and justification for the intervention.</p> <p>Institutional context of the project (<i>MTS, POW, Division, umbrella etc</i>)</p> <p>Target audience for the review findings.</p>	TOR and ProDoc	1
2. Project outputs and outcomes	<p>Confirm the formulation of planned project outputs and expected outcomes. <i>The project should be assessed against its intended results, but these may need to be rephrased, re-aligned etc. Where the articulation of the project's results framework, including outputs, outcomes, long term impacts and objectives/goals, needs to be revised, a table should be provided showing the original version and the revisions proposed for use in the review.</i></p> <p>SPECIFY WHICH GEF CORE INDICATOR TARGETS WERE IDENTIFIED AT CEO ENDORSEMENT/APPROVAL (<i>For projects approved prior to GEF-7 these will be identified retrospectively and progress against them assessed</i>).</p>	ProDoc, Revision documents, consultation with TM	1 /2

3. Review of project design	<p>Complete the template for assessment of Project Design Quality, including ratings, and present as an annex (template available)</p> <p>Summarise the project design strengths and weaknesses within the body of the inception report.</p>	<p>Project document and revisions, MTE/MTR if any</p>	<p>1 page narrative and completed assessment of PDQ template</p>
4. Stakeholder analysis³⁸	<p>Identify key stakeholder groups and provide an analysis of the levels of influence and interest each stakeholder group has over the project outcomes. Give due attention to gender and under-represented/marginalised groups. (guidance note available)</p>	<p>Project document</p> <p>Project preparation phase.</p> <p>TM</p>	<p>1</p>
5. Theory of Change	<p>Revise or reconstruct the Theory of Change based on project documentation. Present the TOC as a one-page diagram, where possible, and explain it with a narrative, including a discussion of the assumptions and drivers (guidance note and samples available)</p> <p>Identify any key literature/seminal texts that establish cause and effect relationships for this kind of intervention at higher results levels (e.g. benefits of introducing unleaded fuel)</p>	<p>Project document narrative, logical framework and budget tables. Other project related documents.</p>	<p>Diagram and up to 2 pages of narrative</p>
6. Review methods	<p>Describe all review methods (<i>especially how sites/countries will be selected for field visits or case studies; how any surveys will be administered; how findings will be analysed etc</i>)</p> <p>Summarise data sources/groups of respondents and method of data collection to be used with each (e.g. skype, survey, site visit etc)</p> <p>Create a review framework that includes detailed review questions linked to data sources. Include any new questions</p>	<p>Review of all project documents.</p>	<p>1 page narrative. The review framework as a matrix and draft data collection tools as annexes.</p>

³⁸ Evaluation Office of UN UNEP identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners; government officials and duty bearers (e.g. national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (e.g. households, tradespeople, disadvantaged groups, members of civil society etc).

	<p>raised by review of Project Design Quality and TOC analysis. Present this as a table/matrix in the annex (<i>samples available</i>)</p> <p>Design draft data collection tools and present in the annex (<i>eg interview schedules, questionnaires etc</i>)</p>		
7. Team roles and responsibilities	Describe the roles and responsibilities among the review team, where appropriate		½
8. Review schedule	<p>Provide a revised timeline for the overall review (<i>dates of travel and key review milestones</i>)</p> <p>Tentative programme for site/country visits</p>	Discussion with TM on logistics	½ (table)
9. Learning, communication and outreach	Describe the approach and methods that will be used to promote reflection and learning through the review process (<i>eg opportunities for feedback to stakeholders; translation needs etc</i>)	Discussions with the TM	½
TOTAL NARRATIVE PAGES			8-12 pages, plus annexes
Annexes	<p>A - Review Framework</p> <p>B - Draft data collection tools</p> <p>C - Completed assessment of the Project Design Quality</p> <p>D - List of documents and individuals to be consulted during the main review phase</p> <p>E - List of individuals and documents consulted for the inception report</p>		

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

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

<p>Preliminaries</p>	<p><i>Title page</i> – Name and number of the reviewed project, type of review (mid-term or terminal), month/year review report completed, UNEP logo. Include an appropriate cover page image.</p> <p><i>Contents page</i> – including chapters, tables and annexes</p> <p><i>Abbreviations table</i> – only use abbreviations for an item that occurs more than 3 times within the report. Introduce each abbreviation on first use and ensure it is in the table. Where an abbreviation has not been used recently in the text, provide its full version again. The Executive Summary should be written with <u>no</u> abbreviations.</p> <p><i>Acknowledgements</i> – This is a maximum of two paragraphs. At the end of acknowledgements name the Task Manager and Fund Management Officer.</p> <p><i>Short biography of the consultant(s)</i> – giving relevant detail of experience and qualifications that make the consultant a suitable candidate for having undertaken the work. (Max 1 paragraph)</p> <p><i>Header/footer</i> – Name of reviewed project, type of review and month/year review report completed. Page numbers, header and footer do not appear on the title page</p>
<p>Project Identification Table</p>	<p>An updated version of the Project Identification Table.</p>
<p>Executive Summary <i>(Kindly avoid all abbreviations in the Executive Summary)</i></p>	<p>The summary should be able to stand alone as an accurate summary of the main review product. It should include a concise overview of the review object; clear summary of the review objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions) and selected lessons learned and recommendations. (Max 4 pages)</p>
<p>I. Introduction</p>	<p>A brief introduction, identifying institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the review; date of Proposal Review Committee approval and project document signature); results frameworks to which it contributes (eg Expected Accomplishment in POW); project duration and start/end dates; number of project phases completed and anticipated (where appropriate); implementing partners; total secured budget and whether the project has been reviewed/evaluated in the past (eg mid-term, part of a synthesis evaluation, evaluated by another agency etc)</p> <p>Concise statement of the purpose of the review and the key intended audience for the findings. (Max 1 page)</p>
<p>II. Review Methods</p>	<p>This section is the foundation for the review’s credibility, which underpins the validity of all its findings.</p> <p>The section should include a description of how the Theory of Change at Review was designed (who was involved etc) and applied to the context of the project. The data collection section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (eg qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents,</p>

	<p>case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (eg triangulation, review by stakeholders etc). The methods used to analyse data (eg. scoring; coding; thematic analysis etc) should be described.</p> <p>It should also address limitations to the review such as: inadequate review budget to complete the TOR; low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider review questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views. (Max 3 pages)</p>
III. The Project	
A. Context	<p>Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (ie synopsis of the problem and situational analyses). Include any socio-economic, political, institutional or environmental contextual details relevant to the project's stated intentions. Can include a map of the intervention locations.</p> <p>The section should identify any specific external challenges faced by the project (eg conflict, natural disaster, political upheaval etc). (1 page)</p>
B. Objectives and components	<p>Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised). A brief description of how the project structure delivers against the project's results framework (eg stated purpose of components; role of management components). (1 page)</p>
C. Stakeholders ³⁹	<p>Description of groups of targeted stakeholders organised according to relevant common characteristics such as: interest/influence; roles/responsibilities or contributions/benefits etc. Key change agents should be identified and due attention given to gender and under-represented/marginalised groups. (½ page)</p>
D. Project implementation structure and partners	<p>A description of the implementation structure with diagram (implementing and executing agencies) and a list of key project partners, including their role in project delivery and performance (½ page narrative + table/diagram)</p>
E. Changes in design during implementation	<p>Any key events that affected the project's scope or parameters should be described in brief in chronological order, including: costed/no-cost extensions; formal revisions to the project's results; additional funding and when it was secured etc. (½ page)</p>
F. Project financing	<p>Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing should be provided. <i>(template available)</i></p>
IV. Theory of Change	
Reconstructed Theory of Change of the project	<p>A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the <i>TOC at Review</i>⁴⁰. This can be presented as a two-column table.</p>

³⁹ Evaluation Office of UNEP identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners; government officials and duty bearers (eg national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (eg households, tradespeople, disadvantaged groups, members of civil society etc).

⁴⁰ During the Inception Phase of the review process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the review process this TOC is revised based on changes made during project intervention and becomes the *TOC at Review*.

	The TOC at Review should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. The insights gained by preparing the TOC at Review should be identified (e.g. gaps or disconnects in the project's logic that were identified; added value or UNEP comparative advantages that were highlighted; lessons in project design that became apparent etc) (3 pages + diagram)
IV. Review Findings	
Refer to the TOR for descriptions of the nature and scope of each criterion	This chapter is organized according to the evaluation criteria presented in the TORs and reflected in the evaluation ratings table. The Review Findings section provides a summative analysis of all triangulated data relevant to the parameters of the criteria. Review findings should be objective, relate to the review objectives/questions, be easily identifiable and clearly stated and supported by sufficient evidence. This is the main substantive section of the report and incorporates indicative evidence ⁴¹ as appropriate. "Factors Affecting Performance" should be discussed as appropriate in each of the evaluation criteria as cross-cutting issues (see section IV. I below). Ratings are provided at the end of the assessment of each evaluation criterion and the complete ratings table is included under the conclusions section (V. A) below.
A. Strategic Relevance	Integrated analysis of all dimensions evaluated under Strategic Relevance.
B. Quality of Project Design	Brief summary of the strength and weaknesses of the project design.
C. Nature of the External Context	Brief summary of any key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (eg conflict, natural disaster, political upheaval)
D. Effectiveness: i. Achievement of outputs ii. Achievement of direct outcomes iii. Likelihood of impact	Integrated analysis, guided by the causal pathway represented by the TOC at Review, of all evidence relating to the delivery of results. Change processes explained and the roles of key actors, as well as drivers and assumptions, should be explicitly discussed.
E. Financial Management	Integrated analysis of all dimensions evaluated under financial management: <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used and <i>communication</i> between financial and project management staff. The completed 'financial management' table should be included in this section (<i>template available</i>)
F. Efficiency	This section should contain a well-reasoned assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • 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. • The extent to which the management of the project minimised UNEP's environmental footprint.

⁴¹ This may include brief quotations, anecdotal experiences, project events or descriptive statistics from surveys etc. The anonymity of all respondents should be protected.

G. Monitoring and Reporting	<p>Integrated analysis of all dimensions evaluated under Monitoring and Reporting, including:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART indicators, resources for Mid Term Evaluation/Review, plans for collection of disaggregated data etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIRS and PIMS reporting; gender disaggregated data</i>)
H. Sustainability	<p>Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of those benefits achieved at the <u>project outcome level</u> are identified and discussion, including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability (<i>including issues of partnerships</i>)
I. Factors Affecting Performance	<p>These factors are not discussed in stand-alone sections but are integrated in criteria A-H as appropriate. A rating is given for each of these factors in the Evaluation Ratings Table.</p>
V. Conclusions and Recommendations	
A. Conclusions	<p>This section should summarize the main conclusions of the review following a logical sequence from cause to effect. The conclusions should highlight the main strengths and weaknesses of the project, preferably starting with the positive achievements and a short explanation of how these were achieved, and then moving to the less successful aspects of the project and explanations as to why they occurred. Answers to the key strategic review questions should be provided.</p> <p>Conclusion section should have a table summarizing the findings of the following questions:</p> <ol style="list-style-type: none"> a) What is the performance at the project’s mid-point against Core Indicator Targets? b) What has been the progress, challenges and outcomes regarding engagement of stakeholders in the project/program? c) What has been the progress, challenges and outcomes regarding gender-responsive measures and any intermediate gender result areas? d) What has been the experience at the project’s mid-point against the Safeguards Plan submitted at CEO Approval? e) What has been the progress, challenges and outcomes regarding the implementation of the project's Knowledge Management Approach, including: Knowledge and Learning Deliverables <p>All conclusions should be supported with evidence that has been presented in the evaluation report and can be cross-referenced to the main text using paragraph numbering. The conclusions section should end with the overall assessment of the project, followed by the ratings table.</p> <p>The conclusions section should not be a repeat of the Executive Summary, but focuses on the main findings in a compelling story line that provides both evidence and explanations of the project’s results and impact. (Max 2 pages)</p>
B. Lessons Learned	<p>Lessons learned should be anchored in the conclusions of the review, with cross-referencing to appropriate paragraphs in the evaluation report where possible.</p> <p>Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated in similar contexts. Alternatively, they can be derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the</p>

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

Important note on report formatting and layout

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

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

ANNEX VII. QUALITY ASSESSMENT OF THE REVIEW REPORT

Evaluation office to insert