

## GEF-FUNDED ENABLING ACTIVITY PROJECT

9690


*Develop the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq*

### Project Operational Completion Report

Reporting period: May 2017 – Dec 2022

Prepared for UN Environment Programme

UNEP Regional Office for West Asia

SIGNATURES	
Name of Project Manager (Executing Agency): UNEP West Asia Office	Signature  Date: 10 / 01 / 2024
Name of Task Manager: UNEP	Signature Date: ____ / ____ / 20__
Copied to the Following:	
Name of Fund Management Officer:	Date of Copy Sent: ____ / ____ / 20__
Name of Portfolio Manager:	Date of Copy Sent: ____ / ____ / 20__
Name of Head of Branch (or head of unit accountable within UNEP for the project):	Date of Copy Sent: ____ / ____ / 20__

## Project Information Table

Project Title	Develop the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq	
Duration months	<i>Planned</i>	24
	<i>Extension(s)</i>	67
Division(s) Implementing the project	UNEP, Economy Division, Chemicals and Health Branch, GEF Chemicals and Waste Unit	
Name of Co-implementing Agency	N/A	
Executing Agency(ies)	UNEP Regional Office for West Asia, ROWA	
Names of Other Project Partners	Ministry of Health and Environment of Iraq	
Project Type	Enabling Activity	
Project Scope	Initial Assessment Report & National Implementation Plan	
Region	West Asia	
Countries	IRAQ	
Programme of Work	5a, 5b, 5c	
GEF Focal Area(s)	Chemicals and Waste	
UNSDCF / UNDAF linkages	The project fosters cooperation between governments and a broad range of stakeholders. It follows the guiding principles of an integrated and multi-dimensional programming approach, leaving no one behind, a human rights-based approach, gender equality and women's empowerment, and sustainability. The project is based on results-focused programming, capacity development, and coherent policy support.	
Link to relevant SDG target(s) and SDG indicator(s)	3.9, 1.2, 8.3, 8.4, 5c, 6.3, 12.4,	
GEF financing amount	\$ 800,000	
Co-financing amount	\$ -	
Date of CEO Endorsement	February, 2017	
Start of Implementation	May 2017	
Date of first disbursement	08/05/2017	
Total disbursement as of 30 Dec 2022	\$ 591,032.92	
Total expenditure as of 30 Dec 2022	\$ 573,075.73	
Expected Mid-Term Review Date	N/A	
Completion Date	<i>Planned</i>	October 2019
	<i>Revised</i>	December 2022
Expected Terminal Evaluation Date	June 2023	
Expected Financial Closure Date	December 2022	

Name of previous phase/preceding project	N/A
Anticipated future phase/future related project	N/A

## Geo-referenced Maps

N/A

## Abbreviations and Technical Terms

Abbreviation	Definition
BRS	Basel Rotterdam Stockholm
EA	Executing Agency
GEF	Global Environment Facility
IA	Implementing Agency
IGO	Intergovernmental Organisation
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreements
MgoS	Major Groups and Other Stakeholder
MIA	Minamata Initial Assessment
MTS	Medium Term Strategy
NAP	National Action Plan
NCM	National Coordination Mechanism
NGO	Non-governmental Organisation
PCA	Project Cooperation Agreement
PoW	Programme of Work
S-SC	South-South Cooperation Policy
SAICM	Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goals
ToC	Theory of Change
UN	United Nations
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Programme
UNITAR	United Nations Institute for Training and Research

# Table of Contents

<b>1. Project Description and Implementation Arrangements .....</b>	<b>5</b>
<b>2. Executing Agency Performance and Capacity .....</b>	<b>6</b>
<b>3. Summary of Results Achieved (Tables) .....</b>	<b>8</b>
<b>4. Implementation Challenges and Adaptive Management.....</b>	<b>12</b>
<b>5. Project Costs and Financing .....</b>	<b>12</b>
<b>6. Stakeholder Engagement and Capacity Development .....</b>	<b>13</b>
<b>7. Awareness Raising Activities.....</b>	<b>13</b>
<b>8. Sustainability and the Scaling Up of Positive Results .....</b>	<b>13</b>
<b>9. Incorporation of Human Rights and Gender Equality .....</b>	<b>14</b>
<b>10. Environmental, Social and Economic Safeguards .....</b>	<b>14</b>
<b>11. Knowledge Management.....</b>	<b>14</b>
<b>12. Lessons Learned .....</b>	<b>15</b>
<b>13. Recommendations .....</b>	<b>15</b>
<b>Annexes .....</b>	<b>17</b>
Annex 1 Logical Framework and Theory of Change diagram.....	17
Annex 2 Stakeholder Engagement Plan.....	20
Annex 3 Planned Multi-Year Budget.....	21
Annex 4 Risk Management Log (Compiled from annual PIRs).....	23
Annex 5 Final Financial Statement.....	24
Annex 6 Inventory of Non- Expendable Equipment .....	26
Annex 7 Definition of Ratings .....	27
Annex 8 PMBOK adapted for OCR using GEF Ratings .....	28
Annex 9 Key project deliverables/outputs .....	43

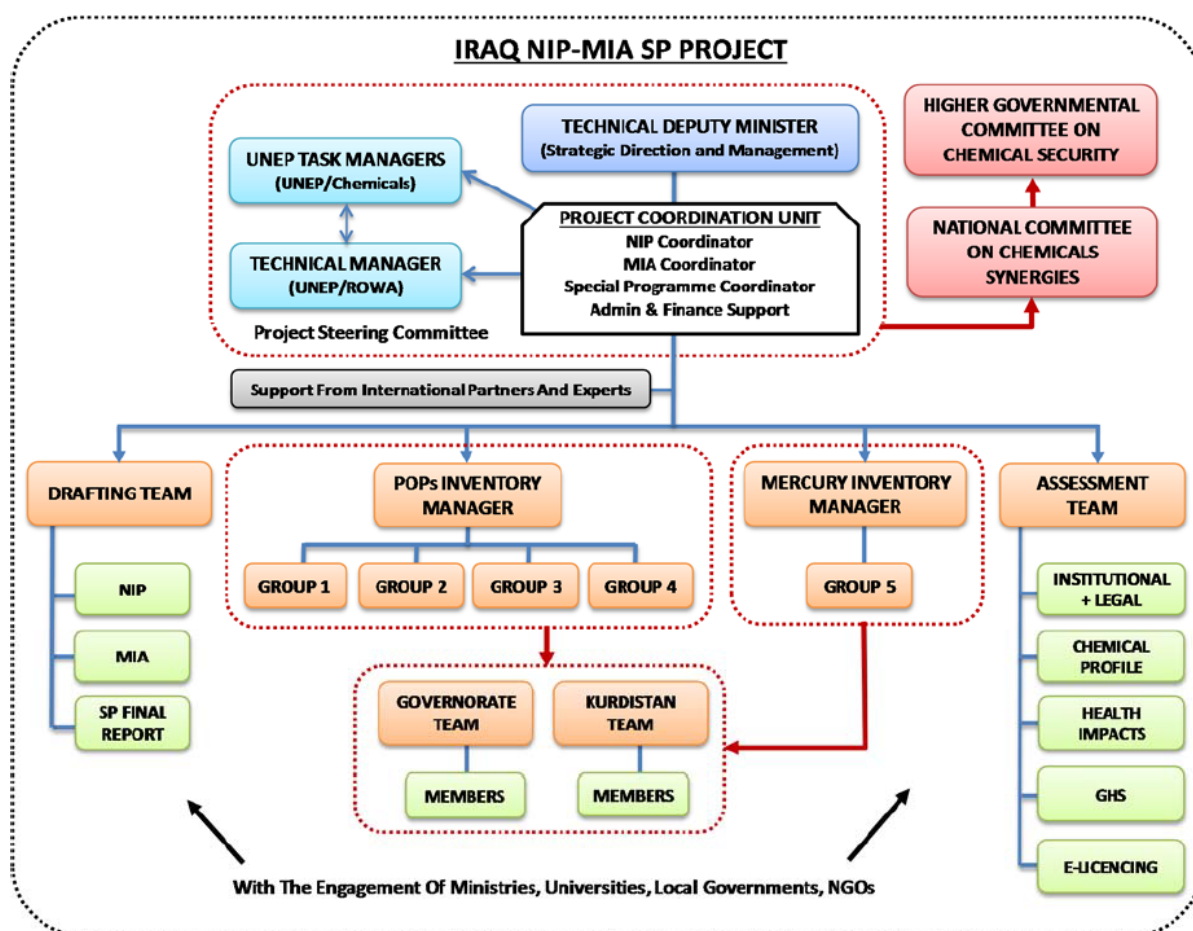
## 1. Project Description and Implementation Arrangements

The project objective was to develop the National Implementation Plan (NIP) for the Stockholm Convention in order to comply with article 7 under the Stockholm Convention and develop the Minamata Initial Assessment (MIA) to facilitate the ratification and early implementation of the Minamata Convention.

Under Article 7 of the Stockholm Convention, each party to the Stockholm Convention should develop and implement a plan to fulfil its obligations to the Stockholm Convention. Parties are required to transmit this plan to the Conference of Parties within two years of the date on which the Convention comes into force in their countries. Supported by Article 13 and Article 14, developing countries have access to financial and technical support of developed countries through the GEF financial mechanism.

Under Article 20 Paragraph 1 of the Minamata Convention, a Minamata Initial Assessment (MIA) is conducted as a precursor to the implementation of the Minamata Convention. The project provides country-specific baseline information on mercury sources and national capacities to implement the Convention in a report that national stakeholders validate. Under Article 7, Section 3, Subsection (a) and (b), parties to the convention are required to submit a National Action Plan (NAP) as outlined in Annex C of the Minamata Convention and reviewed under the mechanism described in Article 21. The NAP outlines the national objectives, actions and strategies to transition to mercury-free artisanal and small-scale gold mining.

The project was executed by UNEP Regional Office for West Asia (ROWA), also known as the Executing Agency (EA), and implemented by UNEP GEF Chemicals and Waste Unit, also known as the Implementing Agency (IA). The IA was responsible for the overall project supervision and overseeing the project's progress. This was set out to be performed through the monitoring and evaluation of project activities and progress reports. Additionally, UNEP provided the Executing agency with technical and administrative support. The Executing Agency (EA) managed the day-to-day aspects of the project and its activities. It established managerial and technical teams to execute the project. It acquired necessary equipment, monitored the project, and organized independent audits to guarantee the proper use of funds. The EA provided the IA with administrative, progress and financial reports. The National Expert-Coordination Committee operated as the National Coordination Mechanism (NCM). The committee included national stakeholders, evaluated and adjusted the project where necessary. The NCM took decisions on the project in line with the project objectives, and was implemented by the EA.



**Figure 1.** Agreed Project Implementation Structure at Project Inception

The project implementation arrangements were revised a total of three times. In PCA Amendment No.1 in October 2019, the project was extended to the 30<sup>th</sup> of June 2021 due to changes in the National Focal Point. In the second PCA amendment, the project was extended 30<sup>th</sup> of June 2021 to the 31<sup>st</sup> of December 2021 due to the COVID-19 pandemic. Again due to the pandemic, some activities could not be performed, hence on the 3<sup>rd</sup> PCA Amendment, the project's end date was extended to the 31<sup>st</sup> of December 2022.

## 2. Executing Agency Performance and Capacity

The Executing Agency's management capacity executing the enabling activity was satisfactory overall. The EA excelled in Stakeholder Management where the government counterparts were heavily involved in the project, assisting in capacity building and long term institutional memory to conduct future NIP updates, and Quality Management as all project deliverables were delivered at a high quality in multiple languages.

For a project of this scale, the EA's management capacity was satisfactory in the following areas: integration management, resource management, cost management, communications management, and procurement management. The integration of this project with similar projects in the region and within the county (MIA, NIP, and Special Programme), and knowledge/experience sharing across countries in the region that occurred due this project is notable.

Areas for continuous development are: scope management as the activities and workplans consistently changed throughout the project as adaptive management steps were made,

and schedule/risk management to work around external risks to the project common to the region.

The EA's efficiency was moderately satisfactory overall, mainly due to the project's three justified no-cost extensions. However, the original 2-year timeline may have been unrealistic for a project in this region. The project operated within existing roles, mechanisms and institutions in an efficient and effective manner. The project activities were sequenced appropriately in order to deliver project objectives.



**Figure 2.** Executing Agency Project Management Capacity Radar Chart

Please refer to Annex 8 for further details.

### 3. Summary of Results Achieved (Tables)

**Table 1: Achievement of Outcome(s) – Based off latest ICA**

Please refer to Annex 7 for further details on GEF ratings.

Project objective and Outcomes	Description of indicator	Baseline level	Mid-term target	End-of-project target	End of Project Progress Rating
<b>Objective</b> <i>Develop the National Implementation Plan (NIP) for the Stockholm Convention in order to comply with article 7 under the Stockholm Convention and develop the Minamata Initial Assessment (MIA) to facilitated ratification and early implementation of the Minamata Convention.</i>	Completion of Outcomes	N/A	N/A	MIA & NAP Complete and Validated	Satisfactory
<b>Component 1:</b> <i>NIP development and endorsement</i>	NIP Completion	Capacity Pre-Assessment (Pre-training)	N/A	NIP Complete and Validated	Satisfactory
<b>Component 2:</b> <i>Minamata Initial Assessment (MIA) development</i>	MIA Completion	N/A	N/A	MIA Complete and Validated	Satisfactory



**Table 2: Delivery of Output(s)**

Outputs	Expected completion date	End of Project Implementation status (%)	Comments if variance. Describe any problems in delivering outputs	End of Project Progress Rating
<b>Output 1.1:</b> Strengthen the national coordination mechanism for NIP development and future implementation.				
Activity 1.1.1: Conduct national inception workshop to identify key stakeholders and agree on their roles; agree on project work plan and budget; development of a monitoring and evaluation plan and an awareness raising strategy to be implemented throughout the project;	June 2019	100%	Most attendance documents and meeting minutes available.	Satisfactory
Activity 1.1.2: Develop initial assessment of institutional needs and strengths;	Sep 2019	100%	Included in NIP	Satisfactory
<b>Output 1.2:</b> Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available.				
Activity 1.2.1: Develop a comprehensive overview of national infrastructure and regulatory framework to manage POPs and prepare report;	Jun 2020	100%	Included in NIP	Satisfactory
Activity 1.2.2: Develop inventories covering all 23 POPs;	Dec 2020	100%	Included in NIP	Satisfactory
Activity 1.2.3: Develop an overview of POPs impacts to human health and the environment and prepare report.	Dec 2020	100%	Included in NIP	Satisfactory
<b>Output 1.3:</b> Draft NIP developed based on identified national priorities.				
Activity 1.3.1: Action Plans for all POPs developed and validated by all stakeholders;	Mar 2021	100%	Included in NIP	Satisfactory
Activity 1.3.2: Make draft NIP available to all stakeholders.	Dec 2021	100%	Part of NIP Validation	Satisfactory
<b>Output 1.4:</b> Evaluation of potentially PCB cross-contaminated oil transformers				
Activity 1.4.1: Identify areas to conduct physical inspection and testing of potentially PCBs containing electrical transformers and capacitors;	Mar 2022	100%	Included in NIP	Satisfactory

Outputs	Expected completion date	End of Project Implementation status (%)	Comments if variance. Describe any problems in delivering outputs	End of Project Progress Rating
Activity 1.4.2: Allocate a team and provide training for the team in Iraq to conduct the sampling	Mar 2022	100%	Evident from NIP Annex	Satisfactory
Activity 1.4.3: Conduct testing and analysis for the collected samples	Jun 2022	100%	Included in NIP	Satisfactory
<b>Output 1.5: Draft NIP updated</b>				
Activity 1.5.1: Update PCBs inventory and action plan based on results under activity 1.4.3	Sep 2022	100%	Final NIP	Satisfactory
Activity 1.5.2: Update first draft NIP developed under activity 1.3.2 based on results under activity 1.4.3 and make draft NIP available to all stakeholders	Sep 2022	100%	Final NIP	Satisfactory
<b>Output 1.6: NIP endorsement and submission to the Stockholm Convention Secretariat.</b>				
Activity 1.6.1: Develop and implement NIP outreach strategy report in consultation with key national stakeholders;	Dec 2021	100%	Final NIP	Satisfactory
Activity 1.6.2: Develop and initiate the implementation of a roadmap for NIP endorsement and submission to the Stockholm Convention Secretariat.	Dec 2022	100%	Final NIP	Satisfactory
<b>Output 2.1: Identified and strengthened the national coordination mechanism dealing with mercury management that will guide the project implementation.</b>				
Activity 2.1.1: Identified and strengthened the national coordination mechanism dealing with mercury management that will guide the project implementation.	Aug 2017	100%	Final NIP	Satisfactory
Activity 2.1.2: Conduct a national assessment on existing sources of information (studies), compile and make them publicly available	Aug 2020	100%	Final NIP	Satisfactory
<b>Output 2.2: Conduct a national assessment on existing sources of information (studies), compile and make them publicly available</b>				
Activity 2.2.1: Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities;	Jun 2019	100%	Included in MIA	Satisfactory

Outputs	Expected completion date	End of Project Implementation status (%)	Comments if variance. Describe any problems in delivering outputs	End of Project Progress Rating
Activity 2.2.2: Analyze the existing regulatory framework, identify gaps and identify the regulatory reforms needed for the sound management of mercury in Iraq.	Jun 2020	100%	Included in MIA	Satisfactory
<b>Output 2.3:</b> National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed.				
Activity 2.3.1: Develop a qualitative and quantitative inventory of all mercury sources, emissions and releases;	Dec 2020	100%	Included in MIA	Satisfactory
Activity 2.3.2: Develop a national strategy to identify mercury-contaminated sites.	Dec 2020	100%	Included in MIA	Satisfactory
<b>Output 2.4:</b> Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed.				
Activity 2.4.1: Conduct a national and sectoral assessment on challenges, needs and opportunities to implement the Convention in key priority sectors;	Mar 2021	100%	Chapter 4 - MIA	Satisfactory
Activity 2.4.2: Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury (Not applicable, Iraq already ratified)	N/A			
<b>Output 2.5:</b> MIA validated by national stakeholders				
Activity 2.5.1: MIA validated by national stakeholders;	Dec 2021	100%	Part of MIA finalisation process	Highly Satisfactory
Activity 2.5.2: Develop and implement a national MIA awareness raising and dissemination and outreach strategy.	Dec 2021	100%	Awareness Report & Outreach Strategy	Highly Satisfactory

## 4. Implementation Challenges and Adaptive Management

The Executing Agency encountered a range of challenges and implemented adaptive management strategies to manage these challenges. The following table details the challenges encountered and the actions taken.

**Table 3: Challenges Encountered and Action Taken**

Challenge Encountered	Action Taken
<b>Political Situation in Iraq</b> Required additional time to collect the related information for the development of the inventories.	<ul style="list-style-type: none"> <li>- Hosted meetings outside the country to avoid political issues and protests.</li> <li>- Final meeting in Beirut in the ROAW office – that helped with the political situation</li> <li>- Direct focal point in the office was an Iraqi national with networks in the national government and this gave the EA capacity to reach the correct people and offices in the government despite changes.</li> </ul>
<b>COVID-19 Pandemic</b> Due to the lockdowns of the covid-19 pandemic, travel was restricted causing project blockages in order to complete POPs inventory and NIP.	<ul style="list-style-type: none"> <li>- Switch to digital communication tools leading to a natural adaption and evolution of the usage of online communication tools</li> <li>- Training were done online, and consultants engaged online.</li> <li>- Waited for restrictions and lockdown measures to be eased before conducting site visits, and data collection.</li> <li>- Project extension requested as an adaptive measure</li> </ul>

## 5. Project Costs and Financing

**Table 4: Project Total Funding<sup>1</sup> and Expenditures**

Funding by source (Life of project)	Planned funding	Secured funding	Expended
<i>All figures as USD</i>			
GEF Grant	800,000	800,000	685,458
<i>Sub-total: Project Funding</i>	800,000	800,000	685,458
Staffing (Total throughout the project)	Planned posts	Filled posts	
<i>All figures as Full Time Equivalents</i>			
GEF grant-funded staff post costs	2.0 FTE	2.0 FTE	
Co-finance funded staff post costs	-	-	

**Table 5: Expenditure by Component, Outcome or Output (depending on financial system capabilities)**

<sup>1</sup> "Enabling Activities: The Guidance has been clarified to confirm that co-financing is not required for EAs, that PPGs are not available for EAs, and that M&E budgets are not required as these costs do not apply to EAs. " pg.33, GUIDELINES ON THE PROJECT AND PROGRAM CYCLE POLICY (GEF/C.59/Inf.03) July 2020

Component/sub-component/output All figures as USD	Estimated cost at design	Actual Expenditure	Expenditure ratio (actual/planned)
Component 1 / Outcome 1	551,136	517,172	0.93
Component 2 / Outcome 2	151,137	61,388	0.41
PMC	72,727	101,384	1.39
M&E	25,000	25,000	1.00

## 6. Stakeholder Engagement and Capacity Development

The national stakeholders identified for this project were mainly government. However, there was some stakeholders from academia, NGOs, and civil society involved in the project. Stakeholder consultations were held with NGOs and academia invited online, where many interesting comments and inputs were made into the project deliverables.

Regarding gender, data on stakeholders is aggregated rather than disaggregated. The project design included gender, age and poverty considerations. However, the project internal structures had women in leadership roles.

Under capacity development, one notable lesson learnt was the initial time investment into enabling the government counterpart to perform the NIP and MIA assessment independently. Although the project was delayed a few times, the capacity of the government post-political changes increased, and the EA is confident the government is able to complete the NIP updates into the future.

## 7. Awareness Raising Activities

Awareness-raising activities were undertaken during the project to increase awareness of the project and the secretariats. There was a range of communication assets created and delivered to the government. It was highlighted in the interviews that dissemination of these materials is in the hands of the government. It is uncertain at the time of the review if the communication assets have been disseminated.

## 8. Sustainability and the Scaling Up of Positive Results

Regarding the institutional and financial sustainability of the positive impacts of the MIA and NIP, since the 2020 Beirut incident, there has been a stronger focus on sound chemicals management in the region. There is a relatively high likelihood that chemicals management will be a priority in the short to medium term to scale up the work of the project. This is evident in the country's investment and application for chemicals and waste projects on pesticides and PCBs for GEF8.

Regarding capacity measures, the EA has strengthened the capacity of the national government to continue with projects similar in size and scope of this MIA and NIP. It should be noted that the government has the capacity to do future NIP updates, and has been sharing its knowledge and lessons learned with other countries while putting aside geopolitical differences. The NIP action plan should be implemented and the country will

need to take ownership its future plans towards meeting and sustaining the requirements of the Multilateral Environmental Agreements (MEAs).

With regards to the EA, the synergetic approach to running Enabling Activities in batches in the region was helpful. In scaling up, the integration of multiple projects in the region could potentially have a larger reach and impact, whether that is between IGOs or between UNEP Chemicals and Waste Conventions. Additionally, they would better qualified to realistically estimate a project's execution phase's duration.

## **9. Incorporation of Human Rights and Gender Equality**

Regarding Human Rights incorporation, the project created a positive step toward providing access to clean environments by taking positive steps toward a POPs and mercury-safe environment in the country.

There was a collaboration between Kyrgyzstan and Iraq to fill data gaps. Political differences were put aside to achieve a more representative NIP and MIA.

There was a chapter in the MIA entitled "Identification of populations at risk and gender dimension". The chapter did address a few populations at risk of mercury, however, the chapter did not directly address issues of gender. It was alluded to in the exposure to Skin Lightening Products.

The NIP report did contain gender implications within the NIP development. Stating that social factors play a more relevant role in exposure to POPs by men and women, and as well as the physiological differences between adults and children. It highlighted that mainstreaming gender requires a wholistic approach requiring interventions at the technical, environmental management, healthcare, policy, and regulatory and institutional levels. However, there were no details included as to how this would be implemented.

## **10. Environmental, Social and Economic Safeguards**

Environmentally, there were no negative environmental impacts were identified in the Safeguards Plan of the project at CEO Approval. Additionally, there were no significant environmental impacts of the project identified during the Operational Completion Report.

Social and economically, two social and economic impacts were identified in the Safeguards Plan at CEO Approval. The project incorporates measures to allow affected stakeholders' information and consultation. Over the course of the project stakeholder collaboration and consultation were frequent and hence information was provided to affected stakeholders.

Secondly, the project affected the state of the targeted country's institutional context. National regulatory systems for POPs and mercury management were revised. This is the intended impact of the project, therefore safeguard measures against this are not applicable.

## **11. Knowledge Management**

Project knowledge management was handled successfully by the EA and government. Public access to the MIA will be managed by the Minamata Convention Secretariat, likewise for the NIP and the Stockholm Convention. With the high involvement of the partnering government, there was high ownership of data and knowledge produced by the project.

Government staff and consultants who have worked on similar enabling activities in the same region were engaged by this project to carry on lessons learned and good practice into and out of this project. Understanding the context of the country (political revolutions and a pandemic), it was evident that adaptive management actions were implemented during the project execution phase.

## **12. Lessons Learned**

1. Going digital for international collaboration increased communication and efficiency. As an outcome of the COVID-19 pandemic the EA and stakeholders were forced to use online collaborative tools (sharefolder). This increased efficiency and frequency of communication with the people involved. The file-sharing system kept the documentation process in order.
2. Project scope changed a few times. This could be due to the cookie-cutter nature of these kinds of projects and may be too optimistic for initial projects in this region.
3. Related to scope, as the working language for the region is Arabic, not English, it was helpful to determine the language to be used for the project and its deliverables.
4. Having a direct focal point within the project's government was helpful to maintain relations to the government and its offices while staff changed. Executing the project with the involvement of a technical partner at the national level was a beneficial mechanism.
5. Setting up a regular communication mechanism is important to track the progress of the delivery of the outputs of the project, along with consistent follow up.
6. The NIP project requires more than two years to be executed
7. Sharing Arabic expertise was beneficial to other Enabling Activities in the region. Sending the country's experts and expertise from one country in the region to another – building on previous lessons learned and experience.
8. Awareness material needs to be less about the project and more generic about mercury itself. It was technical information, but may not be accessible by the general public (make it more focused on the public & the risks they would be exposed to)
9. Clearer guidelines on logo use would have increased efficiency of the project as there was some back and forth between the EA and the graphic designer.

## **13. Recommendations**

1. For once off Enabling Activities, use a specialised agency for operational efficiency and to deliver quality outputs on-time. For Enabling Activities that require consistent updates, it is worth the investment to build the capacity of the government to be able to do the current Enabling Activity and the future updates.
2. Implement the similar enabling activities together in batches for a region for resource efficiency and knowledge sharing.
3. Identify target audiences for awareness raising, and tailor communication to the audience according to their understanding and needs. Talk to what really matters to the public, framing the communication in the right context, language and have some sort of accountability mechanism to ensure dissemination occurs.
4. Continue to engage consultants who speak the local language, with regional knowledge, and have experience in Enabling Activities implemented by UNEP and GEF. The reports were written in English and translated in Arabic. Some stakeholders only read Arabic and when drafts need review, it needed translated again. Determine the operational language of the project up front.
5. Continue to include a broad range of stakeholders with varying opinions and perspectives in future projects.
6. It is important to have a focal point with a network and connections in the national government to keep contact with government offices even during transitional periods.

7. For new Enabling Activity projects, invite governments with experience with the Enabling Activity from the region to share knowledge and expertise during project inception.
8. Working directly with local governments has a significant positive impact on capacity building. The cost for long-term sustainability and institutional capacity is time.



## Annexes

### Annex 1 Logical Framework and Theory of Change diagram

<b>A. PROJECT FRAMEWORK*</b>			
<b>Project Objective:</b> Develop the National Implementation Plan (NIP) for the Stockholm Convention in order to comply with article 7 under the Stockholm Convention and develop the Minamata Initial Assessment (MIA) to facilitate the ratification and early implementation of the Minamata Convention.			
<b>Project Component</b>	<b>Project Outputs</b>	<b>(in \$)</b>	
		<b>GEF Project Financing</b>	<b>Confirmed Co financing<sup>1</sup></b>
1. NIP development and endorsement	1.1 Capacity building and technical assistance provided to Iraq to develop its NIP while building sustainable foundations for its future implementation;	551,136	0
	1.2 Knowledge management services provided;		
	1.3 Technical guidance and support provided to strengthen the national coordination mechanism for NIP development and future implementation;		
	1.4 Comprehensive information on the current POPs management institutions, regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available;		

	1.5 Draft NIP developed based on identified national priorities;		
	1.6 Technical support provided to facilitate the NIP endorsement and submission to the Stockholm Convention Secretariat.		
2. MIA development	<p>2.1 Technical assistance provided to Iraq to develop the MIA while building sustainable foundations for its future implementation;</p> <p>2.2 Identified and strengthened NCM dealing with mercury management that will guide the project implementation;</p> <p>2.3 Conduct a national assessment on existing sources of information (studies), compile and make them publicly available;</p> <p>2.4 National institutional and regulatory framework and national capacities on mercury management assessed;</p> <p>2.5 National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed;</p> <p>2.6 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed;</p> <p>2.7 MIA validated by national stakeholders.</p>	151,137	0
3. Monitoring and Evaluation	<p>3.1 Status of project implementation and probity of use of funds accessed on a regular basis and communicated to the GEF;</p> <p>3.2 Independent terminal evaluation developed and made publicly available.</p>	25,000	0
Subtotal		727,273	0
Project Management Cost <sup>2</sup>		72,727	0
<b>Total Project Cost</b>		<b>800,000</b>	<b>0</b>

## Revised Workplan 2022

Project  Output	Project Activity	Workplan				
		2021	2021			
		Q4	Q1	Q2	Q3	Q4
Project Component: NIP development and endorsement						
1.1 Strengthen the national coordination mechanism for NIP development and future implementation.	1.1.1 Conduct national inception workshop to identify key stakeholders and agree on their roles; agree on project work plan and budget; development of a monitoring and evaluation plan and an awareness raising strategy to be implemented throughout the project;					
	1.1.2 Develop initial assessment of institutional needs and strengths;					
1.2 Comprehensive information on the current POPs management institutions and regulatory framework, POPs life cycle in the country and their impacts to human health and the environment compiled and made publicly available.	1.2.1 Develop a comprehensive overview of national infrastructure and regulatory framework to manage POPs and prepare report;					
	1.2.2 Develop inventories covering all 23 POPs;					
	1.2.3 Develop an overview of POPs impacts to human health and the environment and prepare report.					
1.3 Draft NIP developed based on identified national priorities.	1.3.1 Action Plans for all POPs developed and validated by all stakeholders;					
	1.3.2 Make draft NIP available to all stakeholders.	X				
1.4 Evaluation of potentially PCB cross-contaminated oil transformers	1.4.1 Identify areas to conduct physical inspection and testing of potentially PCBs containing electrical transformers and capacitors	X	X			
	1.4.2 Allocate a team and provide training for the team in Iraq to conduct the sampling	X	X			
	1.4.3 Conduct testing and analysis for the collected samples.			X		
1.5 Draft NIP updated	1.5.1 Update PCBs inventory and action plan based on results under activity 1.4.3			X	X	
	1.5.2 Update first draft NIP developed under activity 1.3.2 based on results under activity 1.4.3 and make draft NIP available to all stakeholders			X	X	
1.6 NIP endorsement and submission to the Stockholm Convention Secretariat.	1.6.1 <del>1.4.1</del> Develop and implement NIP outreach strategy report in consultation with key national stakeholders;	X				
	1.6.2 <del>1.4.2</del> Develop and initiate the implementation of a roadmap for NIP endorsement and submission to the Stockholm Convention Secretariat.				X	X
Project Component: MIA development						
2.1 Identified and strengthened the national coordination mechanism dealing with mercury management that will guide the project implementation.	2.1.1 Organize a National Inception Workshop to raise awareness and to define the scope and objective and to have common understanding of the MIA process					
	2.1.2 Conduct a national assessment on existing sources of information (studies), compile and make them publicly available.					
2.2 National institutional and regulatory framework and national capacities on mercury management assessed.	2.2.1 Assess key national stakeholders, their roles in mercury management and monitoring and institutional interest and capacities;					
	2.2.2 Analyze the existing regulatory framework, identify gaps and identify the regulatory reforms needed for the sound management of mercury in Iraq.					
2.3 National inventories of mercury sources and releases developed using the UNEP Mercury Toolkit Level II and strategy for the identification of mercury contaminated sites developed.	2.3.1 Develop a qualitative and quantitative inventory of all mercury sources, emissions and releases;					
	2.3.2 Develop a national strategy to identify mercury-contaminated sites.					
2.4 Challenges, needs and opportunities to implement the Minamata Convention assessed and recommendations to ratify and implement the Minamata Convention developed.	2.4.1 Conduct a national and sectoral assessment on challenges, needs and opportunities to implement the Convention in key priority sectors;					
	2.4.2 Develop a report on recommendations to ratify and implement the Minamata Convention on Mercury (Not applicable, Iraq already ratified)					
2.5 MIA validated by national stakeholders	2.5.1 Draft and validate MIA Report;	X				
	2.5.2 Develop and implement a national MIA awareness raising and dissemination and outreach strategy.	X				

Annex 2      **Stakeholder Engagement Plan**  
N/A

# Annex 3 Planned Multi-Year Budget

Original:

RECONCILIATION BETWEEN GEF ACTIVITY BASED BUDGET AND UNEP BUDGET BY EXPENDITURE CODE (GEF FINANCE ONLY)								
Project No:						Total GEF funding		876,000
Project Name: Develop the national implementation plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq						IA fee (9.5%)		76,000
Executing Agency: UNEP ROWA						Project funding		800,000
Source of funding (noting whether cash or in-kind):								
GEF Trust Fund Cash								
UNEP BUDGET LINE/OBJECT OF EXPENDITURE	BUDGET ALLOCATION BY PROJECT COMPONENT/ACTIVITY *					ALLOCATION BY CALENDAR YEAR **		
	Component 1	Component 2	Component 3	Project Management	Total	Year 1	Year 2	Total
	NIP development and endorsement	MIA development	Monitoring and evaluation					
	US\$	US\$	US\$	US\$	US\$	US\$	US\$	
10 PROJECT PERSONNEL COMPONENT								
1161 Project Personnel								
1161 National Project coordinator				72,000	72,000	36,000	36,000	72,000
1161 Technical Project Officer (ROWA)					0	0	0	0
1161 Sub-Total		0		72,000	72,000	36,000	36,000	72,000
1161 Consultants w/m								
1161 International Consultants for mercury inventory training		25,000			25,000	12,500	12,500	25,000
1161 International consultants for POPs inventory training and priority setting	60,000				60,000	30,000	30,000	60,000
1161 Sub-Total	60,000	25,000		0	85,000	42,500	42,500	85,000
1161 Administrative support								
1161 Support staff					0	0	0	0
1161 Sub-total		0		0	0	0	0	0
1561 Travel on official business								
1561 Travel (ROWA)	8,500	8,500			17,000	8,500	8,500	17,000
1561 Sub-Total	8,500	8,500		0	17,000	8,500	8,500	17,000
1999 Component Total	68,500	33,500		72,000	174,000	87,000	87,000	174,000
20 SUB-CONTRACT COMPONENT								
2261 Sub-contracts (UN organizations)								
2261 Subcontract UNEP Chemicals	36,000				36,000	36,000	0	36,000
2262 Sub contract Global Mercury Partnership		10,000			10,000	10,000		10,000
2261 Sub-Total	36,000	10,000		0	46,000	46,000	0	46,000
2261 Sub-contracts (SSFA, PCA non-UN)								
2261 Subcontract for national implementation in Iraq	364,136	71,137		0	435,273	217,637	217,637	435,273
2261 Sub-Total	364,136	71,137		0	435,273	217,637	217,637	435,273
2999 Component Total	400,136	81,137		0	481,273	263,637	217,637	481,273
30 TRAINING COMPONENT								
3302 and 3303 Group training (field trips, WS, etc.)								
3302 and 3303 National Workshop on POPs inventory	20,000				20,000	10,000	10,000	20,000
3302 and 3303 Training workshop on POPs priority	20,000				20,000		20,000	20,000
3302 and 3303 Training on Hg inventory development		15,000			15,000	15,000		15,000
3302 and 3303 Sub-Total	40,000	15,000		0	55,000	25,000	30,000	55,000
3302 and 3303 Meetings/conferences								
3302 and 3303 Inception workshop	7,500	5,000			12,500	12,500		12,500
3302 and 3303 Outputs validation workshops	10,000	5,000			15,000	7,500	7,500	15,000
3302 and 3303 Final workshop for NIP endorsement	10,000				10,000	5,000	5,000	10,000
3302 and 3303 National Coordination Meetings	5,000	2,500			7,500	3,750	3,750	7,500
3302 and 3303 Sub-Total	32,500	12,500		0	45,000	28,750	16,250	45,000
3999 Component Total	72,500	27,500		0	100,000	53,750	46,250	100,000
40 EXPENDABLE EQUIPMENT COMPONENT								
4261 Expendable equipment								
4261 Operating costs				727	727	364	364	727
4261 Vehicle maintenance					0			0
4261 Sub-total		0		727	727	364	364	727
4261 Non-expendable equipment								
4261 Computer, fax, photocopier, projector					0			0
4261 Software					0			0
4261 Sub-total	0	0		0	0			0
4999 Component Total	0	0		727	727	364	364	727
50 MISCELLANEOUS COMPONENT								
5161 Reporting costs (publications, maps, NI, ...)								
5161 Finalization of report and dissemination strategy	5,000	4,000			9,000	4,500	4,500	9,000
5161 Translation	5,000	5,000			10,000		10,000	10,000
5161 Sub-Total	10,000	9,000		0	19,000	4,500	14,500	19,000
5161 Project closing and evaluation								
5161 Terminal Evaluation			15,000		15,000		15,000	15,000
5161 Final audit			10,000		10,000		10,000	10,000
5161 Sub-Total		0	25,000	0	25,000	0	25,000	25,000
5999 Component Total	10,000	9,000	25,000	0	44,000	4,500	39,500	44,000
TOTAL	551,136	151,137	25,000	72,727	800,000	409,250	390,750	800,000
IA fee (9.5%)					76,000			
TOTAL GEF COST					876,000			

## Amendment 3:

Develop the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq

Portfolio		EA
Short Name		NIP-MIA-IRA
GEF ID		8090
IBS		20-00180
SI		SI-2005-000504

Amendment n.3

LINEP BUDGET LINE/OBJECT OF EXPENDITURE	Status as 17 Nov 2021										Rev 3										Variance from original	Variance from rev2	
	Original		Rev 1		Rev 2		Comp 1 Int and Development		Comp 3 M&E		PMC	Total Nov 2021	Commitment in 2021	Consumed budget in 2021	Balance	Justification	Nov 2021	Comp 1 Int and Development	Comp 2 M&E	Comp 3 M&E			PMC
	USD	USD	USD	USD	USD	USD	USD	USD	USD	USD													
<b>10 PROJECT PERSONNEL COMPONENT</b>																							
1101	Project Personnel																						
1101.1	National Project coordinator																						
1101.2	Technical Project Officer (PCOA)																						
1101.3	Sub-total																						
1102	Regional Office																						
1102.1	International consultants for preliminary planning																						
1102.2	Sub-total																						
1103	Administrative support																						
1103.1	Subtotal																						
1104	Travel on official business																						
1104.1	Travel Experts																						
1104.2	Sub-total																						
1105	Component Total																						
<b>10 SUB-CONTRACT COMPONENT</b>																							
1201	Sub-contracts (UN organizations)																						
1201.1	Subcontract UNCT chemicals (25,000) matched by																						
1201.2	Subcontract UNCT laboratory (25,000) matched by																						
1201.3	Sub-total																						
1202	Sub-contracts (USA, PCA, non-UN)																						
1202.1	Subcontract for national implementation in Iraq																						
1202.2	Subcontract for regional Stockholm centre (testing)																						
1202.3	Sub-total																						
1203	Component Total																						
<b>10 TRAINING COMPONENT</b>																							
1301 and 1302	Remote training (field trips, WS, etc.)																						
1301.1	National workshops on POPs inventory																						
1301.2 and 1301.3	Training workshop on POPs priority																						
1301.4	Training on the inventory development																						
1301.5	Sub-total																						
1302 and 1303	Meetings/conferences																						
1302.1	Inspection workshop																						
1302.2	Subtotal																						
1303 and 1304	Final workshop for NIP endorsement																						
1303.1	Subtotal																						
1304 and 1305	Awareness Raising Material																						
1304.1	Subtotal																						
1305	Component Total																						
<b>10 EXPENDITURE TOTAL</b>																							
1401	Operating costs																						
1402	Vehicle maintenance																						
1403	Non-expendable equipment																						
1404	Computer, Rev. software, projector																						
1405	Software																						
1406	Sub-total																						
1407	Component Total																						
<b>10 MISCELLANEOUS COMPONENT</b>																							
1501	Printing costs (distribution, travel, etc.)																						
1501.1	Final copies of report and dissemination strategy																						
1501.2	Translation																						
1501.3	Sub-total																						
1502	Project closing and evaluation																						
1502.1	Subtotal																						
1503	Technical Evaluation (a 30000) awarded for JUNEET																						
1503.1	Sub-total																						
1504	Component Total																						
TOTAL																							

\* New Commitment to be added for Consultant for MIA Editing

Annex 4      **Risk Management Log** *(Compiled from annual PIRs)*  
**N/A**

## Annex 5 Final Financial Statement

Received November 2023

## TENTATIVE FINAL EXPENDITURE STATEMENT (US\$)

Project title:	Develop the National Implementation Plan for the Stockholm Convention on Persistent Organic Pollutants (POPs) and the Minamata Initial Assessment for the Minamata Convention on Mercury in Iraq
Project number:	GEF Project ID : 9690 / GEF Agency Project ID : D1465
WSE:	SB-007863 / SB-007863.01 / SB-007863.02 / SB-007863.03 / SB-007863.04
Grant:	SI-32GFL-000626 / P1-33GFL-001163 / P1-33GFL-001164

Project implementing agency/organization: UNEP West Asia Office  
 Project implementing period: Jan 2017 - Dec 2022  
 Reporting period: May 17 Dec-22

UNEP Budget Line	Total Project budget not managed by ROWA	UNEP approved budget		Actual expenditures incurred*																		Cumulative increases	
		Total project budget (as of Rev 3 ROWA)	Current ROWA YEAR budget 2022	2017	2018	2019	2020	2021	2017 - 2021	2022				Cumulative Expenditure 2022	Cumulative expenditure from Previous period	Q1 2023	Q2 2023	Q3 2023	Q4 2023	Cumulative expenditures to-date			
				Cumulative expenditure from previous period	Cumulative expenditure from previous period	Cumulative expenditure from previous period	Cumulative expenditure from previous period	Cumulative expenditure from previous period		Jan-Mar Qtr 1	Apr-Jun Qtr 2	Jul-Sep Qtr 3	Oct-Dec Qtr 4										
				A	B	C	D	E		F	G	H	I								J		K
1161	Project Personnel								-														
1161	National Project coordinator		41,600	41,600								7,031	7,239	10,549	24,818	24,818		565		1	(13)	25,371	16,229
1161	Technical Project Officer (ROWA)		76,000	21,578		11,739		8,190	14,268	13,657	47,854.04			9,800	4,900	14,700	62,554	1,400	12,059			76,013	(13)
1161	Consultants w/m			26,350																			
1161	International Consultants for mercury inventory training								5,050	12,625	17,675.00			7,727		7,727	25,402	1,000				26,402	(51)
1161	International consultants for POPS inventory training and priority setting		100,432	20,000		6,363		19,776	26,313	30,300	82,752.24			7,070	4,000	11,070	93,822	7,101				100,923	(491)
1161	Administrative support																						
1161	Support staff																						
1561	Travel on official business																						
1561	Travel (Staff)		7,306	4,817				942		45	986.89						987					987	6,319
1561	Travel (Experts)					15,419		6,087			21,506.50			3,873	(93)	3,782	25,289					25,289	2,852
2261	Sub-contracts (UN organizations)		36,000																				
2261	Subcontract UNEP Chemicals																						
2262	Sub contract Global Mercury Partnership		10,000																				
2261	Sub-contracts (SISA, PCA non-UN)																						
2261	Subcontract for national implementation in Iraq			338,560				94,394		158,000	252,394.00	14,306				14,306	266,700			71,860	338,560	-	
2261	Subcontract for regional stockholm centre (testing)		50,000	50,000										16,990	10,000	26,990	26,990					26,990	23,010
3302 and 3303	Group training (field trips, WS, etc.)																						
3302 and 3303	National Workshop on POPs inventory																						
3302 and 3303	Training workshop on POPs priority		4,365					3,851			3,850.73						3,851					3,851	515
3302 and 3303	Training on Hg inventory development		2,037					1,862			1,862.27						1,862					1,862	175
3302 and 3303	Meetings/conferences																						
3302 and 3303	Inception workshop																						
3302 and 3303	Outputs validation workshops		7,000	7,000									7,000			7,000	7,000					7,000	-
3302 and 3303	Final workshop for NIP endorsement		10,000	10,000									10,000			10,000	10,000					10,000	-
3302 and 3303	National Coordination Meetings																						
4261	Expendable equipment																						
4261	Operating costs		3,145	1,221		145			1816.11	69.61	2,030.55		70	358	646	1,074	3,105					3,105	40
4261	Non-expendable equipment																						
4261	Computer, fax, photocopier, projector		4,144	553					3,591		3,591.00						3,591					3,591	553
4261	Software																						
5161	Reporting costs (publications, maps, NI)																						
5161	Translation		17,920	12,000																		18,000	(80)
5161	Finalization of report and dissemination strategy		12,000	17,920																		12,000	-
5161	Project closing and evaluation																						
5161	Terminal Evaluation		15,000																				
5161	Final audit			10,000	10,000																		10,000
5999	GRAND TOTAL	61,000	739,000	203,689	27,303.41	6,363.32	135,102.48	51,082.54	214,651.47	434,503.22	14,306.00	7,100.70	70055.81	30004.13	121,466.64	555,970	39,501.30	12,624.10	0.68	71,846.80	679,943	59,057	



\*The actual expenditures should be reported in accordance with the specific budget lines of the approved budget (Appendix 1) of the project document in Annex 1  
The appended schedule "Explanation for expenditures reported in quarterly expenditure statement" should also be completed

\*\* The testing of PCBs was carried out with the help of the international consultant and laboratory in Iraq.


\*\*\*The reporting period as per UMOJA is until 15 Nov.2023

\*\*\*\*Commitment of (\$1,200) for travel cancellation is still pending in UMOJA for further adjustment.

EXPLANATION FOR EXPENDITURES REPORTED IN QUARTERLY EXPENDITURE STATEMENT				
From:	Jun-22	Quarterly Expenditure Q4 2022	Q1+Q2+Q3+Q4 2023	Explanation
To:	Dec-22			
BL**	Budget Line description			
1161	Project Personnel			
1161	National Project coordinator	10,549	552	Payment for UNV
1161	Technical Project Officer (ROWA)	4,900	13,459	*4,900 USD cost for support staff *Cost 13,459USD for consultant 1
1161	Consultants w/m	-	-	
1161	International Consultants for mercury inventory training	-	1,000	* Cost 1,000 USD for consultant 4
1161	International consultants for POPs inventory training and priority setting	4,000	7,101	* 7,101 USD cost for a consultant 2 * Cost 4,000 USD for consultant 2
1161	Administrative support	-	-	
1161	Support staff	-	-	
1561	Travel on official business	-	-	
1561	Travel (Staff)	-	-	
1561	Travel (Experts)	(91)	-	Adjustment-Travel recovery
2261	Sub-contracts (UN organizations)	-	-	
2261	Subcontract UNEP Chemicals	-	-	
2262	Sub contract Global Mercury Partnership	-	-	
2261	Sub-contracts (SSFA, PCA non-UN)	-	-	
2261	Subcontract for national implementation in Iraq	-	71,860	PCA with Ministry of Environment
2261	Subcontract for regional stockholm centre (testing)**	10,000	-	* 10,000 USD cost for Testing PCBs
3302 and 3303	Group training (field trips, WS, etc.)	-	-	
3302 and 3303	National Workshop on POPs inventory	-	-	
3302 and 3303	Training workshop on POPs priority	-	-	
3302 and 3303	Training on Hg inventory development	-	-	
3302 and 3303	Meetings/conferences	-	-	
3302 and 3303	Inception workshop	-	-	
3302 and 3303	Outputs validation workshops	-	-	
3302 and 3303	Final workshop for MIP endorsement	-	-	
3302 and 3303	National Coordination Meetings	-	-	
4261	Expendable equipment	-	-	
4261	Operating costs	646	-	Operating costs
4261	Non-expendable equipment	-	-	
4261	Computer, fax, photocopier, projector	-	-	
4261	Software	-	-	
5161	Reporting costs (publications, maps, NI)	-	-	
5161	Translation	-	18,000	Cost 18,000 USD for consultant 4
5161	Finalization of report and dissemination strategy	-	12,000	Cost 12,000 USD for consultant 3
5161	Project closing and evaluation	-	-	
5161	Terminal Evaluation	-	-	
5161	Final audit	-	-	
5999	GRAND TOTAL	\$30,004.13	\$123,972.68	

\*\*Budget Lines (BL) in this report shall be exactly as specified in the approved budget (Appendix 1) of the project.

EXPLANATION FOR EXPENDITURES REPORTED IN 2017, 2018, 2019, 2020, 2021, 2022 and 2023							
	Total expenditure for 2017	Total expenditure for 2018	Total expenditure for 2019	Total expenditure for 2020	Total expenditure for 2021	Total expenditure for 2022	Total expenditure for 2023
BL**							
1161			-			24,818	552
1161	11,739	-	8,190	14,268	13,657	14,700	13,459
1161	-	-	-	-	-	-	-
1161	-	-	-	5,050	12,625	7,727	1,000
1161	-	6,363	19,776	26,313	30,300	11,070	7,101
1161	-	-	-	-	-	-	-
1161	-	-	-	-	-	-	-
1561	-	-	942	45	-	-	-
1561	15,419	-	6,087	-	-	3,782	-
2261	-	-	-	-	-	-	-
2261	-	-	-	-	-	-	-
2262	-	-	-	-	-	-	-
2261	-	-	-	-	-	-	-
2261	-	-	94,394	-	158,000	14,306	71,860
2261	-	-	-	-	-	26,990	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	3,851	-	-	-	-
3302 and 3303	-	-	1,862	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
3302 and 3303	-	-	-	-	-	-	-
4261	-	-	-	-	-	-	-
4261	145	-	-	1,816	70	1,074	-
	-	-	-	-	-	-	-
	-	-	-	3,591	-	-	-
	-	-	-	-	-	-	-
5161	-	-	-	-	-	-	-
5161	-	-	-	-	-	-	18,000
5161	-	-	-	-	-	-	12,000
5161	-	-	-	-	-	-	-
5161	-	-	-	-	-	-	-
5161	-	-	-	-	-	-	-
5999	27,303.41	6,363.32	135,102.48	51,082.54	214,651	121,467	123,973

Name:	Dorris Chepkoech	Title:	Admin & Finance Officer	Name of Project Manager:	Iyngararasan Mylvakanam
	Authorized official of Executing Agency				
Signature		Date:	21-Nov-23	Signature:	
					Date: 17-Nov-23

## Annex 6      **Inventory of Non- Non-Expendable Equipment**

Still waiting for Executing Agency to submit at time of Review – (Latest: 1/12/2023)

## Annex 7      **Definition of Ratings**

All ratings on this report are based on the GEF Project and Program Cycle Policy document and used where applicable. Throughout this Operational Completion Report, it is a 6-point Likert scale ranging from Highly Unsatisfactory to Highly Satisfactory reviewing compliance with the original or revised implementation plans for the project. Below are descriptions of the ratings of the report:

### **Implementation Ratings:**

**Highly Satisfactory (HS):** Implementation of **all** components is in substantial compliance with the original/formally revised implementation plan for the project. The project can be presented as “good practice”.

**Satisfactory (S):** Implementation of **most** components is in substantial compliance with the original/formally revised plan except for only a few that are subject to remedial action.

**Moderately Satisfactory (MS):** Implementation of **some** components is in substantial compliance with the original/formally revised plan with some components requiring remedial action.

**Moderately Unsatisfactory (MU):** Implementation of **some** components is **not** in substantial compliance with the original/formally revised plan with most components requiring remedial action.

**Unsatisfactory (U):** Implementation of **most** components is **not** in substantial compliance with the original/formally revised plan.

**Highly Unsatisfactory (HU):** Implementation of **none** of the components is in substantial compliance with the original/formally revised plan.

### **Outcome/Objective Ratings:**

**Highly Satisfactory (HS):** Project is expected to achieve or exceed **all** its major objectives, and yield substantial global environmental benefits, without major shortcomings. The project can be presented as “good practice”.

**Satisfactory (S):** Project is expected to achieve **most** of its major objectives, and yield satisfactory global environmental benefits, with only minor shortcomings.

**Moderately Satisfactory (MS):** Project is expected to achieve **most** of its major relevant objectives, but with either significant shortcomings or modest overall relevance. The project is expected not to achieve **some** of its major objectives or yield some of the expected global environment benefits.

**Moderately Unsatisfactory (MU):** Project is expected to achieve its major objectives with major shortcomings or is expected to achieve only **some** of its major global environmental objectives.

**Unsatisfactory (U):** Project is expected **not** to achieve **most** of its major objectives or to yield any satisfactory global environmental benefits.

**Highly Unsatisfactory (HU):** The project has failed to achieve, and is not expected to achieve, **any** of its major objectives with no worthwhile benefits.

## Annex 8 PMBOK adapted for OCR using GEF Ratings

<b>1. Project Integration Management</b> Project integration management is a way of making various interdependent processes work together towards the project objective.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
EA <b>does not</b> satisfy <b>any</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the agreed timeframe of the project ( <b>including extensions</b> )  b) <b>most</b> deliverables outlined in the project document were fully delivered and of <b>satisfactory</b> quality  c) the project was completed within the agreed budget and <b>did</b> have costed extensions.  2. <b>Few</b> of the following aspects of the project were managed <b>to satisfactory requirements or above</b> :  a) Scope Management b) Time management c) Cost management d) Quality management	EA satisfies <b>a few</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the agreed timeframe of the project ( <b>including extensions</b> )  b) <b>most</b> deliverables outlined in the project document were fully delivered and of <b>satisfactory</b> quality  c) the project was completed within the agreed budget and <b>did</b> have costed extensions.  2. <b>Few</b> of the following aspects of the project were managed <b>to satisfactory requirements or above</b> :  a) Scope Management b) Time management c) Cost management d) Quality management	EA satisfies <b>some</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the agreed timeframe of the project ( <b>including extensions</b> )  b) <b>most</b> deliverables outlined in the project document were fully delivered and of <b>satisfactory</b> quality  c) the project was completed within the agreed budget and did <b>not</b> have costed extensions.  2. <b>Some</b> of the following aspects of the project were managed <b>to satisfactory requirements or above</b> :  a) Scope Management b) Time management c) Cost management	EA satisfies <b>most</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the agreed timeframe of the project ( <b>including extensions</b> )  b) <b>most</b> deliverables outlined in the project document were fully delivered and of <b>satisfactory</b> quality  c) the project was completed within budget and did <b>not</b> have costed extensions.  2. <b>Most</b> of the following aspects of the project were managed <b>to satisfactory requirements or above</b> :  a) Scope Management b) Time management c) Cost management d) Quality management	EA satisfies <b>all</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the original timeframe <b>without extensions and delays</b>  b) <b>all</b> deliverables outlined in the project document were fully delivered and of <b>satisfactory</b> quality  c) the project was completed within budget and did <b>not</b> have costed extensions.  2. <b>A majority</b> of the following aspects of the project were managed <b>at satisfactory requirements or above</b> :  a) Scope Management b) Time management c) Cost management d) Quality management	EA satisfies <b>all</b> criteria for section 1. a)-c) and section 2. a)-i).  1. The project was:  a) completed in the original timeframe <b>without extensions and delays</b>  b) <b>all</b> deliverables outlined in the project document were fully delivered and of <b>excellent</b> quality  c) the project was completed within budget and did <b>not</b> have costed extensions.  2. <b>All</b> the following aspects areas of the project were managed <b>above satisfactory requirements</b> :  a) Scope Management b) Time management c) Cost management d) Quality management e) Human resource management

e) Human resource management	e) Human resource management	d) Quality management	e) Human resource management	e) Human resource management	f) Communications management
f) Communications management	f) Communications management	e) Human resource management	f) Communications management	f) Communications management	g) Risk management
g) Risk management	g) Risk management	f) Communications management	g) Risk management	g) Risk management	h) Procurement management
h) Procurement management	h) Procurement management	g) Risk management	h) Procurement management	h) Procurement management	i) Stakeholder management
i) Stakeholder management	i) Stakeholder management	h) Procurement management	i) Stakeholder management	i) Stakeholder management	
		i) Stakeholder management			

<b>2. Project Scope Management</b> The project scope relates to the work of the project and includes the requirements, costs, timeframe, and quality of work that is done by the project. This is detailed in the Project Document.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
EA satisfies a <b>few</b> criteria for section 1. a)-d).  1. The Executing Agency <b>met</b> the requirements of the project document and a project of this size by controlling the <b>a few</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope <b>lead to cost extensions and many delays</b> to the project.	EA satisfies a <b>few</b> criteria for section 1. a)-d).  1. The Executing Agency <b>met</b> the requirements of the project document and a project of this size by controlling the <b>a few</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope <b>lead to cost extensions and some delays</b> to the project.	EA satisfies <b>some</b> criteria for section 1. a)-d).  1. The Executing Agency <b>met</b> the requirements of the project document and a project of this size by controlling the <b>some</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope <b>lead to no-cost extensions and some delays</b> to the project.	EA satisfies <b>most</b> criteria for section 1. a)-d) and section 2.  1. The Executing Agency <b>met</b> the requirements of the project document and a project of this size by controlling the <b>most</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope was regularly approved by the Implementing Agency in a timely manner.	EA satisfies <b>all</b> criteria for section 1. a)-d) and section 2.  1. The Executing Agency <b>met</b> the requirements of the project document and a project of this size by controlling the <b>all</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope was regularly approved by the Implementing Agency in a timely manner.	EA satisfies <b>all</b> criteria for section 1. a)-d) and section 2.  1. The Executing Agency <b>exceeded</b> the requirements of the project document and a project of this size by controlling the <b>all</b> the following areas:  a) the work of the project  b) the delivery and quality of the deliverables of the project  c) the timeframe of the project  d) cost of the project  2. Changes to the scope was regularly approved by the Implementing Agency in a timely manner.

<b>3. Project Schedule/Time Management</b> The project time management relates to scheduling the work of the project and delivering project deliverables					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p>EA <b>satisfies</b> the criteria for section 1. And <b>does not meet the criteria</b> for section 2. a)-c).</p> <p>1. Delivered a <b>few</b> project deliverables <b>on time</b> or before the due date, <b>with many incomplete activities and deliverables</b> at the time of project closure.</p> <p>2.The Executing Agency <b>met some</b> the temporal requirements of a project of this size by:</p> <p>a) tasks and activities of a project were sequenced in order most appropriate for the project</p> <p>b) dependencies between tasks were noted and managed accordingly</p> <p>c) resources (such as financial or human resources) were provided in a timely manner to perform tasks and activities</p>	<p>EA satisfies a <b>few</b> criteria for sections 1. and 2. a)-c).</p> <p>1. Delivered a <b>few</b> project deliverables <b>on time</b> or before the due date, <b>with incomplete activities and deliverables</b> at the time of project closure.</p> <p>2.The Executing Agency <b>met some</b> the temporal requirements of a project of this size by:</p> <p>a) tasks and activities of a project were sequenced in order most appropriate for the project</p> <p>b) dependencies between tasks were noted and managed accordingly</p> <p>c) resources (such as financial or human resources) were provided in a timely manner to perform tasks and activities</p>	<p>EA satisfies <b>some</b> criteria for sections 1., 2. a)-c) and section 3.</p> <p>1. Delivered a <b>few</b> project deliverables <b>on time</b> or before the due date.</p> <p>2.The Executing Agency <b>met some</b> the temporal requirements of a project of this size by:</p> <p>a) tasks and activities of a project were sequenced in order most appropriate for the project</p> <p>b) dependencies between tasks were noted and managed accordingly</p> <p>c) resources (such as financial or human resources) were provided in a timely manner to perform tasks and activities</p>	<p>EA satisfies <b>all</b> criteria for sections 1., 2. a)-c) and section 3.</p> <p>1. Delivered <b>most</b> project deliverables <b>on time</b> or before the due date.</p> <p>2.The Executing Agency <b>met all</b> the temporal requirements of a project of this size by:</p> <p>a) tasks and activities of a project were sequenced in order most appropriate for the project</p> <p>b) dependencies between tasks were noted and managed accordingly</p> <p>c) resources (such as financial or human resources) were provided in a timely manner to perform tasks and activities</p> <p>3. Appropriate adaptive management strategies were put in place to keep the project running on schedule.</p>	<p>EA satisfies <b>all</b> criteria for sections 1., 2. a)-c) and section 3.</p> <p>1. Delivered <b>most</b> project deliverables <b>on time</b> or before the due date.</p> <p>2.The Executing Agency <b>met all</b> the temporal requirements of a project of this size by:</p> <p>a) tasks and activities of a project were sequenced in order most appropriate for the project</p> <p>b) dependencies between tasks were noted and managed accordingly</p> <p>c) resources (such as financial or human resources) were provided in a timely manner to perform tasks and activities</p> <p>3. Appropriate adaptive management strategies were put in place to keep the project running on schedule.</p>	<p>EA satisfies <b>all</b> criteria for sections 1., 2. and section 3.</p> <p>1. Delivered <b>all</b> project deliverables <b>on time</b> or before the due date without delays.</p> <p>2.The Executing Agency <b>exceeded</b> the satisfactory temporal requirements of a project of this size.</p> <p>3. Appropriate adaptive management strategies were put in place to keep the project running on schedule.</p>

<b>4. Project Cost Management</b> Project cost management relates to effective cost estimation and budgeting, monitoring and control measures, and cost-effectiveness.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p>EA satisfies the criteria for sections 1, and satisfies <b>most</b> of the criteria for sections 2. a)-c).</p> <p>1. Project was significantly <b>over budget</b>.</p> <p>2. The Executing Agency <b>met</b> the cost requirements of a project of this size by ensuring:</p> <p>a) <b>some</b> costs of the project were adequately budgeted for</p> <p>b) <b>some</b> project expenditures were monitored, tracked and documented thoroughly</p> <p>c) <b>some</b> project task and activity costs (labour, materials, equipment, etc.) were adequately financed and value for money.</p>	<p>EA satisfies the criteria for sections 1, and satisfies <b>most</b> of the criteria for sections 2. a)-c).</p> <p>1. Delivered <b>most of the</b> project deliverables <b>on budget</b> with <b>significant</b> loss of quality or delays. Or the project required <b>costed extensions</b>.</p> <p>2. The Executing Agency <b>met</b> the cost requirements of a project of this size by ensuring:</p> <p>a) <b>some</b> costs of the project were adequately budgeted for</p> <p>b) <b>some</b> project expenditures were monitored, tracked and documented thoroughly</p> <p>c) <b>some</b> project task and activity costs (labour, materials, equipment, etc.) were adequately financed and value for money.</p>	<p>EA satisfies the criteria for sections 1, and satisfies <b>most</b> of the criteria for sections 2. a)-c).</p> <p>1. Delivered <b>most of the</b> project deliverables <b>on budget</b> with <b>some</b> loss of quality or delays.</p> <p>2. The Executing Agency <b>met</b> the cost requirements of a project of this size by ensuring:</p> <p>a) <b>most</b> costs of the project were adequately budgeted for</p> <p>b) <b>most</b> project expenditures were monitored, tracked and documented thoroughly</p> <p>c) <b>most</b> project task and activity costs (labour, materials, equipment, etc.) were adequately financed and value for money.</p>	<p>EA satisfies the criteria for sections 1 and 3, and satisfies <b>most</b> of the criteria for sections 2. a)-d).</p> <p>1. Delivered <b>most of the</b> project deliverables <b>on budget</b> without loss of quality or delays.</p> <p>2. The Executing Agency <b>met</b> the cost requirements of a project of this size by ensuring:</p> <p>a) <b>all</b> costs of the project were adequately budgeted for</p> <p>b) <b>all</b> project expenditures were monitored, tracked and documented thoroughly</p> <p>c) <b>all</b> project task and activity costs (labour, materials, equipment, etc.) were adequately financed and value for money.</p> <p>d) the EA was cost-effective, and the project was value for money.</p> <p>3. Appropriate adaptive management strategies</p>	<p>EA satisfies <b>all</b> criteria for sections 1., 2. a)-d) 3, and 4.</p> <p>1. Delivered <b>all</b> project deliverables <b>on budget</b> <u>without loss of quality or delays</u>.</p> <p>2. The Executing Agency <b>met</b> the cost requirements of a project of this size by ensuring:</p> <p>a) <b>all</b> costs of the project were adequately budgeted for</p> <p>b) <b>all</b> project expenditures were monitored, tracked and documented thoroughly</p> <p>c) <b>all</b> project task and activity costs (labour, materials, equipment, etc.) were adequately financed and value for money.</p> <p>d) the EA was cost-effective, and the project was value for money.</p> <p>3. Appropriate adaptive management strategies were put in place to keep</p>	<p>EA satisfies <b>all</b> criteria for sections 1, 2, 3 and 4.</p> <p>1. Delivered <b>all</b> project deliverables <b>on budget</b> <u>without loss of quality or delays</u>.</p> <p>2. The Executing Agency <b>exceeded</b> the satisfactory cost requirements of a project of this size.</p> <p>3. Appropriate adaptive management strategies were put in place to keep the project running on budget.</p> <p>4. Where appropriate, the EA managed the project in a global reserve currency to minimise currency-related risks.</p>



			were put in place to keep the project running on budget.	the project running on budget.  4. Where appropriate, the EA managed the project in a global reserve currency to minimise currency-related risks.	
--	--	--	--	---	--

<b>5. Project Quality Management</b> Project quality management relates to the quality control and assurance of the project deliverables, activities and tasks. This is also determined by the project document and project scope.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p>EA satisfies any of the following criteria:</p> <p>1. <b>A few</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>with one or more no-cost extensions.</u></p> <p>OR</p> <p>The project deliverables, tasks and activities were delivered <b>did not meet the minimum quality requirements.</b></p>	<p>EA satisfies the criteria for section 1.</p> <p>1. <b>A few</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>at no extra cost or delay.</u></p> <p>OR</p> <p><b>Some</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>with one or more no-cost extensions.</u></p>	<p>EA satisfies the criteria for section 1.</p> <p>1. <b>Some</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>at no extra cost or delay.</u></p> <p>OR</p> <p><b>Most</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>with one or more no-cost extensions.</u></p>	<p>EA satisfies <b>all</b> criteria for sections 1 and 2.</p> <p>1. <b>Most</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>at no extra cost or delay.</u></p> <p>OR</p> <p><b>All</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>with one or more no-cost extensions.</u></p> <p>2. Appropriate <b>quality assurance processes</b> were put in place to ensure the project delivered high-quality deliverables.</p>	<p>EA satisfies <b>all</b> criteria for sections 1 and 2.</p> <p>1. <b>All</b> project deliverables, tasks and activities were delivered <b>at required</b> quality standards <u>at no extra cost or delay.</u></p> <p>2. Appropriate <b>quality assurance processes</b> were put in place to ensure the project delivered high-quality deliverables.</p>	<p>EA satisfies <b>all</b> criteria for sections 1, and 2.</p> <p>1. <b>All</b> project deliverables, tasks and activities were delivered <b>above satisfactory or required</b> quality standards <u>at no extra cost or delay.</u></p> <p>2. Appropriate <b>quality assurance processes</b> were put in place to ensure the project delivered high-quality deliverables.</p>

<b>6. Project Human Resource Management</b> Project human resource management is about having the right people in the right places at the right times to fulfil the project's objectives.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p>EA satisfies criteria for sections 1, 2. a) – d), and, where appropriate, 3.</p> <p>1. The project was <b>not</b> adequately staffed.</p> <p>2. To achieve the project's objectives, the project staff were <b>rarely</b>:</p> <p>a) brought on to the project in a timely manner</p> <p>b) delegated tasks appropriate to their personnel type and expertise</p> <p>c) geographically located to achieve the project objectives</p> <p>d) clear about their roles, responsibilities and reporting lines on the project (as per the position description)</p> <p>3. Appropriate handover was undertaken to ensure project personnel changes <b>caused significant delays and increased the cost</b> of the project.</p>	<p>EA satisfies criteria for sections 1, 2. a) – d), and, where appropriate, 3.</p> <p>1. The project was <b>not</b> adequately staffed.</p> <p>2. To achieve the project's objectives, the project staff were <b>sometimes</b>:</p> <p>a) brought on to the project in a timely manner</p> <p>b) delegated tasks appropriate to their personnel type and expertise</p> <p>c) geographically located to achieve the project objectives</p> <p>d) clear about their roles, responsibilities and reporting lines on the project (as per the position description)</p> <p>3. Appropriate handover was undertaken to ensure project personnel changes <b>caused delays</b> and/or <b>increased the cost</b> of the project.</p>	<p>EA satisfies criteria for sections 1, 2. a) – d), and, where appropriate, 3.</p> <p>1. The project was <b>not</b> adequately staffed.</p> <p>2. To achieve the project's objectives, the project staff were <b>usually</b>:</p> <p>a) brought on to the project in a timely manner</p> <p>b) delegated tasks appropriate to their personnel type and expertise</p> <p>c) geographically located to achieve the project objectives</p> <p>d) clear about their roles, responsibilities and reporting lines on the project (as per the position description)</p> <p>3. Appropriate handover was undertaken to ensure project personnel changes had <b>some impact</b> on the project.</p>	<p>EA satisfies criteria for sections 1, 2. a) – d), and, where appropriate, 3.</p> <p>1. The project was <b>adequately</b> staffed.</p> <p>2. To achieve the project's objectives, the project staff were <b>mostly</b>:</p> <p>a) brought on to the project in a timely manner</p> <p>b) delegated tasks appropriate to their personnel type and expertise</p> <p>c) geographically located to achieve the project objectives</p> <p>d) clear about their roles, responsibilities and reporting lines on the project (as per the position description)</p> <p>3. Appropriate handover was undertaken to ensure project personnel changes had a <b>slight impact</b> on the project.</p>	<p>EA satisfies <b>all</b> criteria for sections 1, 2. a) – d), and, where appropriate, 3.</p> <p>1. The project was <b>adequately</b> staffed.</p> <p>2. To achieve the project's objectives, the project staff were <b>always</b>:</p> <p>a) brought on to the project in a timely manner</p> <p>b) delegated tasks appropriate to their personnel type and expertise</p> <p>c) geographically located to achieve the project objectives</p> <p>d) clear about their roles, responsibilities and reporting lines on the project (as per the position description)</p> <p>3. Appropriate handover was undertaken to ensure project personnel changes had a <b>minimal impact</b> on the project.</p>	<p>EA satisfies <b>all</b> criteria for sections 1, 2, and, where appropriate, 3.</p> <p>1. the project was <b>adequately</b> staffed (and was <u>neither overstaffed nor understaffed</u>)</p> <p>2. Project staff hired by the EA <b>exceeded</b> the satisfactory requirements of the project.</p> <p>3. Staff transitions and turnovers were <b>seamless</b> and had no impact on the project</p>

--	--	--	--	--	--

<b>7. Project Communications Management</b> Project communications management informs the team and stakeholders on every aspect of the project.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
EA satisfies <b>no</b> criteria for sections 1.a) – c), 2. a) – c), and 3. a) – c).  1. Communication between the IA and EA:  a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation  2. Project reporting:  a) was complete (all expenditure and progress reports submitted)  b) was submitted on time  c) was sufficiently detailed  3. The communication between the EA and other parties involved (other teams in the EA (finance) or consultants of the project) in the project:	EA satisfies <b>a few</b> criteria for sections 1.a) – c), 2. a) – c), and 3. a) – c).  1. Communication between the IA and EA:  a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation  2. Project reporting:  a) was complete (all expenditure and progress reports submitted)  b) was submitted on time  c) was sufficiently detailed  3. The communication between the EA and other parties involved (other teams in the EA (finance) or consultants of the project) in the project:	EA satisfies <b>some</b> criteria for sections 1.a) – c), 2. a) – c), and 3. a) – c).  1. Communication between the IA and EA:  a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation  2. Project reporting:  a) was complete (all expenditure and progress reports submitted)  b) was submitted on time  c) was sufficiently detailed  3. The communication between the EA and other parties involved (other teams in the EA (finance) or consultants of the project) in the project:	EA satisfies <b>most</b> criteria for sections 1.a) – c), 2. a) – c), and 3. a) – c).  1. Communication between the IA and EA:  a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation  2. Project reporting:  a) was complete (all expenditure and progress reports submitted)  b) was submitted on time  c) was sufficiently detailed  3. The communication between the EA and other parties involved (other teams in the EA (finance) or consultants of the project) in the project:	EA satisfies <b>all</b> criteria for sections 1.a) – c), 2. a) – c), and 3. a) – c).  1. Communication between the IA and EA:  a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation  2. Project reporting:  a) was complete (all expenditure and progress reports submitted)  b) was submitted on time  c) was sufficiently detailed  3. The communication between the EA and other parties involved (other teams in the EA (finance) or consultants of the project) in the project:	EA satisfies <b>all</b> criteria for sections 1, 2, and, where appropriate, 3.  1. Communication between the EA and IA was above satisfactory requirements.  2. EA reports were above satisfactory requirements.  3. Communication between the EA and other project partners were above satisfactory requirements.

a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation	a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation	a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation	a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation	a) included project updates that were regular and frequent  b) added value to the project  c) was timely and assisted the project implementation	
--	--	--	--	--	--

<b>8. Project Risk Management</b> Project risk management identifies, categorises, and prioritises risks by likelihood and impact, and endeavours to control project risks.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p>EA satisfies the criteria for sections 1. and 2. a) – b).</p> <p>1. Risks had a <b>significant</b> impact on the project's schedule, outputs, tasks, activities and deliverables, and/or their quality.</p> <p>2. Project risks were:</p> <p>a) <b>not</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>not</b> controlled by implementing risk reduction or preventative measures</p>	<p>EA satisfies the criteria for sections 1. and 2. a) – b).</p> <p>1. Risks had a <b>significant</b> impact on the project's schedule, outputs, tasks, activities and deliverables, and/or their quality.</p> <p>2. Project risks were:</p> <p>a) <b>somewhat</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>somewhat</b> controlled by implementing risk reduction or preventative measures</p>	<p>EA satisfies the criteria for sections 1. and 2. a) – b).</p> <p>1. Risks had a <b>moderate</b> impact on the project's schedule, outputs, tasks, activities and deliverables, and/or their quality.</p> <p>2. Project risks were:</p> <p>a) <b>mostly</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>somewhat</b> controlled by implementing risk reduction or preventative measures</p>	<p>EA satisfies <b>all</b> criteria for sections 1. and 2. a) – b).</p> <p>1. Risks had a <b>moderate</b> impact on the project's schedule, outputs, tasks, activities and deliverables, and/or their quality.</p> <p>2. Project risks were:</p> <p>a) <b>mostly</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>reasonably</b> controlled by implementing risk reduction or preventative measures</p>	<p>EA satisfies <b>all</b> criteria for sections 1. and 2. a) – b).</p> <p>1. Risks had a <b>minor</b> impact on the project's schedule, outputs, tasks, activities and deliverables, and/or their quality.</p> <p>2. Project risks were:</p> <p>a) <b>mostly</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>reasonably</b> controlled by implementing risk reduction or preventative measures</p>	<p>EA satisfies <b>all</b> criteria for sections 1. and 2. a) – b).</p> <p>1. Risks did <b>not</b> impact the project's schedule, outputs, tasks, activities and deliverables, and their quality.</p> <p>2. Project risks were:</p> <p>a) <b>all</b> identified, categorised, and prioritised by likelihood and impact (or equivalent)</p> <p>b) <b>all</b> controlled by implementing risk reduction or preventative measures</p>

<b>9. Project Procurement Management</b> Project procurement management identifies the outside needs of the project, and how to obtain these goods and services for the project.					
Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
EA satisfies <b>all</b> criteria for sections 1. and 2. a) – d).  1. <b>A few</b> procurement needs of the project were identified and met.  2. Procurement processes were:  a) <b>rarely</b> completed with proper due diligence and compliant with ESE safeguards.  b) <b>rarely</b> conducted in a timely manner, causing no delays to the project  c) <b>rarely</b> appropriately monitored  d) <b>rarely</b> appropriately closed once the work has been done to all stakeholders' satisfaction.	EA satisfies <b>all</b> criteria for sections 1. and 2. a) – d).  1. <b>Some</b> procurement needs of the project were identified and met.  2. Procurement processes were:  a) <b>sometimes</b> completed with proper due diligence and compliant with ESE safeguards.  b) <b>sometimes</b> conducted in a timely manner, causing no delays to the project  c) <b>sometimes</b> appropriately monitored  d) <b>sometimes</b> appropriately closed once the work has been done to all stakeholders' satisfaction.	EA satisfies <b>all</b> criteria for sections 1. and 2. a) – d).  1. <b>Most</b> procurement needs of the project were identified and met.  2. Procurement processes were:  a) <b>usually</b> completed with proper due diligence and compliant with ESE safeguards.  b) <b>usually</b> conducted in a timely manner, causing no delays to the project  c) <b>usually</b> appropriately monitored  d) <b>usually</b> appropriately closed once the work has been done to all stakeholders' satisfaction.	EA satisfies <b>all</b> criteria for sections 1. and 2. a) – d).  1. <b>Most</b> procurement needs of the project were identified and met.  2. Procurement processes were:  a) <b>mostly</b> completed with proper due diligence and compliant with ESE safeguards.  b) <b>mostly</b> conducted in a timely manner, causing no delays to the project  c) <b>mostly</b> appropriately monitored  d) <b>mostly</b> appropriately closed once the work has been done to all stakeholders' satisfaction.	EA satisfies <b>all</b> criteria for sections 1. and 2. a) – d).  1. <b>All</b> procurement needs of the project were identified and met. And (where applicable) a detailed procurement plan was developed.  2. Procurement processes were:  a) <b>always</b> completed with proper due diligence and compliant with ESE safeguards.  b) <b>always</b> conducted in a timely manner, causing no delays to the project  c) <b>always</b> appropriately monitored  d) <b>always</b> appropriately closed once the work has been done to all stakeholders' satisfaction.	EA satisfies <b>all</b> criteria for sections 1 and 2.  1. <b>All</b> procurement needs of the project were identified and met. And (where applicable) a detailed procurement plan was developed.  2. Procurement processes exceeded the satisfactory requirements.



**10. Project Stakeholder Management (from UNEP Evaluations Office Evaluation Matrix)**

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 UNEP. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

Highly Unsatisfactory	Unsatisfactory	Moderately Unsatisfactory	Moderately Satisfactory	Satisfactory	Highly Satisfactory
<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with no analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There was no consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•No support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> <li>•There have been no efforts made by Project Team to</li> </ul>	<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with a weak analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There have been limited, and ineffective, efforts made by Project Team to promote stakeholder ownership (of process or outcome)</li> <li>•There was weak (ineffective, irregular and/or poorly timed) consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•Weak support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> </ul>	<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with a moderate analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There have been limited, but effective, efforts made by Project Team to promote stakeholder ownership (of process or outcome)</li> <li>•There was moderate (occasionally effective but mostly irregular and/or poorly timed) consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•Moderate support was given to collaboration or collective action between stakeholder groups. (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> </ul>	<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with a good analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There have been moderate efforts, with mixed effectiveness, made by Project Team to promote stakeholder ownership (of process or outcome)</li> <li>•There was good (mostly effective but sometimes irregular and/or poorly timed) consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•Good support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> <li>•Linkages to poverty alleviation or impact on economic livelihoods have</li> </ul>	<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with a strong analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There have been strong efforts, with mixed effectiveness, made by Project Team to promote stakeholder ownership (of process or outcome)</li> <li>•There was strong (always effective but sometimes irregular and/or poorly timed) consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•Strong support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> </ul>	<p><i>Evidence suggests that:</i></p> <ul style="list-style-type: none"> <li>•Implementation began, and was undertaken, with an excellent analysis of stakeholder groups (all those who are affected by or could affect this project).</li> <li>•There have been strong and fully effective efforts made by Project Team to promote stakeholder ownership (of process or outcome)</li> <li>•There was excellent (always effective, regular and well-timed) consultation and/or communication with stakeholder groups during the life of the project.</li> <li>•Excellent support was given to collaboration or collective action between stakeholder groups (e.g. sharing plans, pooling resources, exchanging learning and expertise)</li> </ul>

<p>promote stakeholder ownership (of process or outcome)</p> <p>•Linkages to poverty alleviation or impact on economic livelihoods have not been considered or addressed in the project</p>	<p>•Linkages to poverty alleviation or impact on economic livelihoods have been poorly considered and/or addressed in the project (e.g. some consideration given but clearly insufficient attempts to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made)</p>	<p>•Linkages to poverty alleviation or impact on economic livelihoods have been moderately considered and/or addressed in the project (e.g. some consideration given and partial or late attempts to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made)</p>	<p>been considered and addressed in the project well (e.g. substantial consideration given and largely complete/timely attempts to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made)</p>	<p>•Linkages to poverty alleviation or impact on economic livelihoods have been considered and addressed in the project very well (e.g. substantial consideration given and all attempts are complete and well-timed) to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made)</p>	<p>•Linkages to poverty alleviation or impact on economic livelihoods have been considered and addressed in the project excellently (e.g. full consideration given and all attempts are complete and well-timed) to assess and mitigate negative effects on sustainability of livelihoods, equity of opportunities and the protection of human rights for populations directly or indirectly affected by the project, have been made)</p> <p><b><u>AND</u></b></p> <p>• Positive effects on equity are demonstrated.</p>
---	---	--	--	--	--

Annex 9      **Key project deliverables/outputs**

<b>Deliverable</b>	<b>Received?</b>
MIA Report	Yes
NIP Report	Yes