TERMINAL REVIEW OF THE UNEP/GEF ENABLING ACTIVITY 5860

"DEVELOPMENT OF MINAMATA INITIAL ASSESSMENT IN AFRICA"

Ines BENABDALLAH

03 April 2018

Contents

Project Identification table

Executing Agency:	Groundwork Friends of the Earth		
Sub-programme:	Chemicals and Health	Expected Accomplishment(s):	Minamata initial assessment in 5 countries
UN Environment approval date:	27 Oct 14	Programme of Work 18-19 Output(s):	(a)(1); (a)(3); (a)(5)
GEF project ID:	5860	Project type:	EA
GEF Operational Programme #:	2	Focal Area(s):	POPs
GEF approval date:	10 Jun 14	GEF Strategic Priority:	Mercury
Expected start date:	December 14	Actual start date:	29 Jan 15
Planned completion date:	31 Jan 17	Actual completion date:	Sept 2018
Planned project budget at approval:	$2,043,185	Actual total expenditures reported as of Feb 2018:	$0
GEF grant allocation:	$913,242	GEF grant expenditures reported as of Feb 18	$840,821
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a
Expected Medium-Size Project/Full-Size Project co-financing:	$1,129,943	Secured Medium-Size Project/Full-Size Project co-financing:	$0
First disbursement:	29 Jan 15	Date of financial closure:	Sept 2018
No. of revisions:	1	Date of last revision:	23 Mar 2017
No. of Steering Committee meetings:	n/a	Date of last/next Steering Committee meeting:	Last: / Next:
Mid-term Review/ Evaluation *(planned date):*	n/a	Mid-term Review/ Evaluation (actual date):	n/a
Terminal Review *(planned date):*	Jan-Feb 18	Terminal Review (actual date):	Feb-Mar 18
Coverage - Country(ies):	Ethiopia, Gambia, Tanzania, Uganda & Zambia	Coverage - Region(s):	Africa
Dates of previous project phases:	n/a	Status of future project phases:	n/a

Executive Summary

This review is the output of the Terminal Review process of the enabling activity (EA) entitled "Development of Minamata Initial Assessment in Africa", executed by Groundwork Friends of the Earth as regional coordinator and in cooperation with the governments of Ethiopia, the Gambia, Tanzania, Uganda and Zambia. The total budget was of $2,043,185. The UN Environment/GEF budget is $913,242 and $1,129,943 in co-financing from each of the national governments. The project is the first step in informing the governments' decision to ratify the Minamata Convention, signed by all five countries on October 10th, 2013, and it aims at setting a baseline of data about the presence of mercury in different environmental media, via the inventory of emissions and releases.

The objective of the MIA project was to facilitate the ratification and early implementation of the Minamata Convention (MC) by the use of scientific and technical knowledge and tools by national stakeholders in each of the five project countries. It was based on six components: establishing a national coordination mechanism and organization of process; assessment of the national infrastructure and capacity for the management of mercury, including national legislation; development of a mercury inventory using the UN Environment mercury toolkit and strategies to identify and assess mercury contaminated sites; identification of challenges, needs and opportunities to implement the MC on mercury; preparation and validation of national MIA reports and implementation of awareness raising activities and dissemination of results; and information exchange, capacity building and knowledge generation.

The review analyzed project documentation, country-produced assessment reports, and carried out interviews via Skype, telephone and in person with stakeholders of the five different countries; as well as written questionnaires for stakeholders that were unavailable for direct communication.

Criterion	Rating	Page in report
A. Strategic Relevance	**Highly Satisfactory**	**15**
1. Alignment to UN Environment MTS and POW	HS	
2. Alignment to GEF/Donor strategic priorities	HS	
3. Relevance to regional, sub-regional and national environmental priorities	S	
4. Complementarity with existing interventions	S	
B. Quality of Project Design	**Satisfactory**	**16**
C. Nature of External Context	**Moderately Favourable**	**Inception report**
D. Effectiveness	**Moderately Satisfactory**	**19**
1. Achievement of outputs	MS	
2. Achievement of direct outcomes	MS	
3. Likelihood of impact	ML	
E. Financial Management	**Pending Completion**	**24**
1.Completeness of project financial information	Pending completion	
2.Communication between finance and project management staff	Pending completion	
3.Compliance with UN Environment standards and procedures	Pending completion	
F. Efficiency	**Moderately Unsatisfactory**	**24**
G. Monitoring and Reporting	**Moderately Satisfactory**	**24**
1. Monitoring design and budgeting	HS	
2. Monitoring of project implementation	MS	
3.Project reporting	Complete	
H. Sustainability	**Moderately Likely**	**25**
1. Socio-political sustainability	HL	
2. Financial sustainability	ML	

Criterion	Rating	Page in report
3. Institutional sustainability	HL	
I. Factors Affecting Performance	**Satisfactory**	**26**
2. Quality of project management and supervision	S	
3. Stakeholders participation and cooperation	S	
4. Responsiveness to human rights and gender equity	U	
5. Country ownership and driven-ness	S	
6. Communication and public awareness	MU	
Overall Project Rating	**Moderately Satisfactory**	

Conclusions

The MIA project has been instrumental in informing the countries' decision to ratify the Minamata Convention, and has resulted in Zambia and the Gambia ratifying the convention, while Ethiopia, Uganda and Tanzania have begun the political process to ratifying. It was concluded that time delays caused by the administrative process should be managed better in order to improve efficiency. Also, it is essential for the Executing Agency and national co-executing partners to hold pre-contract meetings in order to ensure full communicate and understanding of the project aims and expected outputs. Moreover, there is a need for more contractual obligations between the Executing Agency and National Co-Executing partners to ensure timely compliance and delivery of outputs.

As for the technical inventory, it needs to be adapted to the region's specifications, as it does not respond to the needs of the participating countries, especially relating to HS codes and default factors. This highlighted the pressing need for more data on the illegal trade of mercury containing products, the use of mercury in the ASGM and mining sectors and on the porosity of borders between African countries.

There is also a need for a regional framework to ensure the project's sustainability and to encourage countries to share experiences. In addition, the lack of consideration for the gender dimension, and gender assessment is an issue that needs to be addressed via contractual obligation. Furthermore, the next step is to work and collaborate more regionally, and to seek more active involvement of the private sector.

The project's **strengths** have been an excellent relationship between the countries, the executing agency and the implementing agency, with constant communication and effort to solve any issues that arose during implementation, as well as two countries having reached the project objective and ratified the Minamata Convention. The **weaknesses** have been mainly poor management of time and delays in reporting and delivery from the participating countries, as well as a lack of consideration of the gender and socio-economic dimension of the initial assessment.

Lessons Learnt

Lesson1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular.

Lesson 2: Inventories and analytical tools have to be adapted to regional specifications.

Lesson 3: The Executing Agency must hold pre-implementation informative sessions with participant countries.

Lesson 4: Contractual obligations must be more specific.

Lesson 5: Regional face-to-face meetings and training sessions are essential and should take place more often.

Lesson 6: The gender analysis must be contractualized and the need for sex-disaggregated data must be defined and explained.

Recommendations

Recommendation 1: Participant countries should engage all levels of staff at the design stage.

Recommendation 2: Communicating the expectations of the project at the pre-implementation stage is essential.

Recommendation 3: Rethinking the project timeline.

Recommendation 4: Standardizing the reporting process between participant country and executing agency.

Recommendation 5: Encouraging participant countries to attend more regional meetings.

Recommendation 6: Encouraging exchange of information between academic institutions.

Recommendation 7: Revising the UN Environment Inventory Toolkit.

Recommendation 8: Push countries with a consequential formal mining sector to engage with private partners.

Recommendation 9: Holding a border control and customs regional meeting.

Recommendation 10: Employing a gender expert.

Introduction

This report presents the terminal review of the enabling activity project entitled "Development of Minamata Initial Assessment in Africa". The objective of the project is to facilitate the ratification and early implementation of the Minamata Convention (MC from hereafter) by the use of scientific and technical knowledge and tools by the national governments of the five project countries: Ethiopia, the Gambia, Tanzania, Uganda and Zambia. The latter have all signed the convention on the 10th of October 2013, and the project was prepared in 2014, with an initial planned duration of 24 months, from the first disbursement of funds in January 2015. The project is aligned with each of the five participating countries' UN Development Assistance Framework (UNDAF) environmental priorities/outcomes; as well as aligned with UN Environment's Programme of Work (PoW) under "work aiming to achieve internee into force and implementation of the Minamata Convention" and with the Mid-Term Strategy (MTS) in line with its strategy by increasing each country's capacity to manage chemicals and waste and by increasing collaboration between the secretariats of chemicals and waste related multilateral environmental agreements. The project experienced a delay in the disbursement of funds in the early stages of the project, but this did not affect the overall completion of project activities; however, an extension is currently being approved, to make use of the remaining budget, making the closing date September 2018. It was implemented by the United Nations Environment Programme, with funding from the Global Environment Fund (GEF) and executed by groundwork Friends of the Earth South Africa, who has had extensive experience in mercury management projects in the region, following the signing of the Convention. By March 2018, roughly 90% ($840,823) of the total ($913,242) UNEP/GEF budget had been disbursed, complemented by co-financing from each country of $200,000 in-kind. This final review is addressed to the participating countries, the executing agency, the implementing agencies, and any other countries or agencies intending to learn from previous experience of initial assessments of the Minamata Convention or planning a similar Enabling Activity.

The Review

The review was carried out in February and March 2018 by an independent consultant, Ines Benabdallah, under the supervision of the Task Manager of the GEF team at the Chemicals and Health Branch of the Economy Division of UN Environment.

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

The review had aimed to be as participatory as possible, and the evaluator has been in contact with the Minamata focal points of all five project countries, as well as some non-governmental stakeholders, throughout the two-month period. It was not possible to arrange travel to any of the countries, due to lack of time and funding, therefore most of the interviews were conducted via Skype and telephone, while stakeholders who were not unable to use these methods of communication filled out an online review questionnaire and were reached via email. Two interviews were face-to-face in Stockholm where the evaluator and the stakeholders attended the SAICM second intersessional process meeting.

The interviews, the desk review of all available project documentation and the online questionnaire were the main methods used in verifying the outcomes and outputs of the project components. The performance of the project was evaluated in terms of relevance, effectiveness and efficiency, as well as its actual and potential outcomes and impacts and their sustainability. It also consisted of a likelihood of impact assessment, identifying intended and unintended effects. Then the factors and processes affecting project performance were assessed, relating to

preparation and readiness, quality of management and supervision, stakeholder participation, public awareness, country ownership and responsiveness to human rights and gender equity. Finally, the project financing and the monitoring and evaluation systems were reviewed. All findings in this report are based on referenced evidence, and the sources were crossed to the extent possible, while the logic behind the evaluator's judgement is explained when necessary.

The Project

Context

The project is an enabling activity in nature, and the process of the MIA has been developed as a standardized process in order to be applicable to any country. The project was designed to assess the situation with regard to the levels of mercury in the participating countries. It is therefore a baseline establishing project to be considered as the basis for future projects relating to mercury management in the latter countries.

Ethiopia: Ethiopia's natural resources have been put under strain from continuous malpractice and unsustainable human exploitation. The use of chemicals and mercury in particular is not a priority issue, but the Ministry of Environment, Forest and Climate Change (MEFCC from hereafter), the highest environmental authority in the country, is taking a preventative step in anticipating the growth of the industrial sector and the shift towards an increased production of chemicals and products. Ethiopia has previously ratified the Basel, Rotterdam and Stockholm Conventions, as well as the Kyoto Protocol among many biodiversity and environment related multilateral agreements and conventions. It signed the Minamata Convention on Mercury on October 10, 2013, and has since created a Minamata National Coordination Committee.

The Gambia: The Gambia does not have a significant artisanal and small gold mining sector (ASGM for hereafter), but mainly an issue with mercury-added products, as the major source of mercury emissions and releases is the use and disposal of said products, along with the lack of appropriate treatment of waste. The highest environmental authority is the National Environment Agency (NEA from hereafter), operating under the Office of the President and Ministry of Environment, Climate Change and Natural Resources; has an already advanced chemicals management network and portfolio; having ratified many Multilateral Environmental Agreements as well as having formed many councils and multi-stakeholder groups, such as the Hazardous Chemicals and Pesticides Control and Management Board, among others. The Gambia signed the Minamata Convention on Mercury on October 10, 2013, and has since established an MEA unit at the NEA to facilitate the implementation of the agreements it signs.

Tanzania: Tanzania's environment and natural resources are a source of concern for the local authorities, caused by years of mismanagement and exploitation. Six areas of major concern have been identified, requiring immediate attention: Land degradation; environmental pollution caused by untreated waste and unsustainable agricultural and mining activities; lack of accessible, good quality water for both urban and rural inhabitants; loss of wildlife habitats and biodiversity; deterioration of aquatic ecosystems; and deforestation. The key sectors emitting and releasing mercury in the environment in Tanzania are the industrial manufacturing and the ASGM sectors, which also contribute significantly to the national GDP, at 5.1% and 4% respectively. Tanzania has therefore signed the Minamata Convention on October 10, 2013 and has mandated the Division of Environment under the Vice President's Office to implement the project and to serve as a convention focal point. To facilitate implementation, National Task teams consisting of multiple stakeholders have been constituted.

Uganda: Uganda's economy relies heavily on its rich natural resource base, and therefore the management of the environment and sustainable use of natural resources in a priority for the local authorities. The highest environmental authority in Uganda is the National Environment Management Authority (NEMA from hereafter), a semi-autonomous agency charged with coordinating, monitoring, regulating and supervising environmental management in the country. Uganda does not produce elemental mercury, but significant amounts of it are imported directly or indirectly, either as a component of products or in its elemental form for use in the ASGM sector. Uganda

has signed the Minamata Convention on October 10, 2013, and has since constituted a National Coordination Committee to facilitate the implementation of the MIA project.

Zambia: The growing population of Zambia has increased pressure on the natural resource reserves and on the environment in general. In order to remedy to this, the highest environmental authority, Zambia Environmental Management Agency (ZEMA from hereafter), has been mandated to execute the National Policy on Environment; consisting of five main priority areas: water pollution and inadequate sanitation, soil erosion, air pollution, wildlife depletion and deforestation. Having undertaken a Level 1 national mercury inventory between 2011-12, it was already established that the main causes of mercury emissions and releases to the environment in Zambia are: primary metal production, energy consumption, fuel refinery, cement production and the use and disposal of mercury-containing products. Furthermore, a technical study of mercury management was undertaken in 2014. This in turn informed the decision to sign the Minamata Convention on October 10, 2013, and set in motion the ratification process, leading to the ratification of the MC in 2016 and the establishment of a National Coordination Mechanism, involving multiple stakeholders organized in different working groups, to facilitate the project implementation.

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

As the population of the five project countries grow, and as their economies are slowly transforming towards industrialization; the stress of the environment and natural resources is increasing and the issue of mercury management is becoming a priority. In particular, the fields of ASGM, waste treatment, energy consumption, primary metal production, mercury-containing products for consumption and medical instruments are the main sources of emissions and releases to the environment in the project countries.

The main challenge common to the five countries is the lack of reliable data in order to formulate tailored environmental management strategies. Ethiopia, Zambia and Tanzania have conducted an inventory on mercury previously, however the other countries has significant data gaps to fill. The UN Environment toolkit for identification and quantification of mercury releases has been updated since, and the latest version (Level 2) makes for a more detailed inventory of industry sectors. Thus, as part of the pre-ratification efforts, the MIA project outputs have been designed to fill the gaps in scientific, institutional and legal data.

Institutional and political challenges

Ethiopia: Ethiopia has had different environmental legal frameworks and strategies in the past but none of them specifically referred to the management of mercury or heavy metals in general. A lack of harmonization in the institutional effort and of a comprehensive approach are some of the shortcomings of in the Ethiopian framework.

The Gambia: The Gambia also has many legal frameworks relevant to chemicals management; however, none of them addresses the management of mercury specifically. The country has never carried out an inventory or a technical study to estimate the amount of mercury in the environment, but the documented active ASGM sector in neighboring countries across porous borders, the use of mercury in dental amalgam, and the lack of appropriate waste management is an indication of the presence of mercury in the environment and the need for appropriate management.

Tanzania: Tanzania has more extensive and developed environmental legislation, regulating a wide range of activities such as industrial and consumer chemicals management and water utilization. It is the only project country with legislation banning mercury in pesticides. Many of the already existing legislation is relevant to mercury

management and can be amended to include bans on mercury; however, the Level 1 inventory demonstrated the need to regulate the most impactful sectors such as ASGM, oil extraction, dental amalgam and informal waste dumping.

Uganda: Uganda has never undertaken an inventory, therefore all the available data is estimated. It has no legislation addressing mercury management directly, but has some relevant text, such as legislation on occupational health and on injection safety and healthcare waste management. Along with Tanzania and Kenya, Uganda previously took part in the UN Environment 2012-13 project East African Dental Amalgam Phase Down (EADP). According to estimates, ASGM is the sector that emits the most mercury to the environment; therefore, the need to regulate it is essential.

Zambia: Like all project countries, Zambia does not have legislation that addresses the management of mercury specifically; but like Tanzania, it has extensive environmental legislation that can be amended to include bans on mercury. Such legislation addresses public health, pharmaceuticals and factories among others. Zambia has undertaken a Level 1 mercury inventory in the past, and following source groups contribute the most to mercury emissions and releases to the environment: ASGM, oil extraction, primary metal production and the use of dental amalgam.

All participating countries are signatories to the Basel, Rotterdam and Stockholm Conventions, as well as the Bamako Convention (with the exception of Tanzania for the latter). They all face a lack of legislation specifically addressing mercury management and they all lack the institutional framework and capacity to achieve sustainable mercury and heavy metals management.

During the implementation of the project, all participating countries constituted multi-stakeholder committees to execute the project and to help raise awareness among the government officials as well as the private sector and civil society. However, the socio-economic dimension and the gender aspect of the project seems to have been consistently neglected in the MIA reports. This will be elaborated on later in the review.

Politically, the countries are stable and ownership of the project remained constant; however, the project teams on Tanzania and Uganda were replaced in their entirety due to political change. The executing agency had to therefore retrain the teams and get them up to speed, due to poor handover practices in the respective ministries.

Objectives and Components

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

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

Milestones/Key Dates in Project Design and Implementation

Project start date: Planned for December 2014; Actual start on 29 January 2015

Mid-term Evaluation (MTE) date: Because of the scale and nature of the project as an Enabling Activity, the project document does not require a MTE, therefore the monitoring and evaluation plan consists only of the quarterly progress reports from the executing agency, the independent financial audit and the independent terminal review.

Project extensions: The first Project Cooperation Agreement (PCA from hereafter) extension was signed in March 2017, allowing the contract to remain in force until February 28, 2018.

The second PCA extension is currently being finalized, and it will allow the contract to remain in force until August 2018.

Project completion date: Planned for 29 January 2017, Estimated completion date: September 2018

Implementation Arrangements

UN Environment acted as the UN implementing agency for this project, with financing from the GEF in accordance with Article 13 on the financial mechanism of the Minamata Convention; included in the GEF V Focal Area Strategies document under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, specifically under outcome 3.1 to build country capacity to effectively manage mercury in priority sectors. Execution was undertaken by groundWork, the South African member of Health Care Without Harm and Friends of the Earth International. GroundWork has experience in conducting mercury assessments in the region, namely South Africa, Cameroon and Ghana. The participating countries' environment authorities and ministries are the co-executing agencies, and all have experience in conducting National Implementation Plans (NIPs) for Persistent Organic Pollutants (POPs) under the obligations of the Stockholm Convention. Quarterly progress and financial reports have been submitted by groundWork to the UN Environment/GEF task manager. The project agreement requires a financial audit to be carried out by an independent audit entity, under the responsibility of the executing agency. It is being undertaken currently, as the entire executing agency is being audited.

Project Financing

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

Project Components	(a) GEF Financing original estimate/ (a^1) budget revision / *(a^2)actual disbursements to date*		(b) Actual co-financing		(c) Total ($) (c=$a^1$+b)
	$	% (of a)	$	% (of b)	
1.Establishment of Coordination Mechanism and organisation of process	183,154/ 169,813/ *169,813*	20.1/ 18.6/ *18.6*	185,000	16.4	354,813
2.Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	73,304/ 73,304/ *73,304*	8/ 8/ *8*	272,500	24.1	345,804
3.Development of a mercury inventory using the UN Environment mercury toolkit and strategies to identify and assess mercury contaminated sites	237,304/ 246,518/ *243,673*	26/ 27/ *26.7*	217,300	19.2	463,818
4. Identification of challenges, needs and opportunities to implement the Minamata Convention	75,104/ 75,104/ *75,104*	8.3/ 8.3/ *8.3*	280,000	24.8	355,104
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	166,354/ 166,481/ *144,904*	18.2/ 18.2/ *15.9*	125,000	11.1	291,481
6. Information exchange, capacity building and knowledge generation	50,000/ 50,000/	5.5/ 5.5/	0	0	50,000

	50,000	*5.5*			
7. Project management and supervision	83,022/ 87,022/ *84,024*	9.1/ 9.5/ *9.2*	50,143	4.4	131,165
8. Project monitoring and evaluation	45,000/ 45,000/ *0*	4.9/ 4.9/ *0*	0	0	45,000
Total project costs	913,242/ 913,242/ *840,823*	100/ 100/ *92*	1,129,943	100	2,043,185

Table2. Co-financing, by source and type of funding

Name of co-financer (source)	Classification	Type	Contribution ($)	%
Government of Ethiopia	National government	In-kind	200,000	17.7
Government of the Gambia	National government	In-kind	200,000	17.7
Government of Tanzania	National government	In-kind	200,000	17.7
Government of Uganda	National government	In-kind	200,000	17.7
Government of Zambia	National government	In-kind	165,000	17.7
		Cash	34,800	
UNEP	GEF Agency	In-kind	80,000	7.1
groundWork, Friends of the Earth – South Africa	Other	In-kind	50,143	4.4
Total co-financing			1,129,943	100

Because of the pending extension to the PCA, the project is still ongoing and there is a remaining unspent balance of $72,419 currently.

Project partners

The key project partners were:

- groundWork as the executing agency
- UN Environment Programme (UNEP) as the implementing agency
- The GEF as a financing partner
- Ethiopia's MEFCC as a co-executing national partner
- The Gambia's NEA as a co-executing national partner
- Tanzania's Vice President's Office, Division of Environment as a co-executing national partner
- Uganda's National Environment Management Authority (NEMA) as a co-executing national partner
- Zambia's ZEMA as a co-executing national partner

Changes in Design during Implementation

The project's budget was revised upon the extension request received in January 2017 from the executing agency and the co-executing national partners. These revisions are reflected in Table1. A revision to the work plan also accompanied the project extension, and it consisted of planning for a regional lessons learnt workshop and the production of a pamphlet summarizing the findings of the terminal review and the lessons learnt.

Theory of Change of the Project

A reconstructed Theory of Change (ToC from hereafter, as per Figure1 below) was prepared based on project documentation and reviewed with project staff during the review process. It demonstrates the logical sequence of intended results from immediate outputs and intended outcomes, feeding into the longer-term impact. Not all project activities were included in the ToC reconstruction diagram.

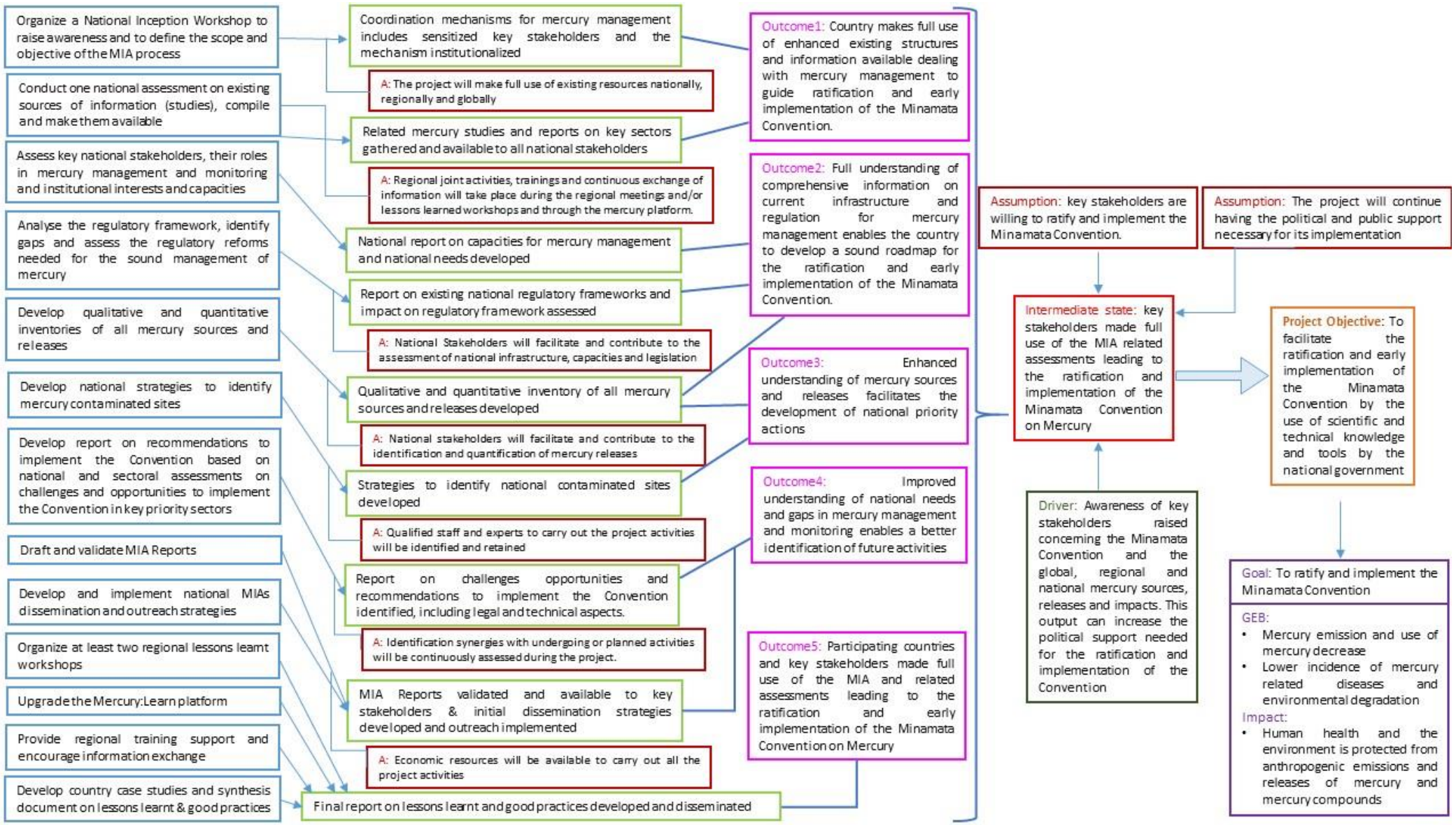
Because of the nature and scope of this project, there is one major pathway of outcomes to impact identified, along with one intermediate state.

Impact pathway 1 - Data Collection and Establishment of Baseline Institutional Framework: From outcomes 1, 2, 3, 4 and 5 to project objective. The fulfilment of the project objective requires the success of all five main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic; while component 6 is an underlying factor relating to the "how" element.

In order for the participating country to be able to ratify the Minamata Convention, it must first assess and enhance its existing information and structure (Outcome1), and then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities (Outcome2). These two outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UN Environment Mercury Inventory Toolkit (Outcome3), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps (Outcome4). At this stage, by making full use of the MIA, the country should have enough information to make an informed and databased decision to ratify and begin the early implementation process of the Minamata Convention (Outcome5). Underlying all of these efforts, the countries should have enhanced their communication, support and training in order to facilitate the development of the MIA and to build a basis for future cooperation and regional approaches for mercury management (Outcome6).

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

Figure 1: Theory of Change (re-constructed)



Review Findings

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

Strategic Relevance

National and Regional Priorities

Ethiopia: Mercury management is not a priority for Ethiopia as the national use of chemicals in general is insignificant, and there is no evidence for mercury being used in the amalgamation of gold in the ASGM sector. However, the country is taking a preventative step by completing the MIA, as the government anticipates an increased use of mercury in the shift to an industry-led economy. The unsustainable exploitation of natural resources is affecting the environment, and appropriate management and the promotion of best practices is essential as the population continues to grow and put stress on the rural areas. In addition, as all the consumer products and medical instruments containing mercury are imported from diverse countries, the inventory will provide more insight into the scale of imports and the management of waste in Ethiopia. One of the major environmental issues in Ethiopia is land degradation due to various causes, such as the extensive use of chemicals in agriculture and in industry. The country has put in place a number of environmental laws since the early 2000s, all in line with the spirit of the multilateral environmental agreements and the Minamata Convention, therefore the project is aligned to the national priorities.

The Gambia: Much like Ethiopia, the Gambia is not a producer of mercury nor a producer of chemicals in general. It has faced political and economic instability in recent years, with a shaky GDP growth rate, the Ebola outbreak and continuous overexploitation of natural resources. It is an importer of chemicals, mainly for the agricultural and industrial sector, as the economy relies heavily on agriculture and around 80% of the rural population is employed in the field. Land degradation is therefore a main environmental concern, much like Ethiopia. Being located on the coast of the Atlantic Ocean, the fishing sector has potential to develop, however it suffers from the consequences of illegal fishing and a lack of regulation. This is also a sector affected directly by mercury management. Because of its strategic position on the coast, the Gambia has served as a port for many neighboring countries in the sub region, using the river Gambia to transport goods. This highlights the issue of porous borders that will be addressed when implementing the MC. Mercury compounds are among the list of banned chemicals in the country, however, illegal traffic of mercury and mercury compounds is still an issue. Overall, ratifying and implementing the MC is in line with the environmental and economic national priorities.

Tanzania: The environment of Tanzania has been put under constant stress as the economy and the population of the country grow. There are six main environmental priorities identified, which the existing national environmental management strategies aim to address. These issues are land degradation; environmental pollution; lack of accessible good quality water for both urban and rural inhabitants; loss of wildlife and biodiversity; deterioration of aquatic ecosystems and deforestation. The harmonized sound management of chemicals and waste and of mercury through the Minamata Convention will contribute to addressing all of these priorities. There is also an active ASGM sector, producing 10% of national gold production, from an estimated 50 ASGM sites around the county, and use of mercury is reportedly common.

Uganda: Uganda like many of its participating counterparts has a thriving ecosystem and is rich in natural resources. It has an economy that is heavily reliant on its natural capital, and as a bulk of the population lives in rural areas, there is considerable strain being put on the environment. Like the other project countries, it is not a primary producer of mercury; however, it is an importer of mercury containing products ranging from cosmetics to agricultural chemicals. The ASGM sector is also one of the main sectors responsible for emissions and releases of mercury to the environment in the country. There are no specific laws or policies on the management of mercury,

but there are various domestic laws that can be relevant, the application of which is spearheaded by the semi-autonomous National Environment Management Authority (NEMA), an agency charged with regulating environmental management in the country. Uganda's environmental issues include poor waste management, reduced land productivity, land degradation, climate variability and population increase. The constitution of Uganda dated 1995 provides for the Citizens right to a clean and healthy environment. Therefore, managing mercury falls within the national priorities.

Zambia: Having a rapidly growing economy and population, Zambia is one of Africa's most urbanized countries, heavily reliant on agriculture and the mining sector, mainly cobalt and copper mining. The majority of the population still reside in rural areas and make their living from agriculture and fishing. Like the other project countries, the constant strain put on natural resources and the environment has prompted the government to put in place environmental management strategies aiming towards environmental sustainability. The National Policy on Environment (NPE) has outlined the following five priority areas to address: water pollution and inadequate sanitation, soil erosion, air pollution, wildlife depletion and deforestation. A 2014 UNITAR executed project, funded by the government of Switzerland, aiming at assisting signatories of the MC in their legal preparations for ratification of the MC, has given Zambia a head start and relevant experience. Zambia has carried out a mercury inventory in 2011-12 and identified significant mercury emissions and releases from various sectors such as energy consumption and primary metal production. Therefore, managing mercury falls within the national priorities.

UN Environment's Mandate and Policies

The project contributed to sub-programme 5: Chemicals and Waste, as it is a step towards "Work under the sub-programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury", identified in the UN Environment's Proposed Biennial Programme of Work 2016-2017. The project also contributed to the UN Environment Medium Term Strategy 2014-2017, under the harmful substances area and the Chemicals and Waste sub-programme. It is in line with the strategy, as it increases the participating countries' capacity to manage chemicals and waste, and increases collaboration with the secretariats of chemicals and waste-related multilateral environmental agreements. The institutional and regulatory framework strengthening also falls under the same strategy, making the project perfectly relevant and in line with UN Environment's mandate.

The GEF Strategic Objectives

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

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

Rating for strategic relevance: Highly satisfactory.

Quality of Project Design

As per the inception report: The project design is satisfactory overall. It takes into consideration the current state of environmental frameworks, institutions and national priorities of each country in the background section of the project document.

As Ethiopia, Zambia and Tanzania had already begun to make efforts in quantifying mercury pollution emissions and releases; the project was designed to build on those pre-existing efforts and to strengthen any efforts related to the sound management of chemicals in waste; while also making sure the countries who have not yet completed their Level 1 Inventory, the Gambia and Uganda, can benefit from the previous experiences and lessons learnt of the others.

In terms of consideration for external factors that might affect the project, there is no mention of likelihood of conflict, which can be explained either by the relative stability of the five participating countries, or by the fact that the risk was assessed by the Project Steering Committee and omitted to mention this in the project document. Due to the data-gathering nature of the project, it is expected that the likelihood of natural disasters be not detailed. This is also because of the short timeframe the project has. The political situation of the participating countries is not described at the design stage, perhaps because the project's outputs will include an assessment of the political and institutional frameworks of each country. However, there is sufficient mention of political change and its potential effects on the project's implementation and sustainability in the risk assessment section of the Logical Framework. There is also a mitigation strategy, in case political or governmental changes do occur, and it mainly requires commitments from all high stakeholder government institutions, stating that they will be responsible for supporting the project in case of unforeseen change.

The project preparation is satisfactory. The problem analysis is not detailed and comprehensive. However, it can be that this is intentional to allow countries to integrate national priorities in the project. The same observation applies to the situation analysis. The stakeholder analysis is highly satisfactory, as it includes relevant stakeholders for each country, as well as their interest/influence and their potential role. There are some stakeholders that were not identified at the design stage, namely the industry stakeholders, with the exception of Zambia and the Gambia. This is not a significant issue, as each country is required to form a National Coordination Committee as the first component of the project, which will require them to identify, contact and involve industry representative stakeholders.
Uganda and Zambia were the only two countries to identify NGO stakeholders at the design stage, but the same principle above applies to NGO partners also, who will have to be identified at the very early implementation stages of the project. There is no mention of any stakeholders being consulted in the design phase of the project, but their potential role is described sufficiently.

Because of the nature of the EA, and the data-collection aim of the project, it will not have human/natural systems impacts, nor will it have any effect on indigenous peoples. The project does consider gender superficially. It specifies that opportunities for women to be represented and present are to be guaranteed by the project executor, however, it does not elaborate any further on how this is to be done. This is an area that will need to be improved in the future, and will be elaborated on further in the review.

The evaluator made an assessment of the Quality of Design, as per the GEF/UN Environment template (see Annex A: Assessment of Quality of Project Design). Overall, the project design was rated satisfactory, with many strong elements in preparation and risk assessment, mainly.

The strengths of the design include the strategic relevance, the logical framework, the governance and supervision arrangements, and the risk identification and social safeguards. The strategic relevance places the project in the

context of the GEF and UN Environment's priorities and programmes of work, giving it the context needed for sound implementation. The governance and supervision arrangements clearly identify how the project is to be executed and monitored, sharing and defining stakeholder roles and responsibilities, to encourage sound implementation. The financial planning is sound and does not display any deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage are well prepared, reasonable and transparent, contributing to its sustainability and overall success. Moreover, the project has a clear Theory of Change presented in diagram and narrative form. It also details the single generic causal pathway, which is generic enough to allow each country to adopt it while being practical and applicable in all countries. The Logical Framework includes a thorough risk identification table, comprised of the risk identified, a ranking (high risk, medium risk or low risk), and mitigation measures. It also includes a list of assumptions the project designed is based upon. The latter are clearly formulated, and the mitigation measures are appropriate to the level and type of risk. This contributes to the overall preparedness of the project, as well as ensuring its effectiveness.

The aim of the project is to collect data on the level of mercury pollution present in different environmental sectors of each country, in order to identify the priority issues and gaps in knowledge that need to be filled for the implementation of the Minamata Convention, while building on and strengthening any already existing chemicals management mechanism, structure or communication network. To accomplish this objective, a resilient and well thought-out project design and logical framework are necessary to ensure smooth implementation, and to trigger change that will affect how each country manages chemicals and waste.

The shortcomings of the project design is the superficial way in which it addresses the gender and socio-economic aspects. There is no strategy to integrate gender, beyond the mention of the need to include and represent women in the National Coordination Committees of each country. There is no mention of differentiated roles and power relations socially assigned to men and women, and the role of women as a major stakeholder group is not mentioned. Keeping in mind the fact that the project is an initial assessment, the gender dimension must be further studied and analyzed, prior to implementation, to frame the work needed. On this issue, the interviews with project staff both from the EA and IA revealed that the gender and socio-economic component was not a focus of the MIA projects at the design stage. However, as the project evolves nationally and regionally, and as the priorities and focus of work of both UN Environment Programme and the GEF agency evolve into more sustainable development-oriented and comprehensive approaches, the integration of the gender paradigm and the collection of socio-economic data in mercury management should be encouraged.

According to the gender rating scale in "Evaluation on Gender Mainstreaming in the GEF", by the Independent Evaluation Office of the GEF, this project can be qualified as gender blind at design: "Project does not demonstrate awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female". This is understandable because the project is designed to take place in 5 countries with different cultures and considerations. It is specified that the project is to ensure opportunities for women to contribute to and benefit from the project outcomes. Particularly, it states that the project executor is to work with national coordinators to ensure women are well represented on the national coordination committees. This is not sufficient guidance and the design does not incorporate the gender aspect in any activities or outcomes, but it is a good step and is a sign of good intention which the national governments could take further in the implementation phase.

The most at-risk population groups were identified in the project document also, citing poor populations living near gold mines and non-ferrous metal production plants; as well as workers in those sectors who are considered particularly vulnerable and at risk of contamination. The necessity to sensitize these populations is stressed, but at the design stage, there is no mention of in the manner in which this is to be carried out. This is not necessarily a lack of planning but rather allows for flexibility and gives the national coordination committee the opportunity to find the best and most appropriate way to raise awareness on the issue, factoring in the national context.

There is a lack of baseline data for most indicators, but this is expected given the nature of the project.

Rating for quality of project design: Satisfactory.

Effectiveness

Achievement of outputs:

The core outputs for each country of the project consist of 1) an assessment of national infrastructure and capacity for the management of mercury, including national legislation; 2) a mercury inventory of emissions and releases, developed using the UNEP toolkit; 2) strategies to identify and assess mercury contaminated sites; 4) a national MIA report, an optional implementation plan, and awareness-raising and result-dissemination materials; 5) the creation of a National Coordination Mechanism Committee to oversee and manage the execution of the above outputs and 6) a mechanism permitting information exchange, capacity building and knowledge generation for mercury management on a national and regional level. Review of the project documentation, the deliverables and consultation with the available stakeholders confirmed that the outputs delivered are of sufficient quality, and will be useful to stakeholders overall.

I. National capacity and infrastructure assessment:

Ethiopia: The national capacity and infrastructure assessment was submitted as chapter III of the MIA report, completed in March 2017 and produced by the MEFCC. The quality of the report is satisfactory. It has an extensive analysis of government structures and stakeholders, but no details relating to the involvement of non-governmental institutions, private sector stakeholders or other concerned parties. The description of the existing governmental infrastructure is highly satisfactory and important to understand the functioning of administration of the regional states and the environmental units already in place in each government agency. The legislation assessment is of satisfactory quality also, it utilized the NRDC checklist as per the IOMC MIA guidelines. It is concluded that in both the infrastructural and legislative assessments that Ethiopia does not have the adequate capacity to implement the MC, and will therefore need to develop more comprehensive chemicals/mercury management capacity and targeted legislation.

The Gambia: A separate report entitled "Challenges, needs and opportunities for implementing Minamata Convention in the Gambia" was produced by Edrissa Ceesay, a consultant and proprietor of DataFirm, and submitted in May 2017. An executive summary of this report was included in the final MIA report. It provides a detailed analysis into already existing governmental structures and legislation relevant to the implementation of the Minamata Convention as well as a stakeholder analysis using the Johari window and accompanying table. The summary included in the MIA report utilized the NRDC checklist as per the IOMC MIA guidelines. It is concluded in both assessments that the Gambia does not have the adequate infrastructure and legislation to manage mercury and will therefore need to develop all of the above in order to comply with the MC.

Tanzania: A separate report entitled "National and sectoral assessment report on challenges, needs and opportunities to implement Minamata Convention on Mercury" was produced by the Vice President's office and submitted in June 2017. The quality of the report is satisfactory. It provides a history of environmental legislation in Tanzania and identifies the capacities already in place. The stakeholder analysis does not name the private sector and NGO stakeholders, however. The report is summarized in the third chapter of the MIA report. The legislation assessment is of satisfactory quality also and utilized the NRDC checklist as per the IOMC MIA guidelines. It is concluded that in both the infrastructural and legislative assessments that Tanzania does not have the adequate capacity to implement the MC, and will therefore need to develop more comprehensive chemicals/mercury management capacity and targeted legislation.

Uganda: The national capacity and infrastructure assessment was submitted as chapter III of the MIA report, completed in June 2017 and produced by NEMA. The quality of the report is satisfactory. It has an extensive analysis of government structures and stakeholders, as well as details relating to the involvement of non-governmental

institutions, private sector stakeholders or other concerned parties. The description of the existing infrastructure is highly satisfactory and very clearly enunciates the gaps to be addressed. The legislation assessment is of satisfactory quality also, it utilized the NRDC checklist as per the IOMC MIA guidelines. It is also presented in the suggested table format. It is concluded that in both the infrastructural and legislative assessments that Uganda does not have the adequate capacity to implement the MC, and will therefore need to develop more comprehensive chemicals/mercury management capacity and targeted legislation.

Zambia: producing the most extensive report of all project countries, two relevant reports were submitted: a legal analysis and a technical report on the management of mercury in Zambia. A previous project by the United Nations Institute of Training and Research (UNITAR), with funding from the government of Switzerland, has provided Zambia with a head start in the country's legal preparation for the early implementation of the Minamata Convention. These two reports were submitted by ZEMA in 2014, and summarized in chapter three of the MIA report. The quality of the report is highly satisfactory. It provides a history of environmental legislation in Zambia and identifies the capacities already in place. The stakeholder analysis identifies the private sector and NGO stakeholders, and their respective responsibilities. The legislation assessment utilized the NRDC checklist as per the IOMC MIA guidelines. It is concluded that in both the infrastructural and legislative assessments that Zambia does not have the adequate capacity to implement the MC, and will therefore need to develop more comprehensive chemicals/mercury management capacity and targeted legislation.

II. Mercury inventory as per the UNEP Toolkit:

All countries completed their inventories. The inventories were carried out to level 2 as per the UN Environment Toolkit. The inventories are complete, and their evaluation was carried out the expert who elaborated the toolkit. It should be noted that technically, The Gambia did not fully complete their L2 inventory – they used the L1 inventory worksheet and completed some relevant section to the equivalent level of the L2 inventory. This is the main scientific output of the MIA, as it identifies emissions and releases, stocks and contaminated areas as per the indices. This was delivered in time by all countries and provides significant insight into each country's needs. This output has been evaluated independently and therefore its completion and timely delivery are the only factors that can be rated by the evaluator for this terminal review.

III. Contaminated sites assessment:

Ethiopia: The inventory results indicate no confirmed contaminated sites in the country, as there is no intentional use of mercury.

The Gambia: The inventory results indicate no contaminated sites in the Gambia. However, it is concluded that since there is no appropriate disposal of waste or recycling, and that mercury containing products are disposed of as general waste, it is highly suspected that dumpsites are contaminated. The potential sites have been identified.

Tanzania: The contaminated sites assessment was not conducted in Tanzania; therefore, no sites were identified. However, a national strategy for identifying contaminated sites was developed.

Uganda: The contaminated sites identified in Uganda are all ASGM sites, and a map of these sites is provided. It is indicated that the National Action Plan (NAP) for ASGM will prioritize the development of strategies and guidelines for the identification and assessment of contaminated sites in the country.

Zambia: Potentially contaminated sites have been identified, but no assessment was conducted. It is indicated that certain types of sites such as landfill type dumping sites and mining areas for example are potentially contaminated, but further investigation is needed.

IV. MIA report:

The report was the core deliverable, submitted by all countries in the fourth quarter of 2017. It contains the two outputs described above, as well as a chapter on identifying populations at risk and the gender dimension, and a chapter on awareness raising and existing training and education opportunities of target groups and professionals,

according to the IOMC MIA guidelines. The reports submitted by the five countries have completed the first three chapters but address chapter IV and V superficially. Not all reports follow the form and structure suggested IOMC guidelines. This report is the baseline necessary for the elaboration of the implementation plan and for taking the following steps.

> *Implementation plan:* The implementation plan is not an MIA requirement, but it is considered good practice, and further demonstrates ownership and the country's engagement in the early implementation process. All countries produced either an implementation plan included in the report, or an equivalent roadmap identifying the next steps towards ratification and mercury phasedown and management. The implementation plans submitted by the Gambia, Tanzania, Uganda and Zambia have realistic targets, timelines and allocated budgets per activity.

V. Awareness raising materials:

Not all project countries were able to produce awareness raising materials or carry sensitization campaigns. Ethiopia took the opportunity of gathering data on the field to sensitize miners on gold mining sites. The Gambia has carried out targeted training at relevant government institutions and indicates the need for an awareness raising/communication strategy. Tanzania provided a list of some of the training activities it carried out with multiple stakeholders. Uganda has begun work on sensitizing the dentistry sector on the dangers of dental amalgam, while highlighting the need for further awareness raising. Zambia, being the country most advanced among its participating counterparts, has made the most extensive awareness raising effort, including the use of conventional and social media, trainings at targeted learning institutions, printed materials, and disseminating information on mercury and chemicals management at exhibitions for the agriculture or health sector, for example. None of the awareness raising materials produced by project countries was reviewed, because of time constraints.

VI. National Coordination Mechanism Committee:

Each participating country created a multi-stakeholder committee, including a majority of government agencies and relevant industry, NGO and civil society partners. A list of committee members of each participating country is included in Annex B. It is evident that the government agency representatives outweigh the civil society and private sector stakeholders in number. The impossibility of travel and the information available to the evaluator is not sufficient to judge if more could have been done by the countries to involve civil society and the private sector. However, stakeholder interviews confirm that overall; the committee served its purpose and provided sufficient participation.

Stakeholder Involvement

Because of the impossibility to travel and the difficulty in reaching all stakeholders involved in the five participating countries, only a small number of stakeholders has been interviewed. The evaluator developed a questionnaire online to simplify the feedback process, for the project focal points of Tanzania and Ethiopia, as they were unavailable for a telephone/Skype conversation. The majority of the stakeholders contacted are key players in the execution of the project, and have all participated actively in the production and review of the deliverables. Overall, all respondents felt sufficiently involved in the implementation, but most expressed dissatisfaction at the lack of consultation at the design stage. This sentiment was echoed by the executing agency, stressing that countries were never engaged at the design stage and prior to approval, and the choice of participating countries seemed arbitrary. The stakeholders did not feel sufficiently informed on the nature of the project and what was expected as a result. In the case of Tanzania, the NGO AGENDA was not satisfied with the amount of communication the Vice President's office provided (awaiting correspondence from AGENDA to be able to quote them/express their dissatisfaction more clearly).

Achievement of Outcomes

As per the ToC reconstructed for the purpose of this evaluation, there is one impact pathway for the scale of this project. This is identified as Impact Pathway 1 - Data Collection and Establishment of Baseline Institutional

Framework and it can be read in Figure1 as: From outcomes 1, 2, 3, 4 and 5 to project objective. The fulfilment of the project objective requires the success of all five main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic: In order for the participating country to be able to ratify the Minamata Convention, it must first assess and enhance its existing information and structure (Outcome1), then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities (Outcome2). These two outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UN Environment Mercury Inventory Toolkit (Outcome3), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps (Outcome4). By making full use of the MIA, the country should have enough information to make an informed and databased decision to ratify and begin the early implementation process of the Minamata Convention (Outcome5). Underlying all of these efforts, the countries should have enhanced their communication, support and training in order to facilitate the development of the MIA and to build a basis for future cooperation and regional approaches for mercury management (Outcome6).

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

In the Gambia and Zambia, these outcomes have all been achieved through the completion of the outputs discussed in the section above. It can be concluded that the project has fulfilled both outputs and outcomes, and is therefore at the intermediate impact stage. In Ethiopia, Tanzania and Uganda, ratification packages have been prepared and are at different stages of the political approval process, with confirmation from national focal points that the ratification process is imminent.

Likelihood of Impact

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

One unintentional positive impact was observed by the executing agency: coordination across tasks teams of the National Coordination Committees has created more awareness on the subject of mercury, and chemicals management in general, among many ministries that would not necessarily have been sensitized to the issue. Also, raising awareness on the interlinkages between production, imports, the waste management and the chemicals management sector among various ministries can also be an unintentional positive impact. No unintentional negative impacts have been observed by the evaluator or by the stakeholders consulted.

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

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

One aspect to be considered in replication, would be to identify the gender and sex disaggregated data and/or socio-economic analysis as a specific component of the project, as it is omitted in the execution of this project and justified through lack of funds and it not being an explicit component in the project document, even though it is referred to in the project document, and makes an integral part of the data collection for the purpose of early ratification. Further recommendations will be made later in the report.

Attainment of Objectives and Planned Results

The project findings and deliverables, in the form of the full MIA report and its executive summary, along with awareness raising materials, were made available to all relevant non-governmental counterparts in each of the participating countries. This has been confirmed from different feedback sources to the evaluation. There is no way of assessing the quality of outreach of awareness raising activities and materials. It is therefore estimated that the target audience was reached, based on stakeholder feedback, on the publications on each ministry/agency website as well as the executing agency website : http://www.zeromercury.org/ and www.groundwork.org.za .

Compliance of assumptions:

The Logical Framework of the project states that the following assumptions were made at the design stage:

- "*The project will make full use of existing resources nationally, regionally and globally. Regional joint activities, trainings and continuous exchange of information will take place during the regional meetings and/or lessons learned workshops through the mercury platform. Identification of common areas of work and synergies with undergoing or planned activities at the national and international level will be continuously assessed during the project*;" According to project documentation and stakeholder feedback, this assumption holds.

- "*The project will continue having the political and public support necessary for its implementation*" According to project documentation, the participating countries' increased sense of ownership and the full engagement of stakeholders apparent from interviews and feedback provided to this evaluation, this assumption holds.

- "*National Stakeholders will facilitate and contribute to the assessment of national infrastructure, capacities and legislation*" According to feedback from project management and all relevant stakeholders, this assumption holds as the participation levels of national stakeholders remains constant and engaged.

- "*National stakeholders will facilitate and contribute to the identification and quantification of mercury releases*;" As the MIA reports are finalized, this assumption holds, as per justifications above.

- "*Qualified staff and experts to carry out the project activities will be identified and retained*" All local consultants were competent, and the national coordination mechanism is composed of competent individuals, therefore this assumption holds.

- "*Economic resources will be available to carry out all the project activities*" Both financing from the GEF and co-financing from the government was made available for the project, and the activities were carried out, therefore this assumption holds. Delivery and disbursement of funds was not always timely.

- "*Key stakeholders will make full use of the MIA related assessments to ratify and implement the Minamata convention*" The Gambia and Zambia both have ratified the convention, while Ethiopia, Tanzania and Uganda are in

process. All have produced the optional implementation plan, complete with a list of budgeted and timed priority activities on the road to full implementation of the MC, therefore this assumption holds.

Rating for effectiveness: Moderately satisfactory.

Efficiency

The project was able to achieve its projected outputs without any political or social challenges. It utilized and strengthened already existing chemicals management networks in various ministries of each of the participating countries, such as the National Implementation Plan (NIP) structures for the Stockholm Convention and produced baseline data reports where they were none.

There were significant delays in project delivery, mainly due to administrative delays and errors, but the execution team was supportive, responsive and receptive to feedback. The administrative errors consist of UN Environment paying funds into the wrong groundWork account, which had to be sent back, then disbursed into the correct account. An initial delay in setting up the harmonized regional inception workshop created a knock on effect on national inception workshops due to a delay in signing cooperation contracts between the countries and their respective EAs. The reason for this is the lack of a standard PCA template, which lead groundWork to appoint an attorney to develop the PCAs for each participating country. This is the responsibility of the Executing Agency, and should have been planned for. This delay was unforeseen, as groundWork did not anticipate developing these contracts. This therefore delayed the national inception workshops, creating a gap of in some cases up to a year between the regional and national inception workshops. This reduces efficiency, also, as some of the national staff that have attended the regional inception meeting were not part of the team to implement the project nationally, and in Tanzania and Uganda, the entire project team was replaced, leading to more time spent retraining them and explaining the project. All of this put considerable stress of the EA.

These delays could have been avoided with adequate preparation, such as standardized PCAs and reporting forms for reporting between national co-executing partners and groundWork, pre-contractual activities and closer synergies between all participating countries. Because the EA has the liberty of writing the PCAs, all of the above should be included in the future. The timeframe has proven sufficient for single country MIA projects, and with increased structure and contractual obligations, regional MIA projects could achieve the same results.

The project was cost effective, and up to the time the terminal review was drafted, not all funds were spent. Effective management privileged hiring local consults that have an appropriate understanding of the national condition of the environment and industry, and produced satisfactory quality assessment reports at a cost effective rate relative to international consultants. The extensions discussed above are no-cost extensions, which has also contributed to the cost efficiency of the project implementation.

Rating for efficiency: Moderately Unsatisfactory.

Financial Management

The regular quarterly financial reports provide sufficient detail into how well the executing agency managed funds. As the PCA is currently being extended, there is a remaining balance of $72,419 unspent. A financial audit by an independent auditing agency is required, and will be under the responsibility of groundWork. A breakdown of the remaining balance is attached in Annex C.

Co-financing provided by the government has materialized as expected, and has been reported on in a quarterly fashion.

There are no financial irregularities to be reported on based on project documentation. Stakeholder feedback did not raise any issues relating to financial irregularities.

Rating for financial management: Pending completion.

Monitoring and Reporting

The monitoring and reporting mechanism consisted of quarterly progress reports submitted by groundWork to the UN Environment task manager, who provided regular feedback on these reports. This was carried out via email, Skype, or during UN Environment staff missions to the regional meetings where the government representatives of participating were also present. Feedback from both sources highlighted the excellent relationship they held, and the willingness of the both parties to receive feedback and apply it immediately. The participating countries had to submit progress reports to groundWork, however, a lack of standardized reporting format and regular intervals made this challenging. However, all stakeholders with no exception praised the executing agency for their constant support on all matters relating to the project and reported an excellent relationship with them.

All progress and financial reports to date are complete and accurate.

There was only superficial information collected on indicators to measure progress on Human Rights and Gender equality, and there was no sex disaggregated data. It was reported by stakeholders that this was due to a lack of funds, and the explicit requirement to do so. At the inception phase, all participating parties reported that as far as contractual obligations were concerned, this element of the project was never a priority and were treated as such. Uganda, Zambia and Ethiopia included brief socio-economic and gender related observations they made when collecting data in the field at ASGM sites. This is a step towards a more adequate consideration of these factors, but remains insufficient. As reported by groundWork, there is a strong element of environmental justice in mercury management, because women and children are the first to be affected by the consequences of mismanagement.

Rating for monitoring and reporting: Moderately satisfactory.

Sustainability

In relation to the assumptions made at the design stage, and as per the nature of the external context assessment, there are no social factors that have influenced the project progress toward its intended impacts. As for political factors, the replacement of project team members in both Uganda and Tanzania contributed to delay in submission of outputs. As each country continues its efforts via carrying out the priority activities set out in the implementation plan set out in the MIA report, and working toward achieving its long-term impact, further support from the civil society can have a positive impact on the results. Moreover, there is a need for more engagement level from the private sector in order to create change. In countries, such as Tanzania, where the formal mining sector is a contributor to mercury emissions, more cooperation and effort to involve the mining companies in the project is needed. The engagement level of the government and civil society representatives is satisfactory at its current rate.

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

It was difficult for the evaluator to contact all tertiary stakeholders, such as academic institutions and NGOs from each of the five participant countries, due to time constraints and lack of response from those contacted. However, all national co-executing partners interviewed have agreed that their relationship with the executing agency, groundwork, was instrumental to project completion. The involvement of the EA went beyond the scope of the MIA project, as it is also involved in other MIA projects in Africa, and has a working relationship with COWI, an international consulting group that provided training on the inventory and sampling techniques. groundwork has also assisted African countries in the development of the National Action Plan for reducing mercury use in ASGM. This is an indication of the level of experience of the EA, as well as the strong collaboration it maintained throughout

the project with national counterparts; however, the evaluator cannot assume the level of commitment of national stakeholders that were not interviewed.

Again, due to the nature of the project, all further action will be contributing to the long term impact of implementing the MC. This being said, any further action in carrying out the priority activities will depend on National Coordination Mechanism Committee and its multiple stakeholders. It will also depend on the engagement of the national project teams in continuing to take the lead and introducing the appropriate policies, regulations and decisions, informed by the MIA project results.

As of the time of completion of this review, the governments and relevant stakeholders have shown moderately satisfactory commitment and engagement to safely predict that they will continue to show the same level of engagement in the future. However, the feedback received leads to the conclusion that project countries, especially Ethiopia, the Gambia, Tanzania and Uganda will struggle to carry out its future activities without the support of groundWork managerially and the support of the GEF financially. Zambia displays a higher level of ownership, but similarly depends on funding from various international agencies and funds. Stakeholders also expressed concern that unless an overarching manager applies constant pressure on the national co-executing partners to deliver, the mercury management issue and work will not remain a priority.

The involvement of intergovernmental organizations is important for the sustainability of the project and of the implementation of the MC. Project countries will require the expertise and experience from a regional body or organization in order to strengthen its institutions and will especially need useful recommendations (experts, international consultants, examples of successful projects to model upon in the region, etc) from experienced partners for sustainability in the future.

Rating for sustainability: Moderately satisfactory.

Factors and processes affecting project performance

Project implementation and management

The project experienced delays, and has been extended twice, first for a year (01/2017 - 02/2018) to complete project activities, which were all done by the end of 2017 and again for 6 months (02/2018 – 09/2018) to ensure full use of resources left over. To the extent possible, it was managed effectively, with reported high quality and uninterrupted communication between groundWork and UN Environment. The national co-executing partners all provided positive feedback about the quality and quantity of communication. The EA expressed concern over the lack of standardized method and regular enforced intervals of reporting between them and the latter. More contractual restrictions and specifications are recommended. The EA has the possibility to implement these changes, when writing the contracts between the national partners and themselves. The inventory was carried out using the toolkit at Level 2, a first for the Gambia and Uganda, and provided an essential update to Ethiopia's, Tanzania's and Zambia's Level 1 inventory. Training was provided by COWI and engaged government staff and local academic institutions who benefit from this experience. There were no constrains or problems of political or operational/institutional nature that influenced the running of the project, apart from the replacement of project teams reported above.

Rating for project implementation and management: Satisfactory.

Stakeholder participation, cooperation and partnerships

The degree of effectiveness of collaboration between stakeholders is satisfactory, however, more could have been done to involve the private sector and gender-specialised organisations or associations. The gender parity in the national project teams was respected in most countries, however, the Gambia's project team was majoritarily male. This reflects a lack of understanding of the gender dimension. This will be discussed further in the conclusions and recommendations sections below, but it essential to highlight this, as the countries' explanation for the lack of gender consideration is lack of contractual obligation and funds.

Most stakeholders felt like they were not sufficiently involved in the design stage of the project, while all felt like they had an active role in its implementation, particularly in the committee meetings and its decision making process.

Stakeholders have reported feeling satisfied at the level of collaboration, but this was not elaborated upon. It remains difficult to judge.

Rating for stakeholder participation, cooperation and partnerships: Satisfactory.

Country ownership and driven-ness

All participant countries display sufficient levels of ownership, however, as discussed above, they cannot continue to sustain the implementation efforts without the support of groundWork, UN Environment and the GEF.

Rating for country ownership and driven-ness: Satisfactory.

Communication and public awareness

It was not possible to review awareness raising materials reportedly produced by each participant country. This is mainly due to the fact that they were not provided by the focal points contacted. Therefore, the review relied on meeting/workshop meetings and photos as a means of verification of the awareness raising sessions carried out across all five countries.

GroundWork produced a "Guide and checklist for phasing out mercury added products under the Minamata Convention", a small pamphlet providing concise information to countries on how to implement Article 4 of the Minamata Convention. This document contains high quality information and images, and is a good tool to use regionally in the future. GroundWork also produced two summary documents of a few pages, one included steps and tools towards establishing a phase out of mercury added products strategy in Africa and the other summarising a regional meeting on ASGM and containing considerations for the development of NAPS for ASGM. Both documents contain useful information and high quality visuals.

Most of the participant countries had to develop communication strategies. Uganda shared their communication strategy as a separate document. Tanzania included a section in their MIA report which very briefly describes the trainings ran targeted at the ASGM and dental sectors. If these strategies are implemented consistently, the level of awareness of targeted groups and the general public should increase in the coming years. Awareness raising and public awareness are continuous efforts that should be underlying all upcoming projects relating to the Minamata Convention.

There were no existing communication networks already established, therefore the coordination mechanism committee constitutes the main network. The websites of ministries were not used sufficiently; the evaluator could not find enough information on national web outlets of each participant country.

Rating for communication and public awareness: Moderately Unsatisfactory.

Rating for factors affecting performance: Satisfactory.

Conclusions, Lessons Learnt and Recommendations

Conclusions

Conclusion 1: What if there had been no project? Without the MIA project, it would be impossible for all five project countries to take data-based informative decisions towards the implementation of the Minamata Convention. The consequences of this would have been the impossibility of ratification and implementation of the convention, especially for the Gambia and Uganda. The outdated and incomplete 2011-12 inventories of emissions and releases carried out by Ethiopia, Tanzania and Zambia would have been the only inventory of the kind, and if decisions were based on outdated information, it would have omitted addressing current relevant issues the countries are facing in chemicals and waste management. The only two potential outcomes would have been either inappropriate action or no action at all.

Conclusion2: This project was instrumental in all five countries taking steps towards appropriate actions and decisions to manage mercury. It is essential for each participant country to collect data on the quantity of mercury in each of its environment media (air, water, land) and to quantify the amounts of mercury containing products imported illegally, and disposed of informally, by different sectors and industries (medical equipment, batteries, dental amalgam, ASGM) in order to devise appropriate action plans and to identify tailored priorities on the road towards implementation.

Conclusion 3: It is essential to manage the time delays resulting for administrative processes in order to improve efficiency. Delays between the regional inception workshop and the national inception workshops can cause a significant lack of engagement from national co-executing partners and delay production of outputs overall. Various delays between the EA and national co-executing partners stalled the execution of the project, and complicated and unexpected administrative tasks have put pressure on the EA. Better preparation is essential for efficient implementation.

Conclusion 4: It is essential for the Executing Agency and national co-executing partners to hold pre-contract meetings with the participant countries in order to ensure full understanding of the project aims and expected outputs. Stakeholders conveyed not feeling involved in the design stage of the project. However, all five countries have endorsed the project. This means that the national co-executing partners are not mainstreaming information down to the executing task teams. The project design was made to serve as a cookie cutter and to be able to apply to any country. This was the direction given by the GEF to ensure consistency. However, this made it difficult for project countries to utilize their national resources and capacities to their full extent because of a lack of understanding. Groundwork has the responsibility of explaining the project aim and training national stakeholders, and national co-executing partners have the responsibility of ensuring appropriate understanding from the highest political level to the executing task teams and national coordination committee.

Conclusion 5: There is a need for more contractual obligations between the Executing Agency and National Co-Executing partners to ensure timely compliance and delivery of outputs. Because of a lack of contractual obligation on reporting, the EA reported receiving untimely, incomplete or sometimes no progress reports at all from participating countries. This affects the project as a whole. Executing Agencies have the freedom of writing the PCAs binding national co-executing partners, and should include all necessary clauses to ensure consistent delivery and reporting.

Conclusion 6: The inventory needs to be adapted to the region. Many issues were raised by stakeholders during the drafting of this review, such as the incompatibility of the HS code of the inventory with regional and national realities. The HS codes for mercury containing products could not be split by product category, whereas the default factors and assumptions are set for industrialized countries and therefore do not reflect the realities of the regional

and make for unspecific reporting. The illegal trafficking and porous borders are not accounted for in the inventory, and require a harmonized and regional intervention strategy.

Conclusion 7: There is a need for a regional framework to ensure sustainability and to encourage countries to share experiences. All the stakeholders interviewed expressed the necessity for a regional capacity to begin taking the lead on mercury management issues. Being able to receive tailored support, to meet in person and to be able to take tangible action is essential. A harmonized regional approach, taking into account all the factors affecting the regional environmentally, socially, economically, politically and culturally will benefit the countries and the objective of the project and the Minamata Convention as a whole.

Conclusion 8: There is a pressing need for more data on the illegal trade of mercury containing products, the use of mercury in the ASGM and mining sectors and on the porosity of borders between African countries. The inventory has confirmed the presence of illegal trade and exploitation in all project countries to varying degrees. This needs to be investigated further in order to comply with Articles 3 and 4 of the Convention. This echoes the general need to collect more data. The porosity of borders between the participating countries is also an issue that needs to be addressed.

Conclusion 9: There is a lack of consideration for the gender dimension, and gender assessment is not stressed as a contractual obligation. With the exception of the Gambia, all the participant countries did not have a gender specialist on the National Coordination Committee, despite the project document stating "*Specifically the project executor will work with national coordinators to ensure women are well represented on national coordinating committees, and that consultation with at-risk communities targets both women and men*". All stakeholders including UN Environment staff conveyed that this was not necessarily a contractual obligation because the project did not have a specific component dedicated to it.

Conclusion 10: The next step is to work more regionally, and to involve more private sector partners. Working regionally is essential so the countries can learn from each other's experiences. Engaging private sector partners is pivotal to the successful implementation of the Minamata Convention; especially mining companies in Tanzania and Zambia.

Lessons Learnt

Lesson1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular. Complete and thorough assessments of the baseline condition of emissions, releases and trade in participant countries is the only way to make smart decisions to further manage chemicals sustainably.

Lesson 2: Inventories and analytical tools have to be adapted to regional specifications. To increase accuracy and efficiency, adapting analytical and quantitative tools to regional parameters is essential for accurately collecting data.

Lesson 3: The Executing Agency must hold pre-implementation informative sessions with participant countries. Pre-contractual information meetings should be incorporated into the early implementation phase of the project. This will ensure the expectations and responsibilities are clear.

Lesson 4: Contractual obligations must be more specific. To ensure appropriate compliance with all aspects of the project and also to ensure regular reporting, the Executing Agency must make contractual obligations more detailed and standardized.

Lesson 5: Regional face-to-face meetings and training sessions are essential and should take place more often. This is the most efficient way to provide training on the inventory, the ratification process, data collection on the field, customs control, inter alia. All countries have expressed having benefited from the face-to-face meetings more

than other tools such as the Mercury:Learn platform. The EA and the IA should encourage countries take advantage of attending regional meetings relating to the various MEAs to have exchanges and regular contact.

Lesson 6: The gender analysis must be contractualized and the need for sex-disaggregated data must be defined and explained. Gender is often misunderstood of a women's issue, whereas Gender analysis is defined by the GEF as "*the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men*". There should be more guidance to help governments in carrying out such analyses. Including the gender aspect as a project component and a contractual obligation will guarantee the execution.

Recommendations

Recommendation 1: Participant countries should engage all levels of staff at the design stage. The projects are usually endorsed by a high political figure whereas the execution falls to specialized teams who are not aware of the expectations and outputs of the project. Better mainstreaming of project rationale and information will increase ownership, and will prevent complications and delays resulting from the need to adjust project tools and strategies to regional conditions. The national co-executing agencies are responsible for this.

Recommendation 2: Communicating the expectations of the project at the pre-implementation stage is essential., Holding pre-contractual meetings where all staff at the relevant ministries and interested stakeholders can become familiar with the Minamata Convention and the different activities of the project will significantly increase efficiency. The executing agency and the national co-executing agencies are responsible for this.

Recommendation 3: Rethinking the project timeline. The 24-month allocated timeframe has not proved sufficient in this project, due to several delays. It would be beneficial to modify the timeframe of the MIA project depending on what challenges the participant countries are facing. The implementing agency and the project steering committee are responsible for this.

Recommendation 4: Standardizing the reporting process between participant country and executing agency. In projects with multiple participant countries, it is important to define the intervals at which the country must report back to the executing agency. Also, to streamline the process, it is recommended that reporting templates be developed for this purpose. These reporting templates must be simpler than those already provided for the executing agency to report back to the implementing agency. This should also be clearly stated as a contractual agreement in order to ensure compliance and to reduce pressure on the executing agency to constantly follow up. The implementing, executing and national co-executing agencies all share this responsibility.

Recommendation 5: Encouraging participant countries to attend more regional meetings. Keeping in mind the national scope of Enabling Activities, pushing countries to participate in various relevant regional meetings will help countries and stakeholders form stronger ties, learn from each other's experiences and will create the environment for possible further partnerships to develop. The executing agency is responsible for this.

Recommendation 6: Encouraging exchange of information between academic institutions. To further strengthen regional ties, exchanges of information mercury in the environment, as well as in trade, in society and in the mining sector especially, should take place between researchers from different participant countries. A strong scientific and academic base of information is essential to the countries' efforts to soundly manage chemicals; while encouraging further innovation and research in the field. The national co-executing agencies are responsible for this.

Recommendation 7: Revising the UN Environment Inventory Toolkit. Using feedback from all the MIA projects conducted in different regions of Africa, a revision of the toolkit can be very beneficial. It will provide more accurate data to the participant countries, and will be a more useful tool in future MIA projects in the region. This is the implementing agency's responsibility.

Recommendation 8: Push countries with a consequential formal mining sector to engage with private partners. It is essential for countries with an active mining sector like Tanzania and Zambia to further engage the private mining companies operating on their territory, in order to work together towards lowering the emissions and releases of mercury. This is the responsibility of the national coordination mechanism and the national co-executing agency.

Recommendation 9: Holding a border control and customs regional meeting. In order for the participant countries to discuss their respective issues with porous borders and lack of awareness of customs officials when handling the illegal traffic of mercury and mercury containing products, regional meetings with other African countries who have a better handle on the issue can be beneficial. This is the respective national co-executing agencies' responsibility.

Recommendation 10: Employing a gender expert. It is essential to stress the usefulness of sex-disaggregated data, differential impact and the socio-economic factors involved in the management of mercury. It is recommended the executing agency hire a consultant, in the same way an inventory expert was hired, to train participants and to produce awareness raising materials or even a report after vising the countries and conducting field research. Hiring a consultant for the project is more realistic than expecting countries to hire an expert locally. This is the national co-executing agencies' responsibility.

Annex A: Assessment of Quality of Project Design Template

TEMPLATE FOR THE ASSESSMENT OF PROJECT DESIGN QUALITY (PDQ)

2. Key sources of information for completing this assessment include the approved project document (ProDoc), the Project Review Committee (PRC) review sheet, the project logical framework or Theory of Change (TOC) at design stage and, where appropriate, a revised project design following a Mid-Term Evaluation/Review. (For GEF projects the GEFSEC reviews sheet and UNEP response sheet should also be reviewed).

3. Unless otherwise marked, 'Section Rating'[2] refers to the question: *In the project design documents, how satisfactorily is the criteria addressed?* Satisfactoriness refers to both the completeness and quality of the content. The section ratings should be aggregated, using the weightings described below, to determine an overall rating for the Quality of Project Design. During the course of the evaluation the overall project design quality rating should be entered in the final evaluation ratings table under Item B. Quality of Project Design.

A.	**Nature of the External Context**[3]		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating (see footnotes 2 & 3) - Highly Unfavourable to Highly Favourable**
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	No	There is no mention of likelihood of conflict. The countries (Ethiopia, Gambia, Tanzania, Uganda and Zambia) seem stable enough.	2
		ii)Ongoing/high likelihood of natural disaster?	No	There is no mention of likelihood of natural disasters, as it is unlikely they will affect the implementation of the project.	
		iii)Ongoing/high likelihood of change in national government?	Yes	The project has included this in the risk assessment, and to mitigate the risk, it has requested commitments from government institutions, who will be responsible for supporting the project and assigning experts when needed.	
B.	**Project Preparation**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
2	Does the project document entail a clear and adequate problem analysis?		Yes	The steering committee produced a clear problem analysis, but because this is a five country project, it can be argued that it is not specific enough to the countries but rather general. However, this could also have been intentional to allow countries to integrate national priorities in the project.	5
3	Does the project document entail a clear and adequate situation analysis?		Yes	The situation analysis included in the poject document is adequate, but not country specific.	

4	Does the project document include a clear and adequate stakeholder analysis?		Yes	Stakeholders have been identified for each country and classified by interest/influence index.	
5	*If yes to Q4:* Does the project document provide a description of stakeholder consultation during project design process? *(If yes, were any key groups overlooked: government, private sector, civil society and those who will potentially be negatively affected)*		No	The consultation process is not described, but the potential role of stakeholders of different categories is described.	
6	Does the project document identify concerns with respect to human rights, including in relation to differntiated gender needs and sustainable development?	i)Sustainable development in terms of integrated approach to human/natural systems	N/A	This project aims to gather data in order to have a baseline for presence of Hg, therefore it will not affect human/natural systems.	
		ii)Gender	Yes	Yes, the project document specifies that opportunities for women will be present by ensuring that they are well represented in national coordinating committees.	
		iii)Indigenous peoples	N/A	This project does not affect indigenous peoples.	
C.	**Strategic Relevance**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
7	Is the project document clear in terms of its alignment and relevance to:	i) UNEP MTS andPoW	Yes	The project document provides an adequate and clear description of alignment and relevance.	6
		iii) UNEP/GEF/Donor strategic priorities (incl Bali Strategic Plan and South South Cooperation)	Yes	The project document provides an adequate and clear description of alignment and relevance.	
		ii) Regional, sub-regional and national environmental priorities?	Yes	The project document provides an adequate and clear description of alignment and relevance to each country's priorities and current activities and UNDAF priorities.	
		iv) Complementarity with other interventions	Yes	Yes, there is a clear mention of how this project complements other initiatives by UNEP/GEF and the countries themselves.	

D.	Intended Results and Causality		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
8	Is there a clearly presented Theory of Change?		Yes	Not country specific.	5
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the lograme or the TOC?		Yes	Not country specific.	
10	Are impact drivers and assumptions clearly described for each key causal pathway?		Yes	There is only one main causal pathway and yes, all descriptions are clear. Again, not country specific.	
11	Are the roles of key actors and stakeholders clearly described for each key causal pathway?		No	Not in the ToC but this is implied and clarified in a different section of the project document.	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		Yes	If there are no delays in delivery of all activities, the timeframe is realistic for undertaking the activities.	
E.	**Logical Framework and Monitoring**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
13	Does the logical framework:	i)Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes		5
		ii)Have 'SMART' indicators for outputs?	Yes		
		ii)Have 'SMART' indicators for outcomes?	Yes		
14	Is there baseline information in relation to key performance indicators?		Yes		
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		Yes		

16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		Yes	Yes, sufficient assuming there are no delays or errors. Perhaps accounting for errors and delays would be useful in the future.	
17	Have responsibilities for monitoring activities been made clear?		Yes		
18	Has a budget been allocated for monitoring project progress?		Yes		
19	Is the workplan clear, adequate and realistic? *(eg. Adequate time between capacity building and take up etc)*		Yes	Timing realistic assuming all disbursments and no administrative errors occur.	
F.	**Governance and Supervision Arrangements**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
20	Is the project governance and supervision model comprehensive, clear and appropriate? *(Steering Committee, partner consultations etc.)*		YES	Yes, the PSC's role and implementation arrangements/supervision is clear. The exact composition of the pSC is not in the project document but provided by UNEP TM.	5
21	Are roles and responsibilities within UNEP clearly defined?		YES	As Implementing agency, UNEP is responsible for overall supervision, monitoring and evaluation, and overarching technical support and advice.	
G.	**Partnerships**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
22	Have the capacities of partners been adequately assessed?		N/A		N/A
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?		N/A		

H.	Learning, Communication and Outreach		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
24	Does the project have a clear and adequate knowledge management approach?		YES	The project aims to collect data in order to establish a baseline for the presence of mercury in the environment in each country. It relies on a toolkit provided and revised by UNEP, and an established MIA report template.	5
25	Has the project identified appropriate methods for communication with key stakeholders during the project life? *(If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?)*		YES	The project includes an element/component of knowledge management and sharing, via regional meetings and training sessions and webinars.On a national level, each country has to assemble a national coordination mechanism that will meet and communicate regularely. there is also two other levels of comunication: Country to EA, and EA to UNEP, both respectively reporting quarterly.	
26	Are plans in place for dissemination of results and lesson sharing at the end of the project? If yes, do they build on an analysis of existing communication channels and networks ?		YES	Yes, The Mercury:Learn provides ta communication channel virtually. Practically: regional meetings and project closure meetings are planned in order to share results and lessons learnt. Regional meetings during the implementation period will contribute to the establishment of communication channels between the countries that will be utilised at the project closure stage.	
I.	Financial Planning / Budgeting		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
27	Are the budgets / financial planning adequate at design stage? (coherence of the budget, do figures add up etc.)		YES	Yes, the financial audit should cover this, but the figures add up for initial and revised budgets.	Satisfactory
28	Is the resource mobilization strategy reasonable/realistic? *(If it is over-ambitious it may undermine the delivery of the project outcomes or if under-ambitious may lead to repeated no cost extensions)*		N/A	The project is fiancied via a GEF grant and in-kind contributions from project countries. The funds need notto be mobilized, only materialised and disbursed.	

J	Efficiency		YES/NO	Comments/Implications for the evaluation design *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	Section Rating
29	Has the project been appropriately designed in relation to the duration and/or levels of secured funding?		**Yes**		4
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?		YES	The project considers initiatives that have previously been initiated and currently ongoing in each country, and includes representatives of the different organisations in the PSC.	
31	Does the project document refer to any value for money strategies (ie increasing economy, efficiency and/or cost-effectiveness)?		YES	The project document details a cost effectiveness anlysis/strategy.	
32	Has the project been extended beyond its original end date? *(If yes, explore the reasons for delays and no-cost extensions during the evaluation)*		YES	The project has been extended mainly due to delays in delivery, which in turn are caused by delays in disbursement of fungs from GEF/UNEP. There was a significant delay is release of funds, around 8 months, which lead to a need to extend te PCA in order to deliver results.	
K.	**Risk identification and Social Safeguards**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
33	Are risks appropriately identified in both the ToC/logic framework and the risk table? *(If no, include key assumptions in reconstructed TOC)*		YES	The risk assessment is included in the LogFrame but not in ToC explicitly.	5
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? *(consider unintended impacts)*		N/A	The project's aim is to provide a baseline for Hg info in the country, therefore it will have no negative impacts on any of the mentioned aspects.	

35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? *(including in relation to project management)*		N/A	The project's aim is to provide a baseline for Hg info in the country, therefore it will have no negative environmental footprint.	
L.	**Sustainability / Replication and Catalytic Effects**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
36	Was there a credible sustainability strategy at design stage?		Yes	The combination of assumptions, risk assessment and the scoping nature of the project, provides for a credible sustainbility strategy at the design stage.	5
37	Does the project design include an appropriate exit strategy?		NO	This does not apply due to the nature of the Enabling Activity.	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action?		YES	This does not apply due to the nature of the project as a scoping and baseline establishing activity. The project does promote a sustainable communication channel nationally via the national coordination mechanism and regionally via the regional meetings.	
39	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?		YES	Clearly stated in section B of the prodoc.	
M.	**Identified Project Design Weaknesses/Gaps**		**YES/NO**	**Comments/Implications for the evaluation design** *(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)*	**Section Rating**
40	Were there any major issues not flagged by PRC?		NO		5
41	What were the main issues raised by PRC that were not addressed?		N/A		
N	**UNEP Gender Marker Score**	**SCORE**		**Comments**	**No Rating**

42	What is the Gender Marker Score applied by UN Environment during project approval? (This applies for projects approved from 2017 onwards) **0 = gender blind:** Gender relevance is evident but not at all reflected in the project document. **1 = gender partially mainstreamed:** Gender is reflected in the context, implementation, logframe, or the budget. **2a = gender well mainstreamed throughout:** Gender is reflected in the context, implementation, logframe, and the budget. **2b = targeted action on gender:** (to advance gender equity): the principle purpose of the project is to advance gender equality. **n/a = gender is not considered applicable:** A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.	1	YES	*The gender dimension is considered, but only superfically. This is understandable because the project is designed to take place in 5 countries with different cultures and considerations. It is specified that the project is to ensure opportunities for women to contribute to and benefit from the project outcomes. Particularely, it states that the project executor is to work with national coordinators to ensure women are well represented on the national coordination committees. This is not sufficient guidance and does not incorporate the gender aspect in any activities or outcomes, but it is a good step and is a sign of good intention which the national governments could take further in the implementation phase.*	

NOTES

1 For Terminal Evaluations/Reviews where a revised version of the project was approved based on a Mid-Term Evaluation/Review, then the revised project design forms the basis of this assessment.

2 A number rating 1-6 is used for each section: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

3 For 'Nature of External Context' the 6-point rating scale is changed to: Highly Favourable = 1, Favourable = 2, Moderately Favourable = 3, Moderately Unfavourable = 4, Unfavourable = 5 and Highly Unfavourable = 6. *(Note that this is a reversed scale)*

CALCULATING THE OVERALL PROJECT DESIGN QUALITY SCORE

	SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x Weighting/100)	
A	Nature of External Context	2	**4**	**0.08**	
B	Project Preparation	5	**12**	**0.6**	
C	Strategic Relevance	6	**8**	**0.48**	
D	Intended Results and Causality	5	**16**	**0.8**	
E	Logical Framework and Monitoring	5	**8**	**0.4**	
F	Governance and Supervision Arrangements	5	**4**	**0.2**	
G	Partnerships		**8**	**0**	
H	Learning, Communication and Outreach	5	**4**	**0.2**	
I	Financial Planning / Budgeting	5	**4**	**0.2**	
J	Efficiency	4	**8**	**0.32**	
K	Risk identification and Social Safeguards	5	**8**	**0.4**	
L	Sustainability / Replication and Catalytic Effects	5	**12**	**0.6**	
M	Identified Project Design Weaknesses/Gaps	5	**4**	**0.2**	
			TOTAL SCORE	**4.48**	
					Satisfactory

Annex B: List of National Coordination Committee members for each participant country

Ethiopia

Dr. Ayele Hegena
Director General, Law, Standards and Policy Directorate, Ministry of Environment, Forest and Climate Change

Mr. Mehari Wondemagegn
Director General, Compliance, Monitoring and Control Director General, Ministry of Environment, Forest and Climate Change

Ms. Roman Kassahun
Director, Ministry of Environment, Forest and Climate Change

Mr. Binyam Yakob Gebreyes
Focal Point for Minamata Convention, Ministry of Environment, Forest and Climate Change

Mr. Belachew Hailemariam Taye
Policy Expert, Law, Standards and Policy Directorate, Ministry of Environment, Forest and Climate Change

Mr. Girma Gemechu Kenne
Senior Hazardeous Waste Expert, Ministry of Environment, Forest and Climate Change

Mrs. Enatfanta Melaku
Director, Ministry of Mines, Petroleum and Natural Gas

Mr. Kassahun Tsegaye
Addis Ababa Solid Waste Reuse and Disposal Project Office

Mr. Taddesse Amare
Director, Pesticide Action Nexus Association, PAN-Ethiopia

Mr. Epherem Sisay
Addis Ababa Solid waste recycling project office.

Tamirat Sulamo
Expert, Ministry of Urban Development and Housing.

Dr. Abera Kumai
Lecturer, Addis Ababa School of Public Health

Dawit Alemu
Expert, Chemical and Construction Input Development Institute.

Meseret Adamu
Expert, Chemical and Construction Input Development Institute.

Fitsum Anteneh
Expert, Ethiopian food medicine and health care administration and Control

Abreham Misganu
Ministry of Health

Zewditu Memorial Hospital, Addis Ababa Ethiopia.
Balcha Hospital, Addis Ababa Ethiopia.
Minilik Hospital, Addis Ababa Ethiopia.
Paulos Millennium Hospital, Addis Ababa Ethiopia.
Gandhi Memorial Hospital, Addis Ababa Ethiopia.
Sahara Bulb factory, Addis Ababa, Ethiopia

The Gambia

Haddijatou Njie
Ministry of Environment, Climate Change and Natural Resources

Adama Ngum Njie
Office of the President

Sadibu Badgie
Ministry of Petroleum & Energy

Lamin Ak Touray
Ministry of Justice

Fabba Jammeh
Ministry of Trade & Industry

Sariyang MK Jobarteh
Ministry of Agriculture

Alieu Jawo
Geological Department

Jerro Saidikhan
University of The Gambia

Mafugi Jatta
Gambia Manufacturers Association

Mariama Gaye
Gambia Dental Association; Gambia Pharmaceutical Association

Dr. Modou Waggeh
Ministry of Health & Social Welfare

Lamin Dibba
Gambia Bureau of Statistic

Lalia Jawara
Food Safety and Quality Authority

Kebba K Barrow
Gambia Association of Non-Government Organizations

Task Team 1: Energy		
1.	*National Environment Agency*	Bafoday Sanyang
2.	*Ministry of Energy And Petroleum*	Sulayman Camara
3.	*National Water and Electricity Co.*	Momodou Njie
4.	*Gambia National Petroleum Co.*	Kolly Suwai
6.	*Geological Department*	Adolf Secka
Task Team 2: Production Of Metals/Materials And Industrial Mercury Use		
1.	*National Environment Agency*	Borry Mansa Demba
2.	*Gambia Technical Training Institute*	Bubacarr Cham
3.	*Gambia Bureau of Statistics*	Lamin Dibba
4.	*Gambia Revenue Authority*	Ebrima Sallah
5.	*Ministry of Trade and Industry*	Fabba Jammeh
Task Team 3: Waste Treatment and Recycling		
1.	*National Environment Agency*	Mariatou Dumbuya
2.	*Stay Green Foundation (NGO)*	Baboucarr Mbye
3.	*Kanifing Municipal Council*	Edrissa Njie
4.	*Ministry of Environment, Climate Change and Natural Resources*	Yankuba Kanteh
5.	*National Disaster Management Agency*	Lamin Tamba
Task Team 4: Mercury In Products		
1.	*National Environment Agency*	Lamin Jaiteh
2.	*Food Safety and Quality Authority*	Lalia Jawara
3.	*National Agriculture Research Inst.*	Ebrima AA Jallow
4.	*University of The Gambia*	Lamin B Dibba
5.	*Ministry of Agriculture*	Saja Conateh
6.	*Medical and Dental Association*	Mariama Gaye

Tanzania

A. Stakeholder's Participation in Inception workshop 2015

Name	**Institution**	**Contacts Details**
Eng. Angelina Madete	*Vice President's Office – Division of Environment*	nzula2007@gmail.com
Issaria Mangalili	*Vice President's Office – Division of Environment*	imangalili@yahoo.co.uk 0718 612474
Rogathe Kisanga	*Vice President's Office – Division of Environment*	rogathe2002@yahoo.com 0754 363288
Joseph Kihaule	*Vice President's Office – Division of Environment*	kihaulej@gmail.com
Eng. Peter Nyang'ombe	*Vice President's Office – Division of Environment*	premaster2001@yahoo.com
Eng. William Jirabi	*Vice President's Office – Division of Environment*	omutimbamkaguru@gmail.com
Zainab Kuhanwa	*Vice President's Office – Division of Environment*	zaikuhanwa@yahoo.com
Imelda Ukugani	*Vice President's Office – Division of Environment*	ukuganiimelda@gmail.com
Said Athumani	*Vice President's Office – Division of Environment*	saidathumani@gmail.com
Chipunga Siglinda	*Vice President's Office – Division of Environment*	sglidachipunga@yahoo.com
Grace Mkinga	*Vice President's Office – Division of Environment*	Mkingagrace72@gmail.com
John Ikombe	*Vice President's Office – Division of Environment*	jdikombe@yahoo.com
Selestin Pata	*Vice President's Office – Division of Environment*	
Elex Mtandu	*Vice President's Office – Division of Environment*	
Salome Killo	*Vice President's Office – Division of Environment*	0754 758114

Issa M. Nyashilu	*Vice President's Office – Division of Environment*	issa.nyashilu@vpo.go.tz
Anne Sekiete	*Ministry of Health*	annesekiete@yahoo.com
Msafiri Kabulwa	*Ministry of Health*	kabulwan@gmail.com
Kungulu Kasongi	*Ministry of Energy and Minerals*	kkasongi@yahoo.com
Julius Mwambeso	*Ministry of Industry, Trade and Investment*	jmwambeso@yahoo.com
Haji Rehani	*AGENDA*	htrehani@gmail.com
Dr. Gustav Rwekaza	*Tanzania Dental Associations (TDA)*	grwekaza@gmail.com
Sidi Mgumia	*JET*	siddymgumia@yahoo.com
Kessy Kilulya	*UDSM*	kessykilulya@udsm.ac.tz
Albina John	*NEMC*	Akisoka2003@gmail.com
Gervas Kaisi	*TBS*	kaisig@yahoo.com
Amos Heriel	*ENVIROCARE*	amonezer@yahoo.com
Augustino Monica	*TMAA*	maugustino@tmaa.go.tz
Magdalena Utouh	*Fair Competition Commission - FCC*	mutouh@competition.or.tz
Dr. Emeria Mugonzibwa	*Muhimbili University*	emugonzibwa@yahoo.com
Magreth Kinabo	*MAELEZO*	mkinabo@yahoo.com

B. Stakeholder Participation in Training on Development of Inventory using UNEP Toolkit September 21-23, 2016

Name	**Institution**	**Contacts Details**
Ms. Magdalena J. Mtenga	*Vice President's Office-Division of Environment*	
Joseph G. Kiruki		
Julius Enock		
Said Athuman		
Adam Minja		
Chacha Marwa	*Ministry of Energy and Minerals*	0718677497
Chacha M. Haruni	*Ministry of works, transport and communication*	0784335553
Anne Sekiete	*Ministry of Health*	annesekiete@yahoo.com
Eng. Peter Nyangómbe	*Ministry of industries and Trade*	0756141179
Eng. Musa Masasi	*Ministry of Water and Irrigation*	0655504014
Prof. Febronia Kahabuka	*Muhimbili Uiversity-School of Dentistry*	2150564
Grace Mngóngó	*TFDA*	0713604094
Godfrey Benedicto	*TBS*	0714013633
Alfred E. Msokwa	*NEMC*	0784598007
Juma Jonathan	*CTI*	0713640520
Dr. Tumaini Simoni	*TDA*	0713503879; 0783453565
Godfrey	*TRA*	0767233427
Salumu Mkango	*MRI-DODOMA*	0765027403
Henry Kimweri	*UDSM-Chemical and Mining Engineering department*	teganikim@gmail.com
Grace Butogolo	*MSD*	0755568977
Zukira Mbaraka	*STAMICO*	0783157352
Milele Mundeba	*FEMATA-MARA*	0756889705
George Kasanda	*KATAVI*	0786706148
Tano Hangali	*TPRI*	0684560877
Josephine Kalima	*GCLA*	0715605178
Christopher Kadeo	*GEITA*	

Mr. Manyesha	*CHUNYA*	
Haron Kinega	*FEMATA*	
Jeniva Kamuhabwa	*Ministry of Agriculture*	0714811581
Eunic Negele	*TAWOMA*	

Uganda

National coordination mechanism for the MIA project in Uganda.

NAME	TITLE	ORGANISATION	EMAIL	PHONE NUMBER
Dr. John Wasswa	Senior Lecturer	Department of Chemistry, College of Natural Sciences, Makerere University Main Campus, JICA Building (Opp. Main Library), University Road. P.O Box 7062, **KAMPALA.**	jnwasswa@cns.mak.ac.ug	0772504657, 0414540985
Emmanuel Kaye	Senior Government Analyst	Directorate Government Analytical Laboratories, Ministry of Internal Affairs, Plot 2 Lourdel Road, P.O Box 2174, **KAMPALA**	ekaye50@yahoo.com	0776741000 0414250474 0414250207
Fauza Namukuve	Senior Environment Officer	Department of Environment Affairs, Ministry of Water and Environment, P.O.Box 20026 Luzira, **KAMPALA.**	nfauzia2001@yahoo.co.uk	0782572362
John Mwanja	Senior Agricultural Inspector - Pesticide Inspection	Crop Protection Department, Ministry of Agriculture, Animal Industry and Fisheries. P.O. Box 102. **ENTEBBE**	musogajohn@gmail.com	0703103882
Kassim Semanda	Engineer department of industry and technology	Ministry of Trade, Industry and Cooperatives, Farmers' House, Parliamentary avenue, P.O. Box 7103, **KAMPALA**	bobs2004kassim@yahoo.com	0712189137 0703028929
Mrs. Margaret Tuhumwire	Director	Environment in Action for Development EWA/EWAD, Plot No.1, Station Road, Entebbe Town P.O. Box 883, Entebbe, Uganda Website: http://www.ewadmission.org/	ewamission@yahoo.ca; and ewadmission.mt56@gmail.com	+ 256 772 444 367
Silver Ssebagala	Director	Uganda Cleaner Production Center. Plot 42A Mukabya Road. P.O. Box 34644, **KAMPALA**	silverssebagala@yahoo.com	0774647363
Wilbur Nsiyona Bukosi	Customs Officer	Compliance Unit | C&BA Division | Customs Department, Uganda Revenue Authority, 9th Floor Plot 17, Crested Towers,	wnsiyona@ura.go.ug	0772402375

		Hannington Road **KAMPALA**		
Allan Kasagga	Ag. Director Finance and Administration	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA.	akasagga@nemaug.org	0772 489997
Arnold Waiswa Ayazika	Director Environmental Monitoring and Compliance	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA.	wayazika@nemaug.org	0772471139
Dr. Tom O Okurut	Executive Director	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, **KAMPALA.**	tokurut@nemaug.org	
Fred Onyai	Internal Monitoring and Evaluation Manager	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA.	fonyai@nemaug.org	0772517303
Christine Akello Echookit	Deputy Executive Director	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA	cakello@nemaug.org	0772595252
Isaac I. G. Intujju	Principal Environment Inspector (oil and gas)	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA	iignijju@nemaug.org	0772699828
Margaret Tuhumwire	Director	Environment in Action for Development EWA/EWAD, Plot No.1, Station Road, Entebbe Town P.O. Box 883, Entebbe, Uganda Website: http://www.ewadmission.org/	ewamission@yahoo.ca; and ewadmission.mt56@gmail.com	Tel: +256 414 321948 +256 414 321 948; Mob: + 256 772 444 367 + 256 772 444 367 +256 701 444 066 +256 701 444 066;
Tumwesigye Robert Baganda	Environment Focal Person	Pro-Biodiversity Conservationists in Uganda		0414 599860
Senyonjo Nicholas	Chief Environment Officer	Uganda Environment Education Foundation		0772420182
Vincent Kinene	District Natural Resources	Mubende District Local Government	kinenevicent@yahoo.com	0772627385
Prof. Steven Allan Nyanzi	National Consultant	Department of Chemistry, Makerere University, Kampala (Uganda).	snyanzi@cns.mak.ac.ug/snyanzi56@gmail.com	+256 750 403227/+256 772 406 127
Ann Nakafeero	MIA Project coordinator	National Environment Management Authority, Nema House Plot 17/19/21	anakafeero@nemaug.org	+256772449163

		Jinja Road, P.O Box 22255, KAMPALA		
Monica Angom	MIA Project Assistant	National Environment Management Authority, Nema House Plot 17/19/21 Jinja Road, P.O Box 22255, KAMPALA	mangom@nemaug.org	+256782337414/+256758 430455
Ian Mugisa	Specialist Dental Surgeon	Makerere university case western researve university (MUCWRU) Collaboration	mugisaian@gmail.com	0778081277

Zambia

Name	Organisation	Contact No	Email address
Jean Mukombi	*University Teaching Hospital*	0977 678694	jeankapakele@gmailcom
Chisha Mzyece	*National Institute for Scientific Research*	0976 281799	chischo83@yahoo.com
Kapeshi Christopher	*Zambia Dental Association*	0977 728576	chrisr0021221@yahoo.co.uk
Nelson Banda	*Energy Regulation Board*	0965 203508	nbanda@erb.org.zm
Jack Munthali	*ZESCO Concerns Solutions*	0966 116090	jmunthali@zesco.co.zm
Lydia Chibambo	*Network Environment*	0979 940747	ngo.necosinfor.necos@gmail.com
Patricial Chilaisha	*Ministry of Labor Social Security*	0977 854233	patriciachilaisha@gmail.com
Lawerence Musalila	*Ministry of Energy Water Development*	0971 880896	imusalila@gmail.com
Hiloyasu Kikloka	*Japanese Embassy*	0978 675004	hiroyasu.kirioka@nota.go.jp
Wilson Shane	*Lusaka Water Sewerage Company*	0968 440148	wshane@lwsc.co.zm
Nchimunya Milambo	*Indeni Oil Refinery*	0977 596789	nchimunyam@indeni.com.zm
Obed C Kawanga	*Central Statistics Office*	0965 782860	okawanga2001@yahoo.com
Kachiwala Sapala	*Kalumbila Minerals Limited*	0967 208469	kachiwala.sapalo@fqml.com
Shiichi Sakakibara	*Embassy of Japan*		
Evaristo Mwale	*Zambia Revenue Authority*	0977 323826	evamwale@yahoo.com
Robert Chimambo	*Zambia Climate Change*	0955 880441	kchimambo@gmail.com
Arnold Malambo	*Kansanshi Mining plc*	0969 456306	arnold.malambo@fqml.com
Alexi Mpishi	*Mopani Copper Mines*	0961 341553	aleximpishi@mopani.com.zm
James Nyirenda	*University of Zambia (Natural Sciences)*	0966 937568	nyirendaj@unza.zm
Jimmy Luo	*Zambia Metal Recycling Association*	0979 977192	zmrateam@gmail.com
Edgar Habusongo	*Zambia Metal Recycling Association*	0966 594224	zmrateam@gmail.com
Chola Musonda	*Ministry of Commerce Trade & Industry*	00260 2269540 964605704/ 0968356725	cholamusondac@gmail.com
Lennox Kalonde	*Ministry of Lands Natural Resources and Environmental Protection*	0211 251927	
Kalaba Lawerence	*Geological Survey Department*	0979 510253	lawerencekalaba@yahoo.com
Mutengo Sindano	*Ministry of Lands Natural Resources and Environmental Protection*	0976 068837	msindano@mlnrep.gov.zm

Maxwell Nkoya	*Zambia Environmental Management Agency*	0977 855212	mnkoya@zema.gov.zm
David Kapindula	*Zambia Environmental Management Agency*	0977 822306	dkapindula@zema.org.zm
Humphrey K Mwale	*Zambia Environmental Management Agency*	0966 917615	hkmwale@zema.org.zm
Chris Kanema	*Zambia Environmental Management Agency*	0977 747106	ckanema@zema.org.zm
Peter Malopa Mwanza	*Zambia Environmental Management Agency*	0977 614401	pmwanza@gmail.com
Perine Kasonde	*Zambia Environmental Management Agency*	0955 387112	pkasonde@zema.org.zm
Irene L Chipili	*Zambia Environmental Management Agency*	0977 744299	igchipili@zema.org.zm
Winnie Dzekedzeke	*Zambia Environmental Management Agency*	0977 844826	wdzekedzek@zema.org.zm
Wilson Phiri	*Zambia Environmental Management Agency*	0955 750946 0977 606239	nchisenga@zema.org.zm
Chibesakunda Kelven	*ZANIS*	0962 072602	chibesakundakm@gmai.com
Alvin Chinga	*Daily Mail*	0964 355878	achinga@yahoo.co.uk
Tony Nkhoma	*ZANIS*	0975 484845	tonynkhoma@gmail.com
Arthur Siamboole	*ZANIS*	0965 504936	
Doreen Liwanga	*Roots FM Radio*	0968 456001	doreennamatama@yahoo.com
Phyliss Sitengo	*Moon Newspapers*	0978 950255	phylisssitengo@gmail.com
Tizzie Chayinda	*ZNBC*	0977 486052	chayindatizzie.@yahoo.com
Muyinda Mwangala	*New Vision*	0977 326490	muyundapm@gmai.com
Arthur Sikopo	*Zambezi FM Radio*	0977 691133	adsikop@gmail.com
Maudy Chilongo	*Hot FM*	0971 838644	Bothamambwe@gmail
Jubiel M Zulu	*AMA Radio*	0975 094700	jubielzulu@gmail.com

Annex C: Breakdown of remaining unspent balance

QUARTERLY EXPENDITURE STATEMENT (US$)											
Project title:		Development of Minamata Convention on Mercury initial Assesment in Ethiopia, Gambia, Uganda, Tanzania and Zambia.									
Project number:		GFL-2310-2760-4F13									
Project executing partner:		groundWork									
Project implementation period:		From:	5/12/2014				To:	28/02/2018			
Reporting period:		From:	1/10/2017				To:	31/11/2017			
UNEP Budget Line		GEF-approved budget		Actual expenditures incurred*							Cumulative unspent balance to-date
		Total project budget	Current year budget	Cumulative expenditure from previous period	Jan-Mar Qtr 1	Apr-Jun Qtr 2	Jul-Sep Qtr 3	Oct-Dec Qtr 4	Current year total	Cumulative expenditures to-date	
		A	B	C	D	E	F	G	H=D+E+F+G	I=C+H	J=A-I
PROJECT PERSONEL COMPONENT											
1100	Project personnel										
1101	Project coordinator	$51,774	$5,752	$46,022	$2,876			$2,876	$5,752	$51,774	$0
1199	Sub total	$51,774	$5,752	$23,011	$2,876	$0	$0	$2,876	$5,752	$51,774	$0
1200	Consultants										
1201	Int consultants for inventory training etc..	$39,214	$33,837	$5,377	$12,703	$12,912		$5,377	$30,992	$36,369	$2,845
1299	Sub total	$39,214	$33,837	$5,377	$12,703	$12,917	$0	$5,377	$30,992	$36,369	$2,845
1300	Administrative support										
1301	Project financial officer	$16,875	$1,893	$14,982	$947		$0	$947	$1,894	$16,876	-$1
1600	Travel on official business										
1601	Travel project coordinator and staff	$11,500		$11,500						$11,500	$0
1699	Sub total	$28,375	$1,893	$26,482	$947	$0	$0	$947	$1,894	$28,376	-$1
1999	Component total	$119,363	$41,482	$54,870	$16,526	$12,912	$0	$9,200	$38,638	$116,519	$2,845
SUB CONTRACT COMPONENT											
2100	Sub-contracts (UN entities)										
2101	Sub contract with UNITAR	$50,000	$0	$50,000						$50,000	
2199	Sub total	$50,000	$0	$50,000	$0	$0	$0	$0	$0	$50,000	$0
2200	Sub-contracts (supporting organizations)										
2201	Subcontract for nat'l impl. Ethiopia	$126,043	$40,792	$85,251	$15,021			$25,771	$40,792	$126,043	$0
2202	Subcontract for nat'l impl. Gambia	$126,043	$40,792	$85,251		$15,021		$25,771	$40,792	$126,043	$0
2203	Subcontract for nat'l impl. Tanzania	$126,043	$40,792	$85,251	$15,021			$25,771	$40,792	$126,043	$0
2204	Subcontract for nat'l impl. Uganda	$126,043	$40,792	$85,251	$15,021			$25,771	$40,792	$126,043	$0
2205	Subcontract for nat'l impl. Zambia	$126,043	$40,792	$85,251		$15,021		$25,771	$40,792	$126,043	$0
2299	Sub total	$630,215	$203,960	$426,255	$45,063	$30,042	$0	$128,855	$203,960	$630,215	$0
2999	Component total	$680,215	$203,960	$476,255	$45,063	$30,042	$0	$128,855	$203,960	$680,215	$0
TRAINING COMPONENT											
3300	Meeting/Conference										
3301	Regional Inception workshop	$24,163		$24,163					$0	$24,163	$0
3303	Lessons learned workshop	$37,500	$37,500			$16,051			$16,051	$16,051	$21,449
3399	Sub total	$61,663	$37,500	$24,163	$0	$16,051	$0	$0	$16,051	$40,214	$21,449
3999	Component total	$61,663	$37,500	$24,163	$0	$16,051	$0	$0	$16,051	$40,214	$21,449
EQUIPMENT and PREMISES COMPONENT											
4100	Expendable equipment										
4101	Operational costs	$1,500	$1,500	$1,500					$0	$1,500	$0
4199	Sub total	$1,500	$1,500	$1,500	$0	$0	$0	$0	$0	$1,500	$0
4200	Non-expendable equipment										
4201	Computer, fax, photocopier	$873		$873					$0	$873	$0
4202	Software	$500		$500					$0	$500	$0
4299	Sub total	$1,373	$0	$1,373	$0	$0	$0	$0	$0	$1,373	$0
4999	Component total	$2,873	$1,500	$2,873	$0	$0	$0	$0	$0	$2,873	$0
MISCELLANEOUS COMPONENT											
5200	Reporting								$0	$0	$0
5201	Summary reports	$3,000	$3,000						$0	$0	$3,000
5202	Translation and interpretation	$0	$0						$0	$0	$0
5299	Sub total	$3,000	$3,000	$0	$0	$0	$0	$0	$0	$0	$3,000
5300	Sundry										
5301	Communications (postage, bank transfers etc..)	$1,000	$0	$1,000					$0	$1,000	$0
5399	Sub total	$1,000	$0	$1,000	$0	$0	$0	$0	$0	$1,000	$0
5500	Evaluation										
5501	Independent terminal evaluation	$30,000	$30,000						$0	$0	$30,000
5502	Independent financial audit	$15,000	$15,000						$0	$0	$15,000
5599	Sub total	$45,000	$45,000	$0	$0	$0	$0	$0	$0	$0	$45,000
5999	Component total	$49,000	$48,000	$1,000	$0	$0	$0	$0	$0	$1,000	$48,000
GRAND TOTAL		$913,114	$332,442	$559,161	$61,589	$59,005	$0	$138,055	$258,649	$840,821	$72,294

Annex D: Stakeholder comments & reviewer response

STAKEHOLDER	COMMENT	PAGE NUMBER	REVIEWER'S RESPONSE
The Gambia	Comment: "There was no ebola outbreak in the Gambia"	15, para 3	This is correct, and I understand that it might be implied in the sentence structure: the intended meaning was that the Ebola outbreak in the region and in neighboring countries, put stress on the country. This information is derived from the Gambia's MIA report, pg 33, para2 "*The recent 2016 Ebola outbreak in neighboring countries, the 2016 political impasse as well as several years of weak domestic policies have further contributed to the pendulous nature of the Gambia's GDP rates*"
The Gambia	Comment: "The Gambia has completed the Level 1 inventory. We did not do the level 2 inventory"	17, para 1	The review/evaluation report is written chronologically, and the quality of project design section (to which this comment was made) is written in the inception report of the evaluation/review, describing therefore the situation before the project took place. It makes sense when talking about the situation before the implementation of the project to state that the Gambia did not previously complete a Level 1 inventory.
The Gambia	Correction: "No appropriate disposal of waste…."	20, para 4	This was an inadvertence and it is corrected.
Uganda	Text placement of "Uganda concluded the inventory of mercury estimates and releases in April 2017. Uganda has actively explored policies, regulations, programs, and strategies to support the formalization of the growing ASGM economy. This includes specific measures to curb smuggling; encourage licensing of mineral dealers and reporting of exports among others. Government has put in place enabling policy and legislation on management of chemicals and the	9, Para 8	The reviewer acknowledges this information, but it is out of place, as the sub-section it was placed under is "institutional and political challenges", which itself falls under "context". The fact that Uganda completed its inventory in 2017 is a project deliverable and acknowledged later. The SMMRP project was not mentioned in the MIA report. The quality of Uganda's MIA report and

	environment in general. From 2004 to 2011, Uganda implemented a projected titled "Sustainable Management of Mineral Resources Project (SMMRP)" focusing on artisanal and small-scale mining with the objective of strengthening the Government's capacity to develop a sound minerals sector based on private sector investments and improvements (programs, policies for training, organizational development, formalization, among others) in selected ASGM areas."		assessment of legislation is praised later in the report. **This text placement is therefore rejected.**
Uganda	Text placement of "The constitution of Uganda dated 1995 provides for the Citizens right to a clean and healthy environment."	16, Para 1	**Text placement accepted.**
Uganda	Text placement of "Uganda"	20, Para 1	**Text placement accepted.**
Uganda	Text placement of "Uganda has had a lot of media publication (through local Newspapers); Radio programmes within local governments and national Television talk shows sensitizing the public on mercury releases and emissions in the country with special emphasis on ASGM sector. The National Environment Management Authority releases Newsletters on a quarterly basis which among others contain activities implemented under the Minamata Convention on Mercury among others. The awareness raised led to the development of mercury pollution reduction action plans by institutions including Civil Society Organizations (CSOs). Uganda revenue authority, Uganda national bureau of standards, ministry of water and environment, CSOs have submitted strategies to NEMA. A draft mercury	21, Para 3	The reviewer has acknowledged Uganda's efforts in the dental amalgam sector later in the paragraph. This is based on the information detailed in the document "EXTRACT OF THE NATIONAL MERCURY INITIAL ASSESSMENTS IN UGANDA". However, there has been no means of verification for all of the awareness raising activities mentioned in the comment: The review is only based on information that provided to the reviewer and that is verifiable. The entire "Chapter V: Awareness/Understanding of Workers and the Public; and Existing Training and Education Opportunities of Target Groups and Professionals" of the submitted MIA report is missing. The "CSO work plan for mercury" document is a good effort

	communication strategy has been drafted by NEMA from which targeted awareness materials will be developed."		but does not reflect what has been done during the project implementation period. **Text placement is therefore rejected.**
Uganda	Text placement of "Uganda"	22, Para 4	Uganda did not yet ratify the Minamata Convention, and therefore has not reached the intermediate impact stage in accordance with the theory of Change. The review would like to draw attention to the following sentence in the paragraph, which states "*In Ethiopia, Tanzania and Uganda, ratification packages have been prepared and are at different stages of the political approval process, with confirmation from national focal points that the ratification process is imminent*." **Text placement rejected.**
Uganda	Text placement of "Uganda will struggle to carry out its future activities without the support of GEF financially."	26, Para 3	Unnecessary addition, repetition of the sentence above. **Text placement rejected.**
Uganda	Text placement of stakeholder list "national coordination mechanism for the MIA project in Uganda"	44-45	The reviewer would like to stress that this list should have been communicated early on in the review process, in order to allow the reviewer to contact various stakeholders from different sectors. **Text placement accepted.**
Uganda	Comment: "For example, statements like "Uganda has never undertaken an inventory" on page 10 is not clear to us given that it was the purpose of the project and was accomplished. Unless you quote the	Via email	The terminal review has a chronological structure, and the first section is an introduction to the baseline situation in the participant countries prior to the project. This comment is made in the "context section", presenting the context before

	year in which you obtained that information, then it would be okay with us."		the implementation of the project. Therefore, it makes sense to state that Uganda has never undertaken an inventory prior to this project. This is why the comment was not included, and the date does not need to be cited.
Uganda	Correction: Ethiopia's country situation has been quoted as Uganda's on page 21, under the section of National capacity and infrastructure assessment.	Via email	This is inaccurate. There was a mistake in writing due to inattention, where its written Ethiopia instead of Uganda, but this has been corrected. Upon closer look at the two paragraphs, you will notice differences in accordance with the respective submissions made by Ethiopia and Uganda.
Uganda	Comment: "Lastly Government of Uganda through NEMA has funded a lot of awareness raising campaigns against the use of mercury especially in AGM in addition to dentistry. Through different media other than IECT materials. They have included radio talk show programmes, National newspapers among others. This was skipped in the draft although it was on our comments submitted to you. The information quoted under awareness raising materials seems to be secondary data of 2016".	Via email	The MIA report made available to the evaluator does not include information about any of the above. The terminal review is based on verifiable information, therefore unless the country provide means of verification (links to websites, videos of TV broadcasts, scans/photocopies of newspaper articles, recordings of radio broadcasts, etc), the evaluator cannot include this in the report. The evaluator has also not found anything on the NEMA website. Furthermore, the entire chapter dealing with awareness (Chapter V, in accordance with the IOMC MIA report guide) has not been submitted. This is the reason why it was not include this in the report.
Zambia	Text placement of "2013 and set in motion the ratification process, which made Zambia to ratify the MC in 2016,"	9, Para 1	**Text placement accepted.**
groundWork	Text placement of "in neighboring countries across porous borders"	9, Para 6	**Text placement accepted.**

groundWork	Comment on remaining unspent balance of $72,419: "Does this include all unspent budget lines e.g. for the evaluation and the audit?"	12, Table 2	Yes, it does.
groundWork	Comment on gender rating of the project: "should be articulated as a key lesson learnt."	18, Para 4	This is reflected in lesson 6 and lesson 4.
groundWork	Comment on the statement that all participating countries completed their inventories at L2: "Technically The Gambia did not fully complete their L2 inventory – they used the L1 inventory worksheet and completed some relevant section to the equivalent level of the L2 inventory."	20, Para 3	Comment accepted and **will be reflected in the final draft** of the review.
groundWork	Comment on the lack of identification of contaminated sites in Tanzania: "Similarly the Tanzanian National Action Plan (NAP) for ASGM will prioritize the development of strategies and guidelines for the identification and assessment of contaminated sites in the country."	20, Para 6	The NAP is a separate project and does not fall under the scope of this review.
groundWork	Comment on the lack of identification of contaminated sites in Zambia: "Similarly the Zambian National Action Plan (NAP) for ASGM will prioritize the development of strategies and guidelines for the identification and assessment of contaminated sites in the country."	20, Para 8	The NAP is a separate project and does not fall under the scope of this review.
groundWork	Text placement of " http://www.zeromercury.org/ www.groundwork.org.za "	23, Para 2	**Text placement accepted.**
groundWork	Comment on the statement of remaining balance "This will be confirmed when we submit our financial report for Q1 2018"	24, Para 5	Comment acknowledged.

groundWork	Comment on reference to Annex C "I don't see Annex C attached"	24, Para 5	Please see page xx ; Annex C is a screenshot of the last quarterly expenditure statement submitted by groundWork, attention should be paid to "cumulative unspent balance to date" column.
groundWork	Comment on the paragraph addressing the role of intergovernmental organizations in supporting projects: "this makes for a strong case that in Africa the AU has a role to play and should step up to assist countries to implement the MC – perhaps even a recommendation to the GEF that this regional capacity is key to the success of funded projects"	26, Para 4	Comment acknowledged and will be communicated.
groundWork	Comment on incomplete sentence	26, Para 4	**Corrected.**

Annex E: Quality Assessment of the Review Report

Quality Assessment of the Review Report

Review Title:

UN Environment/ Global Environmental Facility Enabling Activity 5860 **"Development of Minamata Initial Assessment in Africa"**

All UN Environment reviews are subject to a quality assessment by the UN Environment Evaluation Office. This is an assessment of the quality of the review product (i.e. Main Review Report).

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main review product. It should include a concise overview of the review object; clear summary of the review objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic review questions), lessons learned and recommendations.	Final report: Conclusions are presented as a list, followed by a list of lessons learned and recommendations. Some reading as title. Presenting the conclusions in narrative to communicate better its links to the lessons learned and recommendations would have been made the section stronger. A statement describing the strengths and weaknesses would have been appreciated.	4
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the review; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of	Final report: The location of the project in the project countries and UN Environment context, and particularly its relationship to	4.5

project phases (where appropriate); implementing partners; total secured budget and whether the project has been reviewed/evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the review and the key intended audience for the findings?	the Programme of Work could have been clarified. A statement describing the intended audience for the review would have been appreciated.	
II. Review Methods This section should include a description of how the *TOC at Review*[1] was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of review methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address review limitations such as: low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider review questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.	Final report: The Review methods are described in sufficient detail.	5
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).	Final report: The project overview is complete and concise.	5.5

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

• *Objectives and components*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics • *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order • *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing		
IV. Theory of Change A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Review. *The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.* The TOC at Review should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.	Final report: The Review describes the causal relationships in detail. A table to compare the results as stated in the approved Prodoc logframe (one outcome, five outputs) and as formulated in the TOC at Review (5 outcomes; 9 outputs) could have been noted.	5
V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: 1. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) 2. Alignment to UN Environment/GEF/Donor Strategic Priorities	Final report: The Review provides a complete and concise discussion of strategic relevance.	5

3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions		
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: Complete and concise discussion. Use of the Quality of Project Design Template is appreciated.	5.5
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that may have been reasonably expected to limit the project's performance (e.g. conflict, natural disaster, political upheaval) should be described.	Final report: Complete and concise discussion in the Quality of Project Design section.	5
D. Effectiveness **(i) Outputs and Direct Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the achievement of a) outputs, and b) direct outcomes? How convincing is the discussion of attribution and contribution, as well as the limitations to attributing effects to the intervention.	Final report: Clear discussion. Reference to project countries is appreciated. Reference of achievement of project results against outcome indicators as stated in the logical framework could have been noted.	4.5
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?	Final report: Concise discussion. Differences among countries against the likelihood of impact would have been appreciated. Consistency between the assumptions mentioned in the ToC diagram and those listed in the narrative would have been made the section stronger.	4.5

E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management. And include a completed 'financial management' table. Consider how well the report addresses the following: • *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff and	Final report: *(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the review report)* An assessment, based on the available information (before financial closure) would have been appreciated.	3
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment's environmental footprint.	Final report: Adequate discussion of efficiency, although some reference to the impact of the 'no cost extensions' would have been appreciated.	5
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting *(including SMART indicators, resources for MTE/R etc.)* • Monitoring implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g. PIMS and donor report)*	Final report: Clear and concise discussion. Reference to the indicators and its targets as per the project logframe would have made the section stronger.	4.5
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:	Final report:	5

• Socio-political Sustainability • Financial Sustainability • Institutional Sustainability *(including issues of partnerships)*	Clear and concise discussion. Differentiation between countries is appreciated.	
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. To what extent, and how well, does the review report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[2] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness	Final report: An independent section is not required. It leads to some repetition of material already discussed under other categories.	4.5
VI. Conclusions and Recommendations **i. Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report: Clear discussion. Having the ToR as an Annex would have been appreciated to allow assessment of the response to the strategic questions. Clustering the conclusions would have made the section stronger.	5
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit review findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: Some confusion between 'lessons' and 'recommendations'. Recommendations are intended to have a compliance dimension.	4.5
iii) Quality and utility of the recommendations:		4.5

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

To what extent are the recommendations proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. Recommendations should represent a measurable performance target in order that the Project Manager/Head of Branch/Unit can monitor and assess compliance with the recommendations.	Final report: A clear indication on who should be responsible to act and by when would have made the section stronger.	
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: Very clear structure, consistent with UN Environment guidance.	6
ii) **Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: The review is well written and the language adequate.	5.5
OVERALL REPORT QUALITY RATING:		**S**

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the review report is calculated by taking the mean score of all rated quality criteria.