United Nations Environment Programme

Terminal Review of the UNEP/GEF Enabling Activity 9185 - Development of Minamata Initial Assessment in Botswana, Eswatini, Lesotho, Namibia (MIA Africa IV)

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List of Acronyms and Abbreviations

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

Project Identification Table

Executing Agency:	The Africa Institute of South Africa in close coordination with Governments of project participating countries		
Sub-programme:	Chemicals and Wastes	**Expected Accomplishment(s):**	PoW 2016-2017 - Subprogramme 5 chemicals and waste - EA (a) countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements".
UN Environment approval date:	16/11/2015	**Programme of Work Output(s):**	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
GEF project ID:	9185	**Project type:**	EA
GEF Operational Programme #:	2	**Focal Area(s):**	C&W
GEF approval date:	02/09/2015	**GEF Strategic Priority:**	Mercury
***Expected* start date:**	November 2015	**Actual start date:**	30/03/2016
***Planned* completion date:**	November 2017	**Actual completion date:**	30 June 2021 (end of PCA)
***Planned* project budget at approval:**	$861,000	**Actual total expenditures reported as of March 20:**	$679,636
GEF grant allocation:	$800,000	**GEF grant expenditures reported as of March 20:**	$679,636

Project Preparation Grant - GEF financing:	n/a	**Project Preparation Grant - co-financing:**	n/a	
***Expected* Medium-Size Project/Full-Size Project co-financing:**	n/a	**Secured Medium-Size Project/Full-Size Project co-financing:**	n/a	
First disbursement:	30/03/2016	**Date of financial closure:**	31 December 2021 (6 months after end of PCA)	
No. of revisions:	2	**Date of last revision:**	16/04/2020	
No. of Steering Committee meetings:	n/a	**Date of last/next Steering Committee meeting:**	Last: n/a	Next: n/a
Mid-term Review/ Evaluation *(planned date):*	n/a	**Mid-term Review/ Evaluation (actual date):**	n/a	
Terminal Review *(planned date):*	Q3 2020	**Terminal Review (actual date):**	Q1 2020	
Coverage - Country(ies):	Botswana, Eswatini, Lesotho, Namibia	**Coverage - Region(s):**	Africa	
Dates of previous project phases:	n/a	**Status of future project phases:**	n/a	

Executive Summary

This report presents the results of the terminal review of the enabling activity entitled “Development of Minamata Initial Assessment in Botswana, Eswatini, Lesotho and Namibia”, executed by the Africa Institute between 2015 and 2021 with a UNEP/GEF budget of $800,000 and $61,000 in co-financing from the Africa Institute. This project is aimed at building national capacity to meet reporting and other obligations under the Convention. To identify available data and to conduct an inventory of mercury emissions and releases, a core component of the MIA, is therefore an appropriate solution for all four countries. In addition, at the time of the terminal review, all 4 countries have acceded to the Minamata Convention (Lesotho acceded prior to the project and Botswana, Eswatini and Namibia during the project), meaning they accepted to be a party of the Convention and it is equivalent to ratification.

The project objective was to facilitate the ratification and early implementation of the Minamata Convention (MC) by the use of scientific and technical knowledge and tools by national stakeholders in

Botswana, Eswatini, Lesotho and Namibia. It was based around six core components: establishing a national coordination mechanism, assessment of national infrastructure and capacity to manage mercury including legislation, the development of a mercury inventory as per the UNEP toolkit to identify sources of emissions and release but also contaminated sites, the identification of gaps and challenges, the preparation and dissemination of the final MIA report and awareness raising materials, and regional exchange and knowledge generation.

The terminal review analysed project documentation, including original assessment reports, and carried out interviews via Skype with stakeholders in Botswana, Eswatini, Lesotho and Namibia as well as written questionnaires for stakeholders that were available by written form only. The executing agency and all national project coordinators were reached (3 out of 4 coordinator are female). National project coordinators were asked to reach out to national steering committee members and solicit their feedback on the questionnaire, however, none were received.

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

Criterion	**Rating**	**Page in report**
Strategic Relevance	**HS**	**18**
1. National and regional priorities	HS	16
2. UNEP mandate and policies	HS	17
3. The GEF's strategic objectives	HS	18
Quality of Project Design	**S**	**18**
Effectiveness	**S**	**19**
1. Achievement of outputs	**S**	19
2. Achievement of outcomes	S	21
3. Likelihood of impact	S	22
4. Attainment of results	S	22
Efficiency	**MS**	**23**
Financial Management	**S**	**23**
Monitoring and Reporting	**S**	**23**
Sustainability	**S**	**24**
1. Socio-political sustainability	S	24
2. Financial sustainability	S	24
3. Institutional sustainability	S	24
Factors and Processes Affecting Performance	**MS**	**24**
1. Project implementation and management	MS	24
2. Stakeholder participation and cooperation	S	25
3. Country ownership and driven-ness	MS	25
4. Communication and public awareness	MS	25
Overall Project Rating	**S**	

At the time of terminal review, which initiated in May 2020, the final regional workshop was planned for early 2021 (virtual). However, due to the COVID19 global pandemic, the executing agency and the

countries faced difficulties in its organization. Although the workshop was not conducted at the time of review, the lessons learned, challenges encountered and improvements to be made from all four countries were shared through interviews and questionnaires developed by the evaluator. Therefore, this arrangement and timing do not impact the results of the review.

Conclusions

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

Conclusion 1: Without the MIA project, it would be impossible for Botswana, Eswatini, Lesotho and Namibia to take data-based informative decisions towards the implementation of the Minamata Convention

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

Conclusion 3: All four countries showed significant engagement and driven-ness toward implementing the Convention, however, administrative procedures and structural set up within the national ministries have caused some delays on the project

Conclusion 4: The regional aspect of the project provided an opportunity for countries to learn from each other, however, also impacted project progress as it created more bureaucratic procedures (document processing time and organizational procedures at different Ministries in different countries)

Conclusion 5: Countries had different paces in terms of executing project activities, so coordinating and organizing regional activities faced delays and created long waiting time

Conclusion 6: Selection of the national focal point for the project is an essential element to project success

Conclusion 7: All project countries used existing mechanisms to address mercury management

Conclusion 8: The executing agency recruited consultants for Lesotho (at the country request) but was not able to control and oversee the consultant recruitment process for the other countries, therefore, activities in Botswana, Eswatini and Namibia were delayed

Conclusion 9: Insufficient budget was available for actual awareness raising activities in all countries. Awareness raising activities were included as part of component 5 in the approved project document, however, only a strategy was developed for each country.

Lessons Learned

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

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

Lesson 3: Education, training and awareness raising need to be sector specific and in some cases, made informal depending on the sector

Lesson 4: Countries need to introduce incentives to organizations that are working towards initiatives and technologies that reduce or eliminate mercury

Lesson 5: Strong legislations need to be in place to effectively manage and control mercury pollution

Recommendations

Recommendation 1: Work with the UNEP Global Mercury Partnership (GMP) in the future
Recommendation 2: Socio-economic and sex-disaggregated data needs to be collected
Recommendation 3: Continue to involve non-governmental stakeholders in the management of mercury and other hazardous substances in country
Recommendation 4: Work with regional and international partners more frequently to benefit from their experience
Recommendation 5: Hire and work with a gender consultant in the future for chemicals management
Recommendation 6: A dedicated national project coordinator is needed to ensure that project activities are conducted in a timely and effective manner; minimize the use of consultants who will leave after project ends and maximize capacity building of Ministry staff for sustainability
Recommendation 7: In order to improve data collection, harmonization of chemicals nomenclature by various government institutions is needed
Recommendation 8: The executing agency should evaluate the capacity of the beneficiary country at the start of the project to decide whether the country should recruit on their own to ensure project remains on track
Recommendation 9: Awareness raising at the public/general level should be recognized as an important part of any technical assistance project and be carried out as planned.

Introduction

This report presents the terminal review of the enabling activity entitled "Development of Minamata Initial Assessment in Botswana, Eswatini, Lesotho and Namibia" (or MIA Africa IV from hereafter). The objective of the project is to facilitate the ratification and early implementation of the Minamata Convention by the use of scientific and technical knowledge and tools by the Governments of Botswana, Eswatini, Lesotho, and Namibia. All four countries have acceded to the Convention at the time of the terminal review. This regional project was approved in September 2015, with a planned duration of 24 months, from reception of the first payment in March 2016. The project was extended two times (April 2019 and April 2020) with the current end date of 30 June 2021.

The Kingdom of Lesotho has completed and submitted the final project report. Namibia submitted their final report which was subsequently reviewed by both the Executing Agency and international reviewer. The outcomes of these reviews recommended some additional work to get the report to the acceptable level. A series of interventions meant to guide Namibia to bring the report to the acceptable level did not yield desired results. It was then decided to bring on board an experienced consultant to assist in this respect. The consultant has been contracted and a revised version is complete. Namibia is preparing the report for submission to the Minamata Secretariat. The Kingdom of Eswatini has completed their final MIA report which was also validated. Eswatini is still incorporated the comments and inputs generated through expert review. Botswana appointed the services of the national consultant to complete components 4 and 5 activities of the project. The consultant has completed the work and a revised report based on expert review has been submitted back to UNEP for further comments.

The project was implemented by the United Nations Environment Programme, with funding from the Global Environment Facility (GEF) and executed by the Africa Institute. As of April 2020, roughly 85% ($682,919) of the total ($800,000) UNEP/GEF budget had been disbursed. The remaining funds will be

used mainly to complete the MIA reports in Botswana and Eswatini, organize a final regional workshop, draft a final report and conduct a project audit.

The Review

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

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

The evaluator was able to reach all national project coordinators from each country and a few key stakeholders throughout the review period, consulting them as necessary throughout the process. Travel to any project countries was not possible due to timing and the COVID-19 pandemic, most interviews were carried out online, while stakeholders who were not reachable in person filled out a review questionnaire.

The questionnaire, along with the interviews and a desk review of the project documentation were the main methods of determining the project's results. The project's performance was assessed in terms of its relevance, effectiveness and efficiency, as well as its actual and potential outcomes and impacts, and their sustainability. This also included a likelihood of impact assessment, identifying intended and unintended effects; as well as assessing the potential for replication, up-scaling and continuation of the project (or similar projects in the region). Then the factors and processes affecting project performance were assessed, relating to preparation and readiness, quality of management and supervision, stakeholder participation, public awareness, country ownership and responsiveness to human rights and gender equity. Finally, the project financing and the monitoring and review systems were evaluated. All findings in this report are based on referenced evidence, and the sources were crossed to the extent possible, while the logic behind the evaluator's judgement is explained when necessary.

The Project

Context:

COUNTRY STATUS BEFORE THE PROJECT

Botswana ratified the Minamata Convention in June 2016. The country has very limited gold mining taking place within its territory as most of the mining is related to diamonds. Nevertheless, Botswana has always participated in the South African gold mining industry as labor reserve so the country is exposed to ASGM activities that are taking place in neighboring South Africa. Botswana has a broad range of mercury added products that are listed under Annex A of the Convention. They range from mercury containing batteries to cosmetics, dental amalgam and lighting devices.

There are significant gaps in regulatory regimes of hazardous substances and wastes in Botswana. The absence of local and comprehensive rules that address accident prevention, preparedness and response. The country does not yet have a comprehensive chemicals framework law. The chemicals are addressed in fragmented pieces of legislation that are implemented by various government departments and Ministries.

There is also varying levels of understanding on the dangers of exposure to mercury among stakeholders. Routes of exposure include mismanagement of articles containing mercury at domestic level. Some cultural activities encourage the use of mercury such as in infants for administration of medicines containing mercury for treatment of ailments. There is need to understand the extent of mercury prevalence in the country in order to develop strategies for its management.

The objective of undertaking the project on identifying sources and quantifying mercury from those sources is to reduce public exposure, especially the local communities, due to their lack of resources to combat the burden of diseases emanating from mercury exposure. Stakeholders for the project include health sector, local authorities, communities, coal combustion industries, mining industry, institutions of higher learning, waste management and pollution control sector.

Botswana is a party to the Basel, Rotterdam and Stockholm Conventions.

Lesotho acceded to the Minamata Convention on Mercury on the 12th November 2014. Lesotho has a long history with mercury, it is commonly found in informal traditional medicinal markets without traceability of sources. There are many speculations about its sources including informal markets obtained from school laboratories. Lesotho dos not have ASGM within its borders but thousands of Basotho men work in illegal ASGM industry in South Africa and it also involves illegal migration, violence and organized crime.

The Division of Pollution Control, in collaboration with the Division of Outreach and Education, have embarked on several awareness raising campaigns on mercury and the effects of mercury to human health and the environment as part of the Department of Environment's education and outreach program. Because of many superstitions associated with mercury in the country, the government and nongovernmental organizations need more aggressive public campaign methods. Efforts are needed to reach to illiterate rural populations.

Lesotho does not have legislation which is specific to the sound management of chemicals. Pieces of legislation either address only certain aspects of chemicals management e.g. the Environment Act 10 of 2008 and the Labour Code Order together with the Labour Code (Chemicals Safety) Regulations. A Draft Toxic and Hazardous Chemicals Legislation was developed in 2006. The Environment Act 10 of 2008 has scheduled Mercury compounds under the list of banned chemicals.

Lesotho is a party to the Stockholm Convention on Persistent Organic Pollutants. Under the Strategic Approach to International Chemicals Management (SAICM) Quick Start Program Trust Fund, Lesotho undertook activities to strengthen its capacity for a national SAICM Implementation and promote synergies among the Stockholm, Basel and Rotterdam Conventions within the country. The project involved the update of Lesotho's national chemicals management profile, development of a national SAICM capacity assessment and a national SAICM priority setting workshop.

Most of **Namibia**'s legislation on chemicals like mercury, is scattered and outdated. Public awareness is low and most of the relevant institutions are not fairly coordinated. As a result, it is practically difficult to allocate and share any form responsibilities in the management of chemicals, particularly mercury.

Mercury is used in several industrial processes (chlor alkali, plastics) and in products (thermometers, dental amalgam, batteries and light bulbs). It is also released through coal fired power plants; industrial boilers; municipal waste disposal sites; medical waste incinerators; metal processing facilities; etc. Unfortunately, there is no reliable data regarding the quantities of mercury generated in various processes in Namibia.

Regarding legal and institutional set-up, the Government of Namibia's Ministry of Environment and Tourism conducted a study on *Assessment of Legal and institutional Gaps in the Management of Chemicals* conducted in 2013. This was successfully realized with financial support from the Africa Institute on Sound Management of Hazardous Waste based in Pretoria, South Africa. Other recent assessments conducted in collaboration with the Africa Institute during the period 2010 and 2014 include the following:

- Inventory on Electronic and hazardous Waste;
- Waste Tyre Management;
- Use of Economic Instruments in the Management of Used Oil and Tyres; and
- Hazardous Waste Management Documentary.

Namibia has actively participated in the negotiations and drafting of the Minamata Convention. This enabled the country to be familiar with the current global issues on the implementation of the Minamata Convention at both national and international levels.

Eswatini has a strong national obligation to ensure that natural resources and environment are used sustainably for future generations to strive in a healthy environment. The country, which is also a Party to the main MEAs, has acceded to the Minamata Convention on Mercury. The mercury inventory estimates that consumer products and other intentional uses of mercury in the form of products and processes contributed significantly to mercury releases to land and waste, while waste incineration contributed to output to air. ASGM does exist in Eswatini and requires additional investigation.

There is currently no legislation in place that provides management of mercury and mercury compounds. Most of the legal frameworks that address elements of the Convention are under development. Inadequate infrastructure for sound management of mercury includes the lack of equipment for monitoring mercury emissions, laboratories analysis, handling and transportation of mercury, storage and disposal facilities. Since mercury use in Eswatini is based on imports from neighbouring countries, there is the need to focus on border control.

PROJECT INTERVENTIONS

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

All four countries needed assistance in building national capacity to implement the Minamata Convention including identification of sources and releases. The MIA project also aimed at reinforcing the National Coordination Mechanism on chemicals management to ensure coherences and avoid duplication of efforts.

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

The Africa Institute executed the project and also entered contractual agreements with each participating country to manage the national coordination mechanism.

The final regional workshop was planned virtually in early 2021 where challenges, opportunities and areas for improvement will be discussed.

Politically, all four countries have been stable throughout the project execution period, and communication with stakeholders was constant and uninterrupted. With the exception of Botswana, which changed the national coordinator two times during the project, causing some delays. The administrative and structural set up within the Ministries in the countries also caused some delays in the project.

Objective and components

The project's objective was the facilitation of ratification and early implementation of the MC, by the use of scientific and technical knowledge and tools by national stakeholders in Botswana, Eswatini, Lesotho and Namibia. The development of the MIA has six components stated below:

1. Determination of Coordination Mechanism and organisation of process
2. Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation
3. Development of a mercury inventory using the UNEP mercury toolkit and strategies to identify and assess mercury contaminated sites
4. Identification of challenges, needs and opportunities to implement the Minamata Convention
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results
6. Information exchange, capacity building and knowledge generation

At the time of terminal review, final drafts of MIAs were available from all four countries. Only Botswana and Eswatini require additional revisions. Therefore, the main deliverables of the project have been achieved.

Milestones/Key dates in project design and implementation

Project start date- Planned: November 2015; Actual: March 2016

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

Project completion date- Planned: November 2017; Anticipated: June 2021

Implementation arrangements:

UNEP acted as the UN implementation agency for the project, with financing from the GEF in accordance with Article 13 on the financial mechanism of the convention; included in the GEF V Focal Area Strategies document under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, specifically under outcome 3.1 to build country capacity to effectively manage mercury in priority sectors. Execution was undertaken by Africa Institute, whose responsibilities entailed managing the project activities and establishing technical and managerial teams to execute the different activities. It was required to provide UNEP with regular progress and financial reports.

Project financing

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

Project Components	GEF Financing original estimate/ actual disbursements (as of Dec 20)		Estimate/actual co-financing*	
	$	%	$	%
1.Determination of Coordination Mechanism and organisation of process	85,000/89,193	100%	0	NA
2.Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	130,000/133,169	100%	0	NA
3.Development of a mercury inventory using the UNEP mercury toolkit and strategies to identify and assess mercury contaminated sites	230,000/186,770	81%	0	NA
4. Identification of challenges, needs and opportunities to implement the Minamata Convention	80,000/81,000	100%	0	NA
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	158,650/106,405	67%	0	NA
6. Information exchange, capacity building and knowledge generation	13,650/7,560	55%	0	NA

6. Project management and supervision	72,700/75,976	100%	61,000/61,000	100%
7. Project monitoring and evaluation	30,000/2,846	10%	0	NA
Total project costs	800,000/682,919	85%	61,000/61,000	100%

Table 2. Co-financing, by source and type of funding

Name of co-financer (source)	Classification	Type	Planned Contribution ($)	Actual Contribution ($)
Africa Institute	CSO	In-kind	61,000	61,000
Total co-financing			61,000	61,000

The Project Cooperation Agreement (PCA) between UNEP and the Africa Institute will remain in force until 30 June 2021.

Project Partners:

The key project partners were:

- The Africa Institute as the executing agency
- UNEP as the implementing agency
- The GEF as a financing partner
- Ministries of Environment from Botswana, Eswatini, Lesotho and Namibia as the secretariat of the national executing team

Changes in Design during Implementation

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

Theory of Change of the Project

A reconstructed Theory of Change (ToC, as per Figure1 below) was prepared based on project documentation and reviewed with project staff during the review process. It demonstrates the logical sequence of intended results from immediate outputs and intended outcomes, feeding into the long term impact.

Because of the small scale of this project, there is one major pathway of outcomes to impact identified, along with one intermediate state.

Impact pathway 1 - Data Collection and Establishment of Baseline Institutional Framework: From outcomes to project objective. The fulfilment of the project objective requires the success of the main outcome, and outcome is linked to the outputs in a causal/continuous sequential logic: In order for Botswana, Eswatini, Lesotho and Namibia to be able to ratify the Minamata Convention, they should first assess and enhance its existing information and structure, then they should have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities. These two outputs provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit, and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and

the institutional and regulatory gaps. Subsequently, preparation and validation of MIA reports are completed and information sharing/awareness raising events can be conducted concurrently.

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

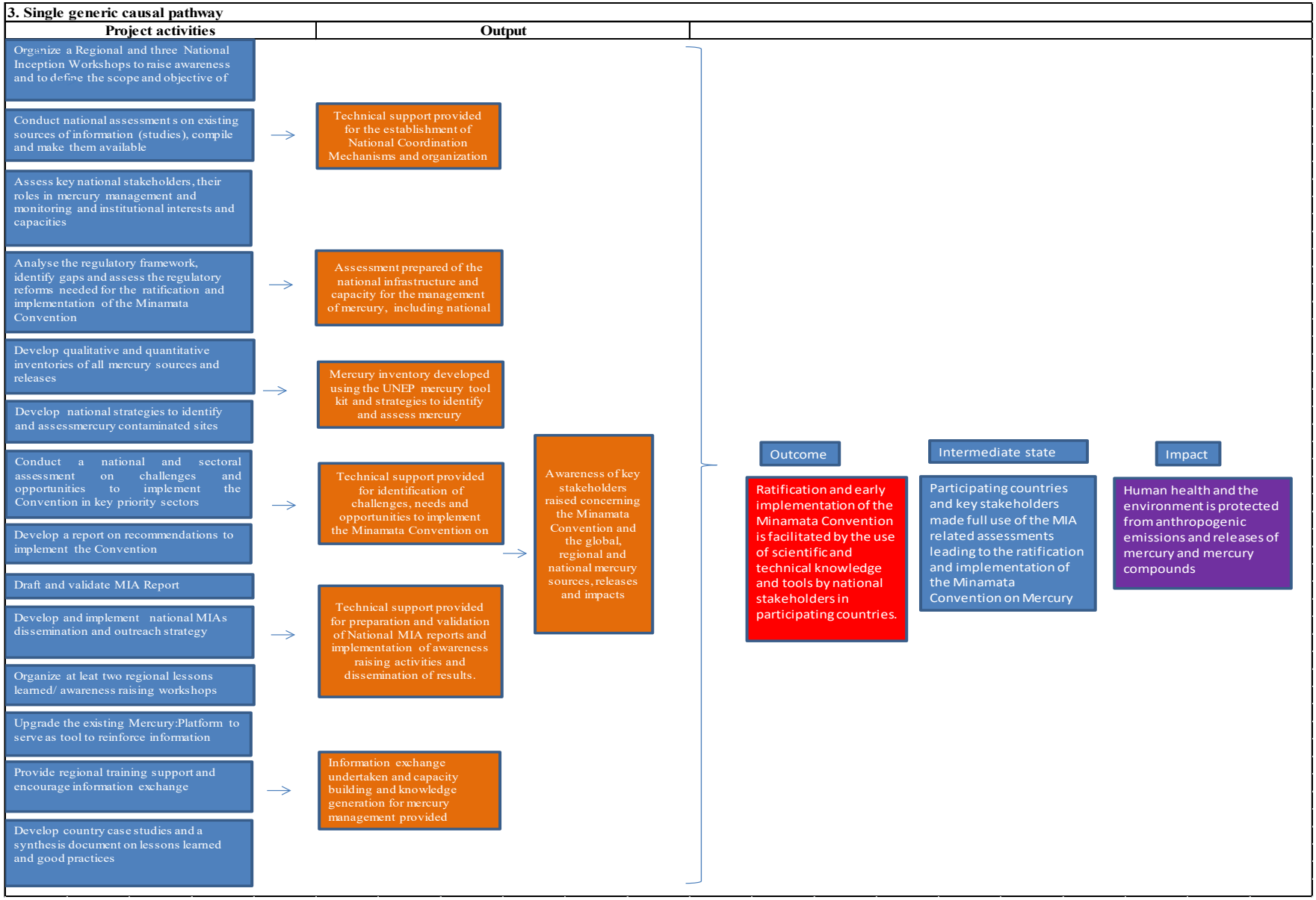


Figure 1: Theory of Change (re-constructed)

Review Findings:

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

Strategic relevance:

National and regional priorities after the MIA assessment:

Botswana: In its MIA implementation plan, the priority guiding principles for Botswana are:

- Restrict importation of mercury and mercury added products. There are currently no restrictions on the importation of mercury and mercury added products;

- Facilitate the phase down of dental amalgams. Dental amalgam continues to be imported mainly in capsular and used in dental procedures therefore, discouragement of amalgam use should be developed to avoid release;

- Implement emission control measures for coal fired power plants. Botswana depends on coal fired power plants from electricity. Therefore it is vital to reduce emissions by using BAT and BEP;

- Control and manage mercury wastes. The mercury added products have been discarded not in an environmentally sound manner. There are very few facilities that have the means to ensure mercury waste is managed based on the provision of the Basel Convention. Often mercury wastes are mixed with other wastes;

- Improve health care aspects associated to mercury poisoning. There is no specific policy in Botswana that address mercury exposure or its implication to human health. Therefore it is important to protect the population, especially vulnerable populations, from mercury exposure through adoption of science based health guidelines; and

- Raise awareness among population as mercury and its associated risks are not well known in Botswana.

Eswatini: Eswatini is a dualistic state, so the country needs to domesticate the Minamata Convention in order to implement its provisions. Without domestic laws, implementation will be challenging. Many Ministries will need to revise their legislation in order to accommodate the provisions of the Minamata Convention. Effective implementation depends on the availability of financial resources, it is therefore important to align the requirements of the Convention with government priorities (National Development Strategy, Poverty Reduction Strategy, etc).

Eswatini has identified two priority sectors, one on mercury added products and the other is ASGM. Measures have to be in place to phase out importation of mercury into Eswatini. A cost benefit analysis shall be carried out for transitioning from mercury added products to mercury free alternatives, including the availability of such alternatives. Proper labelling to identify mercury containing products is a major challenge. For ASGM, a national action plan is needed.

The awareness raising strategy developed under the assessment will have to be rolled out without delay to serve as a catalyst for the early implementation of the Convention. Traditional healers and rural communities where the practice of ingesting mercury for medicinal and cultural beliefs should be given special attention in the awareness campaign.

Lesotho: From the assessment, Lesotho has determined that mercury implementation plan must be broad and all inclusive. It needs to transcend various divides of society and a strong commitment at the political, institutional and personal levels. The government has moved in the right direction by ratifying the Convention, more commitment and political support will be required going forward. The government also needs to allocate financial resources to implement activities, including awareness raising. Minamata Convention and other MEAs should be mainstreamed into government programming. Relevant personnel and stakeholders will have to be capacitated to ensure effective implementation.

The priorities target groups for Lesotho include: a) pregnant women and ingestion of mercury in country, and b) men involved in illegal ASGM industry in South Africa. Associated priority actions include: 1) amend the Toxic and Hazardous Chemicals Control and Management Bill 2015 to cover aspects of mercury, 2) promulgate the Toxic and Hazardous Chemicals Control and Management Bill 2015 into law, 3) establish a national working committee between the Ministries of government and health to address the issue of pregnant women, 4) establish a national working committee between the Ministries of Environment and Labour to address the issue of ASGM, 5) develop and implement a comprehensive national awareness campaign, and 6) phase out the importation and sale of mercury added products.

Namibia: From the assessment, Namibia identified 4 priorities for action for national implementation: a) institutional strengthening, b) awareness raising to vulnerable communities (ASGM, fishers, women and girls), c) develop and implement a comprehensive national awareness campaign, and d) phase out the importation and sale of mercury added products in the country.

The assessment also yielded results in the form of a list of stakeholders and their roles in the use and control of mercury; assessment of the relevance and effectiveness of the current Namibian legislation in addressing mercury related issues, identification of affected and vulnerable communities, road map for implementation and actions points for the country to successfully implement the Convention.

Namibia recognizes and recommends the following next steps: 1) reform existing legislation to cater for mercury emissions and wastes, production and trading of mercury containing products, 2) early implementation emphasizing awareness creation, capacity development, legislation reform, development of mercury control strategy, and provision of resources for mercury reduction initiatives.

UNEP's mandate and policies

When the project was designed, it contributed to sub-programme 5: Chemicals and Waste, as it is a step towards "Work under the sub-programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury", identified in the UNEP's Proposed Biennial Programme of Work 2016-2017. The project also contributed to the UNEP Medium Term Strategy 2014-2017, under the harmful substances area and the Chemicals and Waste sub-programme. It is in line with the strategy, as it increases the country's capacity to manage chemicals and waste, and increases

collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project perfectly relevant and in line with UNEP mandate.

The GEF's Strategic Objectives

Mercury is a priority chemical under the chemicals and waste focal area strategy under both GEF V and GEF VI: under GEF V, it is addressed as a part of the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors; while under GEF VI, it is addressed as a part of the Chemicals and Waste Focal Area Strategy, CW1, program 2: Support enabling activities and promote their integration into national budgets, planning processes, national and sector policies and actions and global monitoring. It details the funding mechanism, also identified by the MC under Article 13. The outcomes of the project are crosscutting and contribute to fulfilling other CW objectives under GEF VI.

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

Rating for strategic relevance: Highly satisfactory.

Quality of project design:

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

The strengths of the design are the strategic relevance, the governance and supervision arrangements, the logical framework and the financial planning, which were rated highly satisfactory, also the risk identification and social safeguards are rated satisfactory. The strategic relevance places the project in the context of the GEF and UNEP's priorities and programmes of work, giving it the context and coherence needed for sound implementation. The governance and supervision arrangements are clearly identified, sharing and defining stakeholder roles and responsibilities in an appropriate manner that combine efficiency, stakeholder engagement, synergies and sound means of verification, to encourage sound implementation.

The financial planning is sound and does not display any major deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project with one exception on awareness raising. Although awareness raising strategies were developed for each country, there was no sufficient funding allocated for actual national awareness raising activities therefore no materials were produced at the end of the project. Although financial mechanisms of the project at the design stage are in general well prepared, reasonable and transparent, contributing to its overall success, the sustainability part of the project could be improved through more awareness raising at all levels in countries.

Moreover, even though the project document does include a cookie-cutter Theory of Change, based on the one developed for the first MIA EA, the project includes a thorough and project-specific risk identification table, comprised of the risk identified, a ranking (high risk, medium risk or low risk), and mitigation measures. However, the project does not include a list of assumptions at project design.

However this did not impact the overall preparedness of the project, as well as ensuring its effectiveness.

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

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

Rating for quality of project design: Satisfactory.

Effectiveness

Achievement of outputs

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

i. National capacity and infrastructure assessment:

The detailed MIA report from Lesotho was submitted in July 2019 in English. The quality of the report is highly satisfactory. The MIA report was reviewed by an expert recruited by UNEP. The reports contained well-rounded analysis, and it establishes a baseline for the national infrastructure, complemented by details on priorities while identifying the problems that need to be addressed. The legislation assessment is also satisfactory in quality.

MIA report from Namibia is in the processing of finalization after being reviewed by an expert recruited by UNEP.

MIA report from Eswatini is currently under the review of an UNEP expert.

MIA report from Botswana is being validated by national stakeholders.

ii. Mercury inventory as per the UNEP Toolkit:

The inventories in all countries were carried out to level 2 as per the UNEP inventory. The inventories are complete, and its review was carried out by Africa Institute. This is the main scientific output of the

MIA, as it identifies emissions and releases, stocks and contaminated areas as per the indices. This was delivered in time and provides significant insight into the country's needs. The inventory has been reviewed and commented independently by another consultant. Therefore its completion and timely delivery are the only factors that can be rated by the evaluator.

iii. MIA report:

The report is the final deliverable and is a compilation of the above outputs. The final drafts (Botswana, Namibia and Eswatini) are forthcoming (finalization during the first quarter of 2021) and final MIA (Lesotho) was delivered with satisfactory quality and has already been submitted to the Minamata Secretariat. All reports and draft reports include necessary chapters at the time of terminal review. This report is the baseline necessary for the elaboration of the implementation plan and for taking the following steps.

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

iv. Awareness raising materials:

For Botswana, an awareness plan was developed that included target groups for implementation, relevant NGOs that infuse mercury awareness in their programmes, revise and transformation of the national educational strategy to include mercury, stakeholders and their key messages for awareness in Botswana, and awareness raising tools usable in implementation. In addition, an analysis was conducted to identify potential barriers in dissemination of information and their mitigations. No concrete awareness raising activities were carried out at the time of terminal review, however, the national coordinator indicated that activities are planned for after April 2021, when COVID19 situation is more under control.

For Eswatini developed a 10 year awareness raising plan that will be rolled out with short, medium and long term objectives. The main strategy will be mainstreamed into existing programmes within key institutions. The strategic focus area is awareness raising education and information sharing. It has an action plan which is in a form of a matrix that is based on identified target groups. No concrete awareness raising activities were carried out during the project.

For Lesotho, an awareness raising plan/strategy was developed where lists of target groups and potential options for awareness raising were identified. The plan emphasizes the importance of record keeping and archiving. No concrete awareness raising activities were carried out during the project.

For Namibia, an awareness raising plan/strategy was developed where list of existing tools and required trainings were identified. No concrete awareness raising activities were carried out during the project.

The awareness raising component was not delivered as planned during project design, it could have been a major driver towards uptake of the outputs.

v. National Coordination Mechanism Committee:

For Botswana, the national project steering committee was an inter-ministerial group composed of Department of Waste Management and Pollution Control, hospital representatives, universities, dental association, Ministry of Agriculture, Power Corporation, Department of Occupation Health and Safety, Business association, Department of Health, City Council, Ministry of Health and Wellness, Metrological Services and Department of Environmental Affairs. It was a very well balanced committee composed of all types of organizations.

For Eswatini, the national project steering committee was an inter-ministerial group composed of Ministry of Environment, Ministry of Natural Resources and Energy, Assembly for non-governmental organizations, Ministry of Justice and Constitutional Affairs, universities, Ministry of Information, Communication and Technology, Police Service, Ministry of Economic Planning and Development, National Trust Commission, Ministry of Agriculture, Revenue Authority, and Deputy Prime Ministers Office on Gender and Family Issues. It does have a good balance between governmental and civil society and private stakeholders.

For Lesotho, the national project steering committee was an inter-ministerial group composed of Ministry of Health, Ministry of Trade and Industry, Ministry of Law and Constitutional Affairs and Human Rights, Ministry of Energy and Meteorology, Ministry of Employment and Labour, Ministry of Local Government, Ministry of Agriculture and Food Security, Ministry of Water, Ministry of Mining, Ministry of Education and Training, Lesotho Revenue Authority, Ministry of Development Planning, Ministry of Finance, Ministry of Police, private sector, trade union/workers unions, Medical and Dental association of Lesotho, Lesotho Medical, Dental and Pharmacy Council, Lesotho Traditional Medicine Practitioners' Association, and Lesotho Nursing Council. It was a well-balanced committee composed of all types of organizations.

For Namibia, the national steering committee were composed of Ministry of Environment and Tourism, Ministry of Regional and Local Government and Housing, Ministry of Fisheries and Marine Resources, Ministry of Mines and Energy, Ministry of trade and Industry, Ministry of Finance, Ministry of Health and Social Services, Ministry of Education, Ministry of Works ,Transport and Communication, Ministry of Labour, Ministry of Justice, National Planning Commission, Miner Associations and various unions representing different industries. It was also a well-balanced committee.

vi. Regional learning and knowledge generation:

The project hosted a regional inception and planned a regional closing workshop for the project. All four countries and participating partner agencies were present at the inception workshop. The overall feedback from the interview showed that they favor the regional aspects of the project and that it created numerous opportunities to learn from each other and even created an invisible form of competition among countries. However, it is also apparent that the regional aspects of the project have delayed project progress and also experience more bureaucratic procedures. There were no regional materials generated from the project besides the inception (and closing) workshop reports.

Achievement of Outcomes:

As per the ToC developed for the purpose of this review, there is one impact pathway for the scale of this project. This is identified as Impact Pathway 1 - Data Collection and Establishment of Baseline Institutional Framework and it can be read in Figure 1 as: From outcomes to project objective. The

fulfilment of the project objective requires the success of outcome, and outcome is linked to the outputs in a causal/continuous sequential logic: In order for the countries to be able to implement the Minamata Convention, it must first assess and enhance its existing information and structure, then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities. These two outputs provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UNEP Mercury Inventory Toolkit, and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps. Consequentially, at this stage, the project has reached the intermediate state at which all relevant stakeholders have the necessary information through the MIA report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and stop mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially leads to the implementation of the Minamata Convention, which directly supports the project's GEBs.

These outputs have all been achieved through the completion of the activities discussed in the section above. It can be concluded that the project has fulfilled both outputs and outcomes, and is therefore at the intermediate impact stage. All four countries have acceded the MC (Lesotho was prior and the rest during the project) and all national project coordinators emphasized that the MIA project facilitated the accession process tremendously.

Likelihood of Impact

The positive impacts of this project are as follows: Knowledge of the baseline situation in relation to mercury presence in the environment and mercury management strategies in the countries; awareness raising among stakeholders and policymakers about the situation but also about the MC; elaboration and dissemination of an action plan towards the implementation of the MC. All of these impacts are a direct result of the project outcomes discussed and highlighted in Figure 1 and in the above section.

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

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

As for replication, the project design is conducive to replication. Ideally, the design would be adjusted and adapted to the national characteristics of each country; however, keeping in mind the scoping mission nature of the project, it is only after the completion of the project and with enough data gathered that this can be achieved.

Attainment of objectives and planned results

The project findings and deliverables, in the form of the full MIA report and its executive summary, along with awareness raising strategies/materials, were made available to all relevant non-governmental counterparts. This has been confirmed from different feedback sources to the review in countries. Since there were very limited awareness raising activities in all 4 countries, assessing the quality of outreach was not possible. However, it can be concluded that the sensitization through the national steering committee was completed, as evident through the Ministries websites and the statements made at the validation workshop and progress reports.

Compliance of assumptions:

The Logical Framework of the project did not include any assumptions at the design stage, however, this did not impact project progress in countries. All four project countries have acceded to the convention at the time of the terminal review and priorities have been identified and implementation plans have been developed in countries.

Rating for effectiveness: Satisfactory

Efficiency

The project was able to achieve its projected outputs without any political or social challenges in countries. It utilized and strengthened the already existing National Coordination Mechanism Committees, and produced baseline data reports where there were none. There were delays in project delivery as it took more than 5 years, instead of 2 years to complete the project. Although there were challenges, the execution teams were responsive and receptive to feedback. Payments were disbursed, and delivery of outputs was successful from countries at various paces. The project was cost effective and there was no over or under spending, except the fact that remaining funds and time of the project were not sufficient to conduct awareness raising events in each country. Effective management privileged hiring local consults that have an appropriate understanding of the national condition of the environment and industry, and produced high quality assessment reports at a cost effective rate relative to international consultants. However, the national consultant recruitment processes in Botswana, Eswatini and Namibia took longer than expected, and some of them did not perform as well as anticipated. Therefore, the project had to spend additional funds in Namibia, for example, to recruit a regional expert to complete the drafting of the MIA.

Rating for efficiency: Moderately Satisfactory.

Financial Management

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

Co-financing provided by the Africa Institute has materialized as expected. As reported, it was also all spent according to the budget established in the design stage

There are no financial irregularities to be reported based on project documentation at the time of terminal review. A final audit is planned in Q2 of 2021 which will further confirm this assessment. Stakeholder feedback did not raise any issues relating to financial irregularities.

Rating for financial management: Satisfactory.

Monitoring and Reporting

The monitoring and reporting mechanism consisted of semi-annual progress reports submitted to the UNEP task manager, who gave regular feedback on these reports. This was carried out via email, Skype, or during UNEP staff missions to countries or to regional/international meetings where the government representatives were also present. Communication in person with all four countries did not experience difficulties, however, project progress in Botswana was slower than the other three countries that contributed to delay at the end of the project. Adaptive management had to be applied by the executing agency to move the project forward as the 4 countries were progressing at different paces. This is also the main reason why the project duration was 5, instead of 2 years.

All progress and financial reports are complete and accurate.

Rating for monitoring and reporting: Satisfactory.

Sustainability

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

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

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

At the time of terminal review, the government and relevant stakeholders in countries have shown sufficient commitment and engagement to safely predict that they will continue to show the same level of engagement in the future. The involvement of intergovernmental organisations is important for the

sustainability of the project and of the implementation of the MC. Countries will require the expertise and experience UNEP has to offer in order to strengthen its institutions and will especially need useful recommendations (whether experts, international consultants, examples of successful projects to model upon in the region, etc) from experienced partners for sustainability in the future.

Rating for sustainability: Satisfactory.

Factors and processes affecting project performance

Project implementation and management

The project has not been carried out as planned, therefore, the 24-month timeline was not met. It can be therefore concluded that it was not managed effectively to the full extent, with reported communication issues between UNEP-AI and AI-countries. Since 2017, the execution team at AI was responsive and receptive to feedback. The inventory was carried out using the toolkit at Level 2, and provided an essential update to the inventory, and engaged local academic institutions that benefited from this experience. There were no reported constrains or problems of political or operational/institutional nature that influenced the running of the project in countries.

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

Rating for project implementation and management: Moderately satisfactory.

Stakeholder participation, cooperation and partnerships

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

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

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

Rating for stakeholder participation, cooperation and partnerships: Satisfactory.

Country ownership and driven-ness

Countries displayed sufficient levels of ownership, however, as discussed above, it cannot continue to sustain its implementation efforts without the support of UNEP and the GEF. Botswana did experience the most delay as compared to the other three countries, however, they have shown driven-ness and ownership through project activities.

Rating for country ownership and driven-ness: Moderately satisfactory.

Communication and public awareness

In Botswana, an awareness raising strategy was developed with clear objective, target groups, tools available and planned activities.

In Eswatini, a 10 year awareness raising strategy was developed with short, medium and long term objectives. The strategy is designed to mainstream into existing programmes within key institutions. Although no concrete activities were carried out through the project, a matrix including costs, timelines and indicators of success of each action item is already developed.

In Lesotho, various awareness raising methods, opportunities, barriers and recommended solutions were proposed in the MIA, however, no concrete activities were carried out during the project.

In Namibia, potential target platform for dissemination and content to be disseminated were listed as part of the MIA report. Essentially, only a strategy was developed for awareness raising and communication.

In sum, at the time of terminal review, since no concrete awareness raising activities were conducted during the project in any of the countries, no materials were produced.

At the regional level, one of the reasons why the project was extended to June 2021 is to allow time for implementation of a communication and dissemination campaign when all four countries have finalized their reports.

Rating for communication and public awareness: Moderately Satisfactory.

Conclusions, Lessons Learned and Recommendations

Conclusions

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

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

Conclusion 3: All four countries showed engagement and driven-ness towards implementing the Convention; however, administrative procedures and structural set up within the national ministries have caused some delays on the project. The quality of the MIA reports showed the countries commitment on implementing the Convention. The national steering committees were also engaged and committed throughout the project. National Project Coordinators were not full time on the project and also shared different responsibilities within the Ministries related to Minamata Convention, therefore, administrative issues occurred frequently and additional time was needed at the national level to move the project forward.

Conclusion 4: The regional aspect of the project provided an opportunity for countries to learn from each other, however, also impacted project progress as it created more bureaucratic procedures. Most of the stakeholders interviewed were in favour of the regional aspects of the project, however, there were also mentions of delays in one country could impact the project as a whole. In addition, by having three countries in one project adds more layers of bureaucratic and approval processes which the project has to endure during execution.

Conclusion 5: Countries had different paces in terms of executing project activities, so coordinating and organizing regional activities faced delays and created long waiting time. Lesotho expressed concerns that they completed the MIA report earlier than the other three countries and by the time all MIA reports are completed (expected in 2021), their report would be out-dated.

Conclusion 6: Selection of the national focal point for the project is an essential element to project success. National project coordinators play an extremely important role to move the project forward at the national level, especially for a project like MIA where data collection and analysis are needed. Therefore, the selection and qualification of the coordinators need careful consideration at the beginning of the project.

Conclusion 7: All project countries used existing mechanisms to address mercury management. This was an excellent decision from all four governments as it provides continuity, institutional knowledge and less resources to address chemicals management in country. It can also build on past experiences and improve as capacities increase.

Conclusion 8: The executing agency recruited consultants for Lesotho (at the country request) but was not able to control and oversee the consultant recruitment process for the other countries, therefore, activities in Botwana, Eswatini and Namibia were delayed. The Africa Institute had the original intention to increase national capacity by giving the national ministries the authority to recruit consultants. However, 3 out of 4 project countries have demonstrated difficulties in the process and caused project delays and the executing agency was not able to intervene the process as the funds were already transferred to the countries.

Conclusion 9: Insufficient budget was available for awareness raising activities in all countries. This was expressed by the executing agency regarding awareness raising. While capacity building and

awareness raising were conducted at the national steering committee level, no public/general awareness were carried out in all 4 countries at the time of terminal review.

Lessons Learned

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

Lesson 2: Understanding the necessity of social, economic, and human assessments is imperative to chemicals management. While collecting scientific and empirical data on mercury releases and emissions is the core requirement in order to understand how badly the country is affected; it is equally as important to understand what social aspects relate to this. The human dimension is inevitable and should be considered as important as the environmental data.

Lesson 3: Education, training and awareness raising need to be sector specific and in some cases, made informal depending on the sector. Depending on the country context, education, training and awareness raising have to be designed differently.

Lesson 4: Countries need to introduce incentives to organizations that are working towards initiatives and technologies that reduce or eliminate mercury. For the next step, in order to carry out the implementation plan included in the MIAs, incentives (sometimes alternatives) have to be introduced to encourage further actions in reducing and eliminating mercury.

Lesson 5: Strong legislations need to be in place to effectively manage and control mercury pollution. It was clear from the legislative assessment that without proper regulations and legislations in place, it is not possible to effectively control and manage any chemicals. Therefore, this is the foundation and starting point for chemicals management, mercury included.

Recommendations

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

Recommendation 2: Socio-economic and sex-disaggregated data needs to be collected. This is mentioned in the MIA reports and should become a common practice when managing chemicals in general. Gender considerations were weak during the project as documentation of men vs. women in

national and regional steering committee meetings did not occur. A gender analysis should have been performed at the beginning of the project so appropriate activities and considerations could have taken place during project execution.

Recommendation 3: Continue to involve non-governmental stakeholders in the management of mercury and other hazardous substances in country. All concerned and affected stakeholders should be represented when making decisions on hazardous substances in any given country. In addition to the environmental and science fields, reaching out to academia in the sociology and economy areas will aid with integrating a socio-economic approach to chemicals management.

Recommendation 4: Work with regional and international partners more frequently to benefit from their experience. It is recommended that countries exchange information more often with regional and international counterparts that are carrying out or have completed their MIA projects. This experience can be invaluable to all parties, and can help make the implementation process seem less daunting. If travel is an issue, taking advantage of regional meetings organised by UNEP or other intergovernmental organisations to meet and exchange is recommended.

Recommendation 5: Hire and work with a gender consultant in the future for chemicals management. Gender considerations and mainstreaming activities are included in all final and final drafts of MIAs. It is recommended that a gender expert is consulted for further activities to ensure proper execution.

Recommendation 6: A dedicated national project coordinator is needed to ensure that project activities are conducted in a timely and effective manner. None of the 4 countries had one dedicated coordinator to the project and this resulted in significant delays in project activities. Suggestions should be made to governments to designate one person in charge of Minamata related projects to ensure maximum efficiency and effectiveness. In addition, the Ministry should minimize the use of consultants who will leave after project ends and maximize capacity building of Ministry staff for sustainability.

Recommendation 7: In order to improve data collection, harmonization of chemicals nomenclature by various government institutions is needed. This applies to all four countries. Communication among the technical staff on data collection should be carried out on a regular and organized manner, so national data on chemicals can be used and managed in the most effective settings.

Recommendation 8: The executing agency should evaluate the capacity of the beneficiary country at the start of the project to decide whether the country should recruit on their own to ensure project remains on track. The executing agency should also always ensure that they remain in control of all project activities as unforeseen situations do occur on the project. Beneficiary country capacity needs to be assessed on a case to case basis and reference from past chemical related projects should be investigated.

Recommendation 9: Awareness raising at the public/general level should be recognized as an important part of any technical assistance project and be carried out as planned. Awareness raising activities did not materialize during the project due to lack of funding, although it was supposed to occur

as part of component 5 of the project. Therefore, no materials were produced in any of the countries. Budget planning should be improved at the design stage and emphasized during the inception phase of the project and follow-up annually by both the executing and implementing agencies when work plans are discussed in detail.

Table 3. Summary of review ratings

Criterion	Rating	Page in report
Strategic Relevance	**HS**	**18**
1. National and regional priorities	HS	16
2. UNEP mandate and policies	HS	17
3. The GEF's strategic objectives	HS	18
Quality of Project Design	**S**	**18**
Effectiveness	**S**	**19**
1. Achievement of outputs	**S**	19
2. Achievement of outcomes	S	21
3. Likelihood of impact	S	22
4. Attainment of results	S	22
Efficience	**MS**	**23**
Financial Management	**S**	**23**
Monitoring and Reporting	**S**	**23**
Sustainability	**S**	**24**
1. Socio-political sustainability	S	24
2. Financial sustainability	S	24
3. Institutional sustainability	S	24
Factors and Processes Affecting Performance	**MS**	**24**
1. Project implementation and management	MS	24
2. Stakeholder participation and cooperation	S	25
3. Country ownership and driven-ness	MS	25
4. Communication and public awareness	MS	25
Overall Project Rating	**S**	

Annex 1. Stakeholder Questionnaire Template (example given for Eswatini)

1. In your opinion, has this project achieved its objective and directly contributed to an institutional change in the field of chemicals management in Eswatini? If so, please cite this change.
2. Eswatini acceded to the Minamata Convention during the project, do you think the project has contributed towards the accession?
3. Do you think the regional aspect of the project was helfpul? Pros and cons?
4. In your opinion, is the national coordination mechanism strong enough to continue working towards the elimination of mercury in Eswatini?

5. How would you evaluate the project in terms of effectiveness, efficiency, and time management?
6. Do you think the outputs for the project were realistic? What were the major challenges in Eswatini, if any, during execution? What were the main reasons for delays?
7. If you were to replicate this project, would you adopt a different management strategy? If so, be sure to specify what you would change.
8. In the long term, are there political or social obstacles that could affect the progress of the sound management of mercury in Eswatini?
9. In your opinion, has the project succeeded in sufficiently educating the population on the dangers of mercury? How effectivness was awareness raising and what materials were produced?
10. In your opinion, was there sufficient regular reporting and communication during the execution of the project (from UNEP and from national stakeholders)?
11. Were you satisfied with contribution from Africa Institute as the main executing agency? Global Mercury Partnership/expert review of the MIA? Were there any challenges?
12. Have you had problems or delays due to administrative or financial disbursement problems? If yes, please elaborate the above. Do you think the funds allocated to Eswatini were sufficient to carry out all activities?
13. Do you have any specific comments, experiences or stories to share? Impressions of the project, or advice on management? Please include them below.
14. Anything else you would like to share on lessons learned or other recommendations.

Annex 2: Terminal Evaluation Terms of Reference

Terminal Review of the UN Environment/Global Environment Facility project "Development of Minamata Initial Assessment"

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

Executing Agency:	The Africa Institute of South Africa in close coordination with Governments of project participating countries		
Sub-programme:	Chemicals and Wastes	**Expected Accomplishment(s):**	PoW 2016-2017 - Subprogramme 5 chemicals and waste - EA (a) countries increasingly have the necessary institutional

			capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements".
UN Environment approval date:	16/11/2015	**Programme of Work Output(s):**	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
GEF project ID:	9185	**Project type:**	EA
GEF Operational Programme #:	2	**Focal Area(s):**	C&W
GEF approval date:	02/09/2015	**GEF Strategic Priority:**	Mercury
***Expected* start date:**	November 2015	**Actual start date:**	30/03/2016
***Planned* completion date:**	November 2017	**Actual completion date:**	30 Sep 2019
***Planned* project budget at approval:**	$861,000	**Actual total expenditures reported as of Jun 19:**	$679,636
GEF grant allocation:	$800,000	**GEF grant expenditures reported as of Jun 19:**	$679,636
Project Preparation Grant - GEF financing:	n/a	**Project Preparation Grant - co-financing:**	n/a
***Expected* Medium-Size Project/Full-Size Project co-financing:**	n/a	**Secured Medium-Size Project/Full-Size Project co-financing:**	n/a
First disbursement:	30/03/2016	**Date of financial closure:**	30 Apr 2020
No. of revisions:	1	**Date of last revision:**	24/04/2019

No. of Steering Committee meetings:	n/a	**Date of last/next Steering Committee meeting:**	Last: n/a	Next: n/a
Mid-term Review/ Evaluation *(planned date):*	n/a	**Mid-term Review/ Evaluation (actual date):**	n/a	
Terminal Review *(planned date):*	Q1 2020	**Terminal Review (actual date):**	Q1 2020	
Coverage - Country(ies):	Botswana, Lesotho, Namibia, Eswatini	**Coverage - Region(s):**	Africa	
Dates of previous project phases:	n/a	**Status of future project phases:**	n/a	

2. Project rationale

1. The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention[1]. It identifies two entities that will function as the Financial Mechanism:

2. a) the Global Environment Facility Trust Fund (GEF); and

3. b) A Specific International Programme to support capacity-building and technical assistance.

4. The GEF has been strongly committed to support the ratification and further implementation of the Minamata Convention on Mercury since GEF-5 (2009-2013). The GEF-5 strategy contained a pilot program on mercury to accompany the negotiations of the Minamata Convention. An amount of $15 million was set aside in GEF-5 to fund projects aimed at reducing mercury use, emissions and exposure; improving data and scientific information at the national level and enhancing capacity for mercury storage; and address waste and contaminated sites[2]. The gap between signature at end of 2013 and the start of GEF-6 in 2014 was considered a crucial period for countries to determine the feasibility of accepting or ratifying the convention after signature. Accordingly, the GEF Council agreed to invest up to $10 million to help countries with initial assessments of the mercury situation in their countries.

In GEF-6 the GEF programmed additional $30 million for countries to develop Minamata Initial Assessments and ASGM Action Plans[3].

5. The GEF Secretariat in consultation with the Interim Secretariat of the Minamata Convention was tasked to develop initial guidelines for enabling activities and pre-ratification projects. The initial guidelines were presented as an information document at the 45th Council Meeting and revised by the Intergovernmental Negotiating Committee 6 (GEF/C.45/Inf.05/Rev.01). Main features of the Minamata Initial Assessments are a) assessment of national regulatory framework in the context of preparation for a decision whether to ratify; b) inventory of mercury emissions and releases; c) prepare to implement the obligations of the Minamata Convention on Mercury as soon as possible.

[1] Text of the global legally binding instrument on mercury agreed by the Intergovernmental Negotiating Committee on its 5th session in January 2013. The text was adopted and opened for signature at the Diplomatic Conference held in Minamata and Kumamoto, Japan in October 2013.
[2] Strategy for the pilot is presented in the document GEF/C.39/Inf.09
[3] UNEP/MC/COP.2/INF/3

6. None of the participating countries had signed the Minamata Convention by 09 October 2014 (UNEP(DTIE)/Hg/CONF/4), when it was opened for signature. The GEF Operational Focal Points of the participating countries endorsed the development of Minamata Initial Assessments in these countries with UNEP as Implementing Agency. The project was developed based on the guidelines for Minamata Initial Assessments, developed by the GEF Secretariat. The GEF Chief Executive Officer endorsed the project on 02 September 2015, as part of GEF's efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 "develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes"; program 2 "support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring".

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

7. The project was aimed at facilitating the ratification and early implementation of the Minamata Convention by providing key national stakeholders in participating countries with the scientific and technical knowledge and tools needed for that purpose. Lesotho acceded to the Convention on 12 November 2014; Botswana on 03 June 2016; Eswatini on 21 September 2016 and Namibia on 06 September 2019.

3. Project objectives and components

8. Objective:

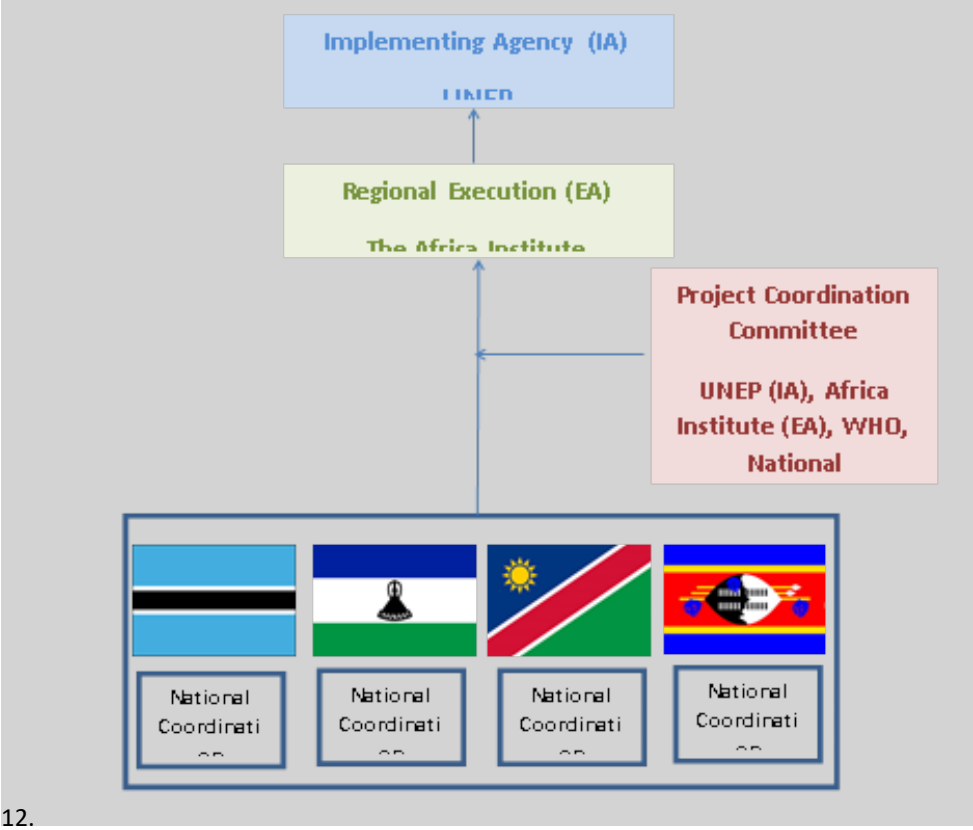
9. Ratification and early implementation of the Minamata Convention is facilitated by the scientific and technical knowledge and tools by national stakeholders in participating countries.

10. Components:

1. Establishment of Coordination Mechanism and organization of process
2. Assessment of the national infrastructure and capacity for the management of mercury, including national legislation
3. Development of a mercury inventory using the UNEP mercury tool kit and strategies to identify and assess mercury contaminated sites
4. Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury
5. Preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results
6. Information exchange, capacity building and knowledge generation

11.

4. Executing Arrangements



12.

5. Project Cost and Financing

13. Component	14. Original budget	15. Revised budget	16. Expenditure as of 30 Jun 2019
17. Component 1	18. $85,000	19. $89,193	20. $89,193
21. Component 2	22. $130,000	23. $131,000	24. $131,000
25. Component 3	26. $230,000	27. $209,815	28. $186,770
29. Component 4	30. $80,000	31. $81,000	32. $81,000
33. Component 5	34. $158,650	35. $155,342	36. $106,405
37. Component 6	38. $13,650	39. $13,650	40. $7,560
41. Project Management	42. $72,700	43. $80,000	44. $75,976
45. M&E	46. $30,000	47. $40,000	48. $1,732
49. Total	50. $800,000	51. $800,000	52. $679,636

6. Implementation Issues

53. Change of project manager at executing agency.

54.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

7. Key Evaluation principles

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

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

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

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

8. Objective of the Review

59. In line with the UN Environment Evaluation Policy[4] and the UN Environment Programme Manual[5], the Terminal Review (TR) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, Groundwork and all the national counterparts. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].

[4] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[5] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . *This manual is under revision.*

60.

9. Key Strategic Questions

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

- Has the project facilitated the accession of the countries to the Minamata Convention?
- Are the countries aware of their obligations under the Convention?
- Has component 6 delivered the expected outcomes in a cost-effective manner?
- Other strategic questions to be identified by the Project Manager.

10. Evaluation Criteria

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

A. Strategic Relevance

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

i. *Alignment to the UN Environment Medium Term Strategy[6] (MTS) and Programme of Work (POW)*

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

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

65. Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building[7] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

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

[6] 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.
[7] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

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

iv. *Complementarity with Existing Interventions*

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

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

B. Quality of Project Design

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

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

C. Nature of External Context

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

D. Effectiveness

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

i. Achievement of Outputs

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

74. *Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision[8].

ii. Achievement of Direct Outcomes

75. The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed[9] Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The review should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

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

77.

78.

iii. Likelihood of Impact

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

80. The review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.10

81. The review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication[11] as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the review will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals [12] and/or the high level results prioritised by the funding partner.

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

[9] 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.

[10] Further information on Environmental, Social and Economic Safeguards (ESES) can be found at http://www.unep.org/about/eses/

[11] *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.

[12] A list of relevant SDGs is available on the EO website www.unep.org/evaluation

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

E. Financial Management

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

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

F. Efficiency

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

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

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

89. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[13] indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal review should be discussed if applicable.

[13] SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

ii. Monitoring of Project Implementation

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

iii. Project Reporting

91. UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Projects funded by GEF have specific evaluation/review requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template[14]), which will be made available by the Task Manager. The review will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

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

H. Sustainability

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

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

iii. Institutional Sustainability

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

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

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

I. Factors and Processes Affecting Project Performance

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

i. Preparation and Readiness

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

ii. Quality of Project Implementation and Execution

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

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

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

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

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

v. Country Ownership and Driven-ness

105. The review will assess the quality and degree of engagement of government / public sector agencies in the project. The review will consider the involvement not only of those directly involved in project execution and those

participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.

vi. Communication and Public Awareness

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

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

107. 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.)

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

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

- Relevant background documentation, inter alia;
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: Inception workshop report, training report, Minamata Initial Assessments final documents for Botswana, Lesotho, Namibia and Eswatini, final meeting report

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

- UN Environment Task Manager (TM);
- Project management team;
- UN Environment Fund Management Officer (FMO);
- Sub-Programme Coordinator;
- Project partners, including, the Africa Institute of South Africa, UNITAR and national counterparts
- Relevant resource persons.

11. Review Deliverables and Review Procedures

109. The review team will prepare:

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

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

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

12. The Consultants' Team

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

113. The consultant will be hired for 3 months spread over the period 6 months and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 1 year of technical / evaluation experience, and using a Theory of Change approach; a broad understanding of the Minamata Convention along with excellent writing skills in English; and, where possible, knowledge of the UN system, specifically of the work of UN Environment.

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

115. Details of Evaluation Consultants' Team Roles can be found on the Evaluation Office of UN Environment website: www.unep.org/evaluation.

116. Schedule of the review

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

Table 3. Tentative schedule for the review

Milestone	Deadline
Inception Mission	15 Jan 2020
Inception Report	20 Jan 2020
Telephone interviews, surveys etc.	15 Feb 2020
PowerPoint/presentation on preliminary findings and recommendations	15 Mar 2020
Draft report to Task Manager	20 Mar 2020

Draft Review Report shared with UN Environment Project Manager and team	31 Mar 2020
Draft Review Report shared with wider group of stakeholders	15 Apr 2020
Final Review Report	15 May 2020
Final Review Report shared with all respondents	31 May 2020

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

The tools, templates and guidance notes listed in the table below, and available on the Evaluation Office website (www.unep.org/evaluation), 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.

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

Annex 2: Evaluation Ratings Table

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

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

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

Criterion *(section ratings A-I are formed by aggregating the ratings of their respective sub-categories, unless otherwise marked)*	**Summary Assessment**	**Rating**
A. Strategic Relevance		**HS → HU**
1. Alignment to MTS and POW		HS → HU
2. Alignment to UN Environment /GEF/Donor strategic priorities		HS → HU
3. Relevance to regional, sub-regional and national environmental priorities		HS → HU
4. Complementarity with existing interventions		HS → HU
B. Quality of Project Design		**HS → HU**
C. Nature of External Context		**HF → HU**
D. Effectiveness[15]		**HS → HU**
1. Achievement of outputs		HS → HU
2. Achievement of direct outcomes		HS → HU
3. Likelihood of impact		HL→ HU
E. Financial Management		**HS → HU**
1.Completeness of project financial information		HS → HU
2.Communication between finance and project management staff		HS → HU
3.Compliance with UN Environment standards and procedures		HS → HU
F. Efficiency		**HS → HU**
G. Monitoring and Reporting		**HS → HU**
1. Monitoring design and budgeting		HS → HU
2. Monitoring of project implementation		HS → HU

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

Criterion *(section ratings A-I are formed by aggregating the ratings of their respective sub-categories, unless otherwise marked)*	**Summary Assessment**	**Rating**
3.Project reporting		
H. Sustainability *(the overall rating for Sustainability will be the lowest rating among the three sub-categories)*		**HL → HU**
1. Socio-political sustainability		HL → HU
2. Financial sustainability		HL → HU
3. Institutional sustainability		HL → HU
I. Factors Affecting Performance[16]		**HS → HU**
1. Preparation and readiness		HS → HU
2. Quality of project management and supervision[17]		HS → HU
3. Stakeholders participation and cooperation		HS → HU
4. Responsiveness to human rights and gender equity		HS → HU
5. Country ownership and driven-ness		HS → HU
6. Communication and public awareness		HS → HU
Overall project rating		**HS → HU**

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

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

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

Section	Notes	Data Sources	Recommended no. pages
1. Introduction *(Note that the previous abbreviation of UNEP should now be written as UN Environment)*	*Summarise:* Purpose and scope of the review *(e.g. learning/accountability and the project boundaries the evaluation covers)* Project problem statement and justification for the intervention. Institutional context of the project *(MTS, POW, Division, umbrella etc.)* Target audience for the review findings.	TOR and ProDoc	1
2. Project outputs and outcomes	Confirm the formulation of planned project outputs and expected outcomes. *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.*	ProDoc, Revision documents, consultation with TM/PM	1 /2
3. Review of project design	Complete the template for assessment of Project Design Quality, including ratings, and present as an annex *(template available)* Summarise the project design strengths and weaknesses within the body of the inception report.	Project document and revisions, MTE/MTR if any	1-page narrative and completed assessment of PDQ template
4. Stakeholder analysis[18]	Identify key stakeholder groups and provide an analysis of the levels of influence and	Project document	1

[18] Evaluation Office of UN Environment identifies stakeholders broadly as all those who are affected by, or who could affect (positively or negatively) the project's results. At a disaggregated level key groups should be identified, such as: implementing partners;

	interest each stakeholder group has over the project outcomes. Give due attention to gender and under-represented/marginalised groups. *(guidance note available)*	Project preparation phase. TM/PM	
5. Theory of Change	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)* 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)	Project document narrative, logical framework and budget tables. Other project related documents.	Diagram and up to 2 pages of narrative
6. Review methods	Describe all review methods *(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.)* Summarise date sources/groups of respondents and method of data collection to be used with each *(e.g. skype, survey, site visit etc.)* Create a review framework that includes detailed review questions linked to data sources. Include any new questions raised by review of Project Design Quality and TOC analysis. Present this as a table/matrix in the annex *(samples available)*	Review of all project documents.	1-page narrative. The evaluation framework as a matrix and draft data collection tools as annexes.

government officials and duty bearers (e.g. national focal points, coordinators); civil society leaders (e.g. associations and networks) and beneficiaries (e.g. households, tradespeople, disadvantaged groups, members of civil society etc.). UN Environment recognizes the nine major groups as defined in Agenda 21: Business and Industries, Children & Youth, Farmers, Indigenous People and their Communities, Local Authorities, NGO's, the Scientific & Technological Community, Women, Workers and Trade Unions.

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

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

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

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

II. Review Methods	This section is the foundation for the review's credibility, which underpins the validity of all its findings. The section should include a description of how the Theory of Change at Review was designed (who was involved etc.) and applied to the context of the project. The data collection section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. 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. 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)**
III. The Project	
A. Context	Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). 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. The section should identify any specific external challenges faced by the project (e.g. conflict, natural disaster, political upheaval etc.). **(1 page)**
B. Objectives and components	Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised). A brief description of how the project structure delivers against the project's results framework (e.g. stated purpose of components; role of management components). **(1 page)**
C. Stakeholders[19]	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)**

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

D. Project implementation structure and partners	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)**
E. Changes in design during implementation	Any key events that affected the project's scope or parameters should be described in brief in chronological order, including: costed/no-cost extensions; formal revisions to the project's results; additional funding and when it was secured etc. **(½ page)**
F. Project financing	Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing should be provided.  Financial Tables
IV. Theory of Change	
Reconstructed Theory of Change of the project	A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised ProDoc log frame/TOC and b) as formulated in the *TOC at Review*[20]. This can be presented as a two column table. The TOC at Review should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. The insights gained by preparing the TOC at Review should be identified (e.g. gaps or disconnects in the project's logic that were identified; added value or UN Environment comparative advantages that were highlighted; lessons in project design that became apparent etc.) **(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[21] 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.

[20] 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*.

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

C. Nature of the External Context	Brief summary of any key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval)
D. Effectiveness: i. Achievement of outputs ii. Achievement of direct outcomes iii. Likelihood of impact	Integrated analysis, guided by the causal pathway represented by the TOC at Review, of all evidence relating to the delivery of results. Change processes explained and the roles of key actors, as well as drivers and assumptions, should be explicitly discussed.
E. Financial Management	Integrated analysis of all dimensions evaluated under financial management: *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used; *communication* between financial and project management staff and *compliance* with relevant UN financial management standards and procedures. The completed 'financial management' table should be included in this section.
F. Efficiency	This section should contain a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • 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 UN Environment's environmental footprint.
G. Monitoring and Reporting	Integrated analysis of all dimensions evaluated under Monitoring and Reporting, including: • Monitoring design and budgeting *(including SMART indicators, resources for Mid Term Evaluation/Review, plans for collection of disaggregated data etc.)* • Monitoring implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g. PIMS and donor report; gender disaggregated data)*
H. Sustainability	Discussion of the key conditions or factors that are likely to undermine or contribute to the persistence of achieved <u>direct outcomes</u> are identified and discussion, including: • Socio-political Sustainability • Financial Sustainability

	• Institutional Sustainability *(including issues of partnerships)*
I. Factors Affecting Performance	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.
V. Conclusions and Recommendations	
A. Conclusions	This section should summarize the main conclusions of the review following a logical sequence from cause to effect. The conclusions should highlight the main strengths and weaknesses of the project, preferably starting with the positive achievements and a short explanation of how these were achieved, and then moving to the less successful aspects of the project and explanations as to why they occurred. Answers to the key strategic evaluation questions should be provided. All conclusions should be supported with evidence that has been presented in the evaluation report and can be cross-referenced to the main text using paragraph numbering. The conclusions section should end with the overall assessment of the project, followed by the ratings table. The conclusions section should not be a repeat of the Executive Summary, but focuses on the main findings in a compelling story line that provides both evidence and explanations of the project's results and impact. **(Max 2 pages)**
B. Lessons Learned	Lessons learned should be anchored in the conclusions of the review, with cross-referencing to appropriate paragraphs in the evaluation report where possible. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated in similar contexts. Alternatively, they can be derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful. Specific lessons on how human rights and gender equity issues have been successfully integrated into project delivery and/or how they could have could have been taken into consideration, should be highlighted.
C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with paragraph cross-referencing where possible. 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. It is suggested that a SMART[22] 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

[22] SMART refers to indicators that are: Specific, Measurable, Achievable, Results-oriented and Time-bound

	available time and resources to ensure the delivery of results relevant to human rights and gender equity should be highlighted.
Annexes *(The Project Design Qualify assessment is not needed in the final evaluation report as it is annexed in the inception report)*	These may include additional material deemed relevant by the Reviewer(s) but must include: 1. Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate. 2. Review TORs (without annexes). 3. Review itinerary, containing the names of locations visited and the names (or functions) and of people met/interviewed. *(A list of names and contact details of all respondents should be given to the Project Manager for dissemination of the report to stakeholders, but contact details should not appear in the report, which may be publicly disclosed on the UN Environment Evaluation Office website).* 4.Summary of co-finance information and a statement of project expenditure by activity 5. Review Bulletin: A short (2-page) and simple presentation of review findings and lessons to support the dissemination of learning to a wide range of audiences. 6. Any other communication and outreach tools used to disseminate results (e.g. power point presentations, charts, graphs, videos, case studies, etc.) 7. List of documents consulted 8. Brief CVs of the consultants 9. Quality Assessment of the Review Report will be added by the Project Manager as the final annex.

Annex 3. Evaluation Programme

People interviewed for the evaluation:

Ms. Giovanna Chiodi Moiré, Associate Programme Officer, Chemicals and Health Branch – Economy Division, UNEP

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

Mr. Thabo Moraba, Project Coordinator, Africa Institute

Ms. Luisa Moipolai, National Project Coordinator, Botswana

Ms. Bianca Dlamini, National Project Coordinator, Eswatini

Ms. Moleboheng Petlane, National Project Coordinator, Lesotho

Mr. Nicco Masule, National Project Coordinator, Namibia

All national project coordinators have indicated that their opinions and responses represent the national steering committee.

Annex 4. Ratings on Financial Planning and Management

Financial management components				**Rating**	**Evidence/ Comments**
Attention paid to compliance with procurement rules and regulations				S	
Contact/communication between the PM & FMO				S	
PM & FMO knowledge of the project financials				S	
FMO responsiveness to financial requests				S	
PM & FMO responsiveness to addressing and resolving financial issues				S	
Were the following documents provided to the evaluator:					
	A.	An up to date co-financing table	Yes		
	B.	A summary report on the projects financial management and expenditures during the life of the project - to date	Yes		
	C.	A summary of financial revisions made to the project and their purpose	Yes		
	D.	Copies of any completed audits	No		
Availability of project financial reports and audits				S	
Timeliness of project financial reports and audits				S	
Quality of project financial reports and audits				S	
FMO knowledge of partner financial requirements and procedures				S	
Overall rating				**S**	

Annex 5. Project costs and co-financing tables

The tables can be found on pages 12.

Annex 6. References and documents used

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

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

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

UN Environment 2015. Development of Minamata Initial Assessment in Africa

UN Environment 2016. Project Cooperation Agreement for the MIA Project

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

UN Environment 2019. Terms of Reference for the Terminal Review of the UN Environment/Global Environment Facility project “Development of Minamata Initial Assessment in Africa”

Minamata Initial Assessment of Botswana 2020 (final draft).

Minamata initial Assessment of Eswatini 2020 (final draft).

Minamata Initial Assessment of Lesotho, 2019.

Minamata Initial Assessment of Namibia, 2020 (final draft).