



United Nations Environment Programme

**Terminal Review of the UNEP/GEF Enabling Activity 5875
“Development of Minamata Initial Assessment in Mexico”**

Final Version

Ramon Jimenez

April 2018

Contents

Project Identification Table.....	4
Executive Summary.....	5
Conclusions.....	6
Lessons Learned.....	7
Recommendations.....	7
Introduction.....	8
The Review.....	8
The Project.....	9
Project Financing.....	11
Changes in Design during Implementation.....	12
Theory of Change of the Project.....	12
Review Findings.....	15
Strategic relevance.....	15
Quality of project design.....	16
Effectiveness.....	17
Achievement of outputs.....	17
Stakeholder Involvement.....	19
Achievement of Outcomes.....	19
Likelihood of Impact.....	19
Attainment of objectives and planned results.....	20
Compliance of assumptions.....	20
Efficiency.....	21
Financial Management.....	21
Monitoring and Reporting.....	22
Sustainability.....	22
Factors and processes affecting project performance.....	22
Conclusions, Lessons Learned and Recommendations.....	23
Conclusions.....	23

Lessons Learned.....	25
Recommendations.....	26
Annex 1. Stakeholder Questionnaire Template in Spanish.....	28
Annex 2. Terminal Evaluation Terms of Reference.....	30
Annex 3. Evaluation Programme.....	45
Annex 4. Ratings on Financial Planning and Management.....	45
Annex 5. Project costs and co-financing tables.....	46
Annex 6. References.....	46
Annex 7. Quality Assessment of the Evaluation Report.....	46

List of Figures

Figure 1. Theory of Change

List of Tables

Table 1. Original and actual project budgets, by component and funding source

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

Table 3. Summary of Review Ratings

List of Acronyms and Abbreviations

EA: Enabling Activity

GEF: Global Environment Facility

INECC: Instituto de Ecología y Cambio Climático

MIA: Minamata Initial Assessment

NGO: Non-Governmental Organisations

Project Identification Table

Sub-programme:	Chemicals and waste	Expected Accomplishment(s):		
UN Environment approval date:	14 May 2014	Programme of Work Output(s):		
GEF project ID:	5865	Project type:	Enabling Activity (EA)	
GEF Operational Programme #:	5	Focal Area(s):	Persistent Organic Pollutants	
GEF approval date:	June 24, 2015	GEF Strategic Priority:	Pilot Sound Chemicals Management and Mercury Reduction	
<i>Expected</i> start date:	August 3, 2015	Actual start date:	October 16 2015	
<i>Planned</i> completion date:	October 16, 2018	Actual completion date:	July 31 2018	
<i>Planned</i> project budget at approval:	40,000	Actual total expenditures reported as to march 2018:	\$426,530	
GEF grant allocation:	\$456,530	GEF grant expenditures reported as at March 2018:	\$426,530	
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a	
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:		Secured Medium-Size Project/Full-Size Project co-financing:	Secured and reported Co-finance as at June 2016 - \$40,000	
First disbursement:	21 Oct 2015	Date of financial closure:	July 31, 2018	
No. of revisions:	3	Date of last revision/amendment of Legal Instrument:	May 25, 2017	
No. of Steering Committee meetings:	3	Date of last/next Steering Committee meeting:	Last: Jan 18	Next: N/A
Mid-term Review/ Evaluation (<i>planned date</i>):	N/A	Mid-term Review/ Evaluation (actual date):	N/A	
Terminal Evaluation (<i>planned date</i>):	January 2018	Terminal Evaluation (actual date):	May 2018	
Coverage - Country(ies):	Mexico	Coverage - Region(s):	Latin America and the Caribbean	
Dates of previous project phases:	N/A	Status of future project phases:	N/A	

Executive Summary

1. The following report submits the results carried out of the terminal review of the entitled enabling activity: “Development of Minamata Initial Assessment in Mexico”, performed by the Instituto Nacional de Ecología y Cambio Climático (INECC) during the period 2015 to 2017 with an UN Environment/GEF budget of \$456,530 and \$40,000 in co-financing from the UN Environment GEF Agency. This enabling activity project implemented by the Mexican government supports the ratification of the Minamata Convention, signed by Mexico in 2013, and mainly focuses at building national capacity to meet an effective reporting and other obligations under the Convention. Mexico has indicated that availability of data is a major challenge to design adequate strategies for mercury control and reduction, and the inventory of emissions and releases to atmospheric, aquatic, terrestrial and biotic media, a fundamental component of the MIA is therefore a suitable solution.
2. The project objective was to assist the progress of the ratification and early implementation of the Minamata Convention using scientific and technical knowledge and tools by national stakeholders in Mexico. It was mainly based around five components: establishment of national coordination mechanisms and organization of process, assessment of national infrastructure and capacity for the management of mercury including legislation, development of mercury inventory via UN Environment toolkit to identify and assess sources of emissions and releases as well as contaminated sites, identification of challenges, needs and opportunities, and the preparation/validation of the national final MIA report and awareness raising activities.

Criterion	Rating	Page in report
A. Strategic Relevance	HS	13
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	HS	
4. Complementarity with existing interventions	HS	
B. Quality of Project Design	S	14
C. Nature of External Context	F	
D. Effectiveness	S	15
1. Achievement of outputs	S	15
2. Achievement of direct outcomes	S	17
3. Likelihood of impact	L	17
E. Financial Management	HS	19
1. Completeness of project financial information	HS	
2. Communication between finance and project management staff	HS	
3. Compliance with UN Environment standards and procedures	HS	
F. Efficiency	S	19
G. Monitoring and Reporting	HS	20
1. Monitoring design and budgeting	HS	
2. Monitoring of project implementation	HS	
3. Project reporting	Complete	
H. Sustainability	S	20
1. Socio-political sustainability	S	
2. Financial sustainability	S	
3. Institutional sustainability	S	
I. Factors Affecting Performance	S	20
Preparation and readiness	S	
2. Quality of project management and supervision	HS	
3. Stakeholders participation and cooperation	S	
4. Responsiveness to human rights and gender equity	<u>S</u>	
5. Country ownership and driven-ness	S	
6. Communication and public awareness	<u>S</u>	
Overall Project Rating	S	

Conclusions

- 4 **Conclusion 1:** Mexico required the MIA to collect unknown data, identify potential risks and take actions towards an effective implementation of the Minamata Convention.
- 5 **Conclusion 2:** The commitment of Mexico to the implementation of the Minamata Convention increased during the development of the project.
- 6 **Conclusion 3:** The implementation of this project was a fundamental measure to take specific actions and decisions to manage the current mercury situation in Mexico.
- 7 **Conclusion 4:** There is a critical need of concern and taking actions on the illegal primary mercury mining national issues.
- 8 **Conclusion 5:** There is a critical need of concern and taking actions on the mercury trade in order to comply with the obligations stated in the Minamata Convention.

- 9 **Conclusion 6:** Mexico needs to reinforce the communication and share knowledge of the results in a national, regional and international level with its partners.
- 10 **Conclusion 7:** Existent Mexican institutional infrastructure is sufficient to approach the main topics and activities that will be developed in the scope of the Convention.

Lessons Learned

- 11 **Lesson 1:** To take actions in the mercury management issues of Mexico, updated current information is essential.
- 12 **Lesson 2:** Constant updating of the mercury management information is strengthened.
- 13 **Lesson 3:** Achievement of the social, economic and environmental assessments is essential to take into consideration at all moment.
- 14 **Lesson 4:** A better understanding, explanation and definition of gender aspects involved with mercury issues and activities needs to be developed.
- 15 **Lesson 5:** Legal framework will modify to be consistent with the obligations of the Minamata Convention.

Recommendations

- 16 **Recommendation 1:** It is imperative for Mexico to work with the UN Environment Global Mercury Partnership, particularly the ASGM partnership.
- 17 **Recommendation 2:** Broaden the current National Coordination Mechanism Committee to incorporate NGO partners to improve an effective national internal communication.
- 18 **Recommendation 3:** Set up channels of communication with international partners for sharing experiences and information.
- 19 **Recommendation 4:** Reinforce and update the legal dispositions to procure congruence with the obligations and commitments acquired by Mexico through the Convention.

Introduction

1. The present document is the result of the preparation for the Terminal Evaluation of the UN Environment/GEF Enabling Activity “Development of Minamata Initial Assessment in Mexico” which contains a summary of the project justification and context, as well as an assessment of the design and quality of the project, an evaluation framework and a programmed evaluation timeline. The objective of the project is the facilitation of the ratification and early implementation of the Minamata Convention by the use of scientific and technical knowledge and tools by the Government of Mexico. The engagement of a MIA is the first step towards an effective implementation of the Minamata Convention on Mercury, which objective is to protect human health and the environment from anthropogenic emissions and releases of mercury and its compounds. The MIA evaluates the baseline conditions of the country in terms of existence of mercury in the environment, as well as the actual institutional and legislative frameworks. The evaluation contains the identification of all mercury sources and releases employing the UN Environment’s Toolkit, establishing a baseline which permits for future monitoring of progress in the implementation of the Convention. The assessment also aims to reinforce national coordination mechanisms on an efficient chemicals management as it is currently operational in the country, by ensuring specific mercury considerations are also addressed without duplicating efforts. Mexico signed the Minamata Convention on mercury on the October 10th 2013, and this project was proposed in 2014, consisting of a 24-month duration, from reception of the first payment in 2015. The MIA report was submitted in April 2018 and the project will be closed in July 2018, being the Terminal Review the last deliverable of the project. It was implemented by the UN Environment Programme with funds from the Global Environment Fund and executed by the *Instituto Nacional de Ecología y Cambio Climático (INECC)*, reinforcing the Minamata National Committee created in December 2013, following the signing of the Convention.

The Review

2. This review was prepared between the months of March and April 2018 by an independent consultant, Ramon Jimenez, under the overall responsibility and management of the Task Manager of the GEF team at the Chemicals and Health Branch, under the Economy Division of UN Environment.
3. The principal views of this review consist of:
 - i. provide evidence of results to meet accountability requirements and,
 - ii. identify lessons of operational relevance for future project formulation in the region specifically, and for the early implementation of the Minamata Convention.

4. Reaching this would be carried out through the promotion of operational improvement, learning and knowledge sharing between national and regional stakeholders. This review focused on 2 principal questions: how and why the results of the project were achieved, besides stating what the results were. In the review the evaluator focused on making a distinction between the consequences obtained of the EA and not having applied the EA in Mexico.
5. The review was supported with the participation of the involved key stakeholders. They were contacted, visited and consulted by the evaluator between March and April in Mexico, as well as phone calls review questionnaire in order to get the maximum information as possible.
6. The preparation of the first desk review of the project documentation, along with the questionnaire and meetings were the principal methods the evaluator employed to determine the results of the project. The performance of the project was assessed in terms of its relevance, efficiency and effectiveness, as well as its actual outcomes, impacts and their sustainability. An evaluation of the likelihood of impact assessment, identifying intended and unintended effects, as well as assessing the potential to replicate, opportunities for upscaling and continuation of the project (or similar projects in the region). After these, then came the assessment of factors and processes affecting project performance related to the preparation and readiness, quality of management and supervision, participation of stakeholders, public awareness, country ownership and responsiveness to human rights and gender equity. At the end, the project financing and the monitoring and review systems were also evaluated. It is importance to indicate that all the obtained findings in the report were based on referenced evidence, and the sources were reviewed thoroughly as possible.

The Project

Context

7. Mexico has indicated that availability of data is a major challenge to design adequate strategies for mercury control and reduction. For instance, Mexico has only limited and incomplete data on its mercury uses and releases to atmospheric, aquatic, terrestrial and biotic media. Also, there is clearly uncertainty in the national records of mercury emissions as dental amalgam (with emission not resulting from human cremation) and waste incineration. Mexico will benefit from new and updated information about the mercury cycle in the country and building capacity in managing the risks of mercury. The Mexican Government has made important efforts to address mercury related issues at the local, regional and global level.
8. Since 1997 Mexico has been undertaking a series of actions concerning mercury, such as the transboundary movement and trade, mercury waste management and storage, mercury products management, inventory of emissions and releases as well as research, assessment, diagnosis and monitoring in environmental and biological matrices. In Mexico, mercury trade is a very important concern, especially after the signature of the Minamata Convention. Mercury is currently traded in the country.
9. On other issues, the mercury and toxic chemicals studies undertaken in Mexico for more than a decade have allowed the development of a national regulatory system, which still has gaps, but allows to start to work on the Minamata Convention. However further assessments and evaluations are needed, especially on the technical, legislative and institutional capacity to fully comply with the

requirements of the Minamata Convention and to facilitate the ratification and further implementation of the Convention.

10. The Minamata Convention 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. Additionally, the Convention contains also measures on the environmentally sound interim storage of mercury and on mercury wastes, as well as contaminated sites (cited from the Minamata Convention).
11. The principal challenge Mexico was facing is the lack of accurate data to design an appropriate environmental management strategies. As a part of the pre-ratification programme of the Minamata Convention, the MIA project addresses this in a direct way, as its main objective is to provide key national stakeholders in Mexico with the scientific and technical knowledge and tools needed for that purpose.
12. An effective implementation of the Convention will include a prioritization exercise based on a analytical hierarchical process that will be useful for decision making designed to face both the rational and the intuitive in the selection of the best of a series of viable alternatives: regulation, life cycle, destination, exposure and vulnerability. For each of the sectors that form part of the Minamata Convention, the main challenges, needs and opportunities will be addressed. The analysis should make possible to identify strengths, weaknesses and opportunities, through which it facilitated the development of proposals for actions or relevant recommendations for Mexico to have the tools or elements that will allow it to fulfill the commitments acquired upon the signing of the Convention
13. Politically, Mexico has been stable throughout the project execution period, and communication with stakeholders was constant and uninterrupted.

Objective and Components

14. The objective of the project was to facilitate the ratification and early implementation of the Minamata Convention, using scientific and technical knowledge and tools by the Government of Mexico. The engagement of the MIA consists of five components described as follows:
 1. Creation of Coordination Mechanisms 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 for the identification and assessment of mercury contaminated sites.
 4. Identification of challenges, needs and opportunities to implement the Minamata Convention.
 5. Preparation, validation of national MIA reports and implementation of awareness raising activities and dissemination of results.

Milestones/Key dates in project design and implementation

15. Project start date: Planned September 2015; Actual: October 2015

16. Mid-term evaluation (MTE) date: Due to the nature and scale of the EA, the project document does not demand a MTE, consequently further progress reporting, the M&E plan consists of the independent financial audit and the independent terminal review.
17. Project completion date: Planned April 2018; Actual: July 2018

Implementation arrangements:

18. For this project, UN Environment acted as the UN Implementation Agency, with financing from the GEF according to Article 13 on the financial mechanism of the Convention, included in the GEF V Focal Area Strategies document under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, particularly under outcome 3.1 to build country capacity to effectively manage mercury in priority sectors. Execution of the project was launched by the INECC under SEMARNAT authorization. INECC responsibilities involve managing the project activities and establishing technical and management teams to effectively execute the different activities. This agency was asked to engage an independent financial audit and to support the UN Environment with regular progress and financial reports.

Project financing

Project Components	GEF Financing original estimate/ actual disbursements	Actual co-financing	Total (\$)
	\$	\$	
1.Determination of Coordination Mechanism and organisation of process	15,000/ 37,904	30,000	45,000
2.Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	10,000/ 31,143	0	10,000
3.Development of a mercury inventory using the UN Environment mercury toolkit	295,000/ 254,115	10,000	305,000
4. Identification of challenges, needs and opportunities to implement the Minamata Convention	25,000/ 24,153	0	25,000
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	40,030/ 68,550	0	40,030
6. Project management and supervision	45,665/ 45,688	0	41,500
7. Project monitoring and evaluation	25,000/ 3,900	0	30,000
Total project costs	456,530	40,000	496,530

Table 1. Original and actual project budgets, by component and funding source.

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
UN Environment	GEF Agency	In-kind	40,000	100
Total co-financing			40,000	100

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

Project Partners

19. The principal project partners were:
- i. INECC as the Executing Agency
 - ii. UN Environment as the Implementing Agency
 - iii. GEF as the financing partner
 - iv. National Coordination Mechanisms Committee

Changes in Design during Implementation

20. During the implementation of the project there were no changes in project design.

Theory of Change of the Project

21. As part of the project documentation, a Theory of Change was elaborated. The Theory of Change helps to describe in a structured and simple way the arrangement of the activities carried during the course of the project and how they will affect the outputs and the outcomes. Another important element that help support the organization of the Theory of Change are the assumptions, which are essential for the likelihood of realization of the intended impact. Due to the scale of the project and how it is directed to the main impact that is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds, there is only one principal pathway of outcomes to impact identified, as an intermediate state.
22. Impact pathway Data Collection and Establishment of Baseline Institutional Framework: Outcomes 1,2,3 and 4 to project objective. The completion of the project objective demands the achievement of all principal outcomes, and following the diagram, every single one of the outcomes is linked to the next in a sequential continuous logic order. If Mexico wants to establish an effective implementation of the Convention, it requires to evaluate, unify and engage the current available information (**Outcome 1**), after that the institutional, regulatory and legal mercury management capacities should be assessed (**Outcome 2**). Once this first stage is elaborated and executed, the following phase should include the compilation of qualitative and quantitative data applying the UN Environment Mercury Inventory Toolkit (**Outcome 3**), all the gathering and analysis of the obtained data will lead to an improved and critical understanding of national priorities needs that need to be covered (**Outcome 4**) in order to comply with the Minamata Convention.

23. After the completion of this stage, the project will reach the intermediate state, and Mexico's principal stakeholders will have the necessary information of the MIA to take specific assessment on the needs and gaps that the project demands related to legislation and institutional capacity, mercury emissions/releases to the environment and gaps to be filled that arose from the obtained data of the inventory. By doing all this in a methodically process, the project will lead directly to an effective implementation of the Minamata Convention.

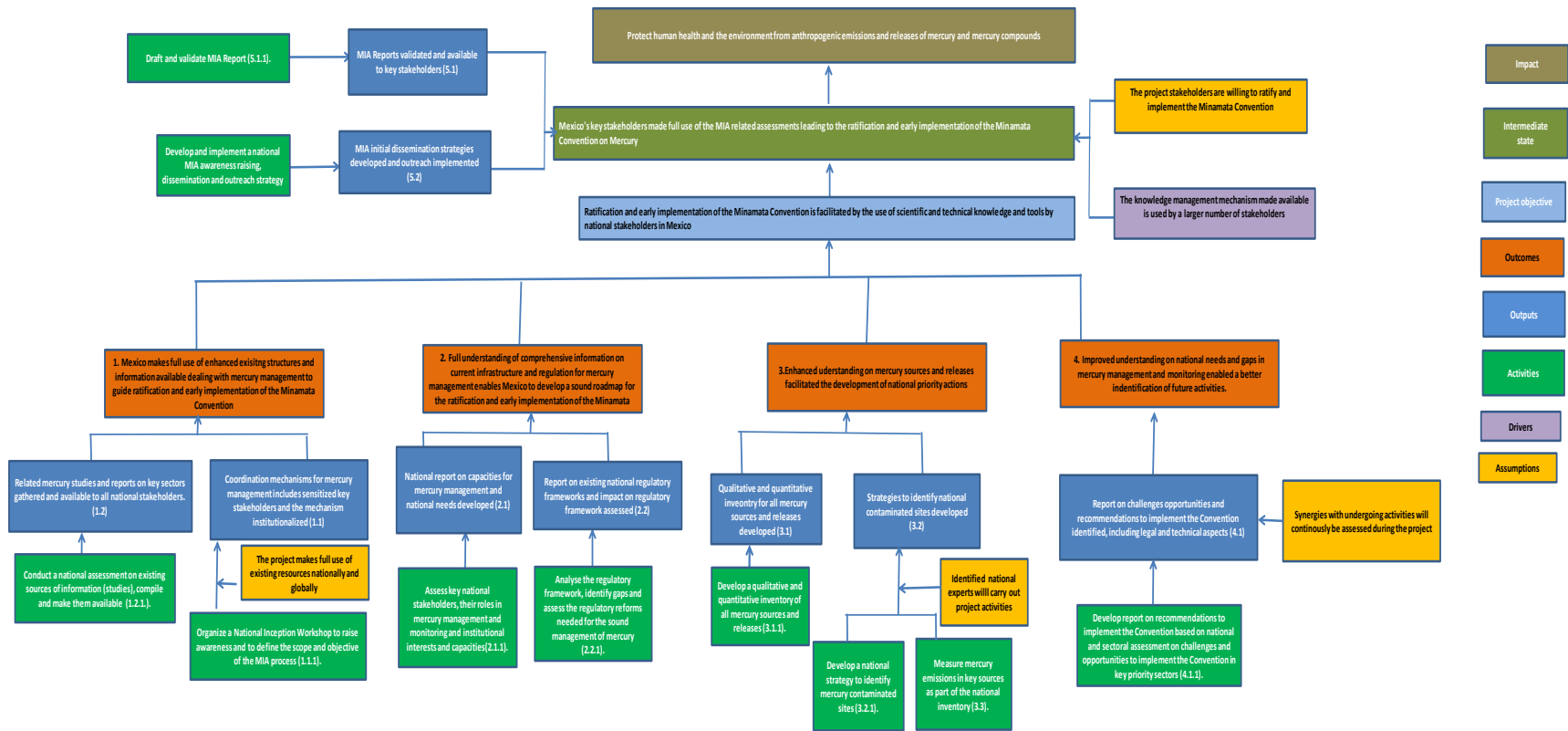


Figure 1. Theory of Change

Review Findings

24. The present section will respond the questions that appeared in the review terms of reference and the review criteria matrix presented in the inception report. The following part will justify by means of verification the findings, analysis of the obtained data and the rating of the review criteria that make up the evaluation.

Strategic Relevance

National and Regional priorities

25. The Mexican Government has made important efforts to address mercury related issues at the local, regional and global level. Since 1997 Mexico has undertaken a series of actions concerning mercury, such as the transboundary movement and trade, mercury waste management and storage, mercury products management, inventory of emissions and releases as well as research, assessment, diagnosis and monitoring in environmental and biological matrices. Within the framework of the Commission for Environmental Cooperation, Mexico endorsed along with Canada and United States of America the North American Regional Action Plan for Mercury (NARAP) for the period 2000-2010 in order to reduce the levels of mercury in some environmental matrices. Mexico benefited from the NARAP by gaining a broader understanding on mercury use, discharges, trade, pollution sources, capacity building within the government and the development of a technical capacity to measure mercury in different matrices through technical assistance, and programmes for the exchange of equipment and personnel.

26. The mercury studies undertaken in Mexico for more than a decade have allowed the development of a national regulatory system, which still has gaps, but allows to start to work on the Minamata Convention. However further assessments and evaluations are needed, especially on the technical, legislative and institutional capacity to fully comply with the requirements of the Minamata Convention and to facilitate the ratification and further implementation of the Convention. Therefore, the ratification and implementation of the Convention is consistent with the national priorities, making the MIA project consequently relevant, as it is the first step towards early implementation. Beyond the environmental dimension, the socio-economic baseline information the project requires will aid the government in developing strategies and solutions to mitigate the overexploitation of resources and the exposure of vulnerable populations to pollution through awareness raising and development of alternatives and viable solutions. The MIA project also contributes to Mexico's UNDAF, by contributing to the protection of the environment and the preservation of human health, as well as empowering vulnerable communities, raising awareness on the matter of pollution and advocate for social inclusion and equal gender participation.

UN Environment's mandate and policies

27. 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. Another contribution the project supports to is the UN Environment Medium Term Strategy 2014-2017, under the harmful substances area and the Chemicals and Waste sub-programme. The project is intended to contribute Mexico's capacity to manage chemicals and waste, and increases collaboration with the secretariats of chemicals and waste-related multilateral-environmental agreements.

The GEF's Strategic Objectives

28. Mercury is considered a priority chemical under the chemicals and waste focal area strategy under GEF V and GEF VI. Under the financing of GEF V, it addresses mercury as part of the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury reduction, more specifically outcome 3.1 to build country capacity to effectively manage mercury in priority sectors and with output 3.1 countries receiving GEF support for mercury management and reduction, on a pilot basis.
29. In general, the project is a necessary first essential step towards an early and effective implementation of the Minamata Convention. The outcomes are very specific and contributes for a sustainable development, protection of population health and a sound environment policies. The obtained baseline data involving all the components of the project will help to establish the development of strategies that will address environmental and social policies.

Rating for strategic relevance: Highly satisfactory

Quality of project design

30. Following the stated information evaluated in the inception report, the document was rated as **Satisfactory** with remarkable strengths and some slight drawbacks that need to be improved during the preparation of the following projects.
31. Included as the highest strengths in the design of the project are the strategic relevance; the governance and supervision arrangements; logical framework and the financial planning. All of them were evaluated as **Highly Satisfactory**. An exception included in this level, is the intended results and causality; and risk identification and social safeguards. Both rated as **Satisfactory**. The strategic relevance of this project is consistent with the framework priorities and programmes of work of GEF and UN Environment, providing the necessary context for the achievement of an effective sound implementation. Concerning to the governance and supervision arrangements, both properly state, define and identify the responsibilities and roles of the principal stakeholders during the development of the project that end in developed synergies that also promote sound implementation. The Theory of Change suffered a slightly modification compared to the one presented in the EA considering the logical framework presents a detailed and specific risk identification table that highlights the ranking of the possible risks the project will face (going from high, medium and low), and proposed mitigation measures. It also includes in the design of the project a list of assumptions clearly defined. Regarding financial planning, due to the experience in similar MIA projects, it displays a coherent and responsible budget preparation for all the stated outputs of the document. It is important to state that at the design stage of the project, the financial system is particularly well prepared, contributing to overall success of the implementation of the project.

32. The main scope of this project is to collect all the possible information of the current situation of mercury in Mexico so the principal obligations of the Minamata Convention can be fulfilled following the reinforcement of existent coordination mechanisms and networks through information sharing in a regional, national and international scale. The compromise of Mexican Government has made important efforts to address mercury related issues encouraging the reinforcement of this solid project design and project outcomes and outputs logic.
33. Concerning to the gender aspects, INECC (executing agency) recognizes the importance of the gender dimension and remarks the relevance on the statements addressing the role of women and their representation during the execution of this project. The project demonstrated engaged awareness of the set of roles, rights, responsibilities, and power relations associated with gender, as women are a fundamental part of the risk populations that will contribute and benefit from the implementation of the Minamata Convention. According to this initial assessment, a gender dimension analysis must be adequate and analysed for future effective implementation of the projects in this subject.

Rating for quality of project design: Satisfactory

Effectiveness

Achievement of outputs

34. The 5 main outputs in this project are: 1) technical support provided for the establishment of National Coordination Mechanisms and organization of process for the management of mercury; 2) assessment of national infrastructure and capacity for the for the management of mercury including national legislation; 3) a mercury inventory of emissions, releases developed using the UNEP toolkit and strategies to identify and assess contaminated sites; 4) technical support for identification of challenges, needs and opportunities for an effective implementation of the Minamata Convention; and 5) preparation of a national MIA report and implementation plan of awareness raising activities and results dissemination. The project documentation reviewed, deliverables and discussions with key stakeholders confirmed the high quality of the outputs. Every single one of the deliverables of the project were submitted according to the programmed schedule. The analysis of the outputs is as follows:

1. National Coordination Mechanisms Committee

36. The creation of the national Committee was in December 2013, just after Mexico signed the Minamata Convention. The committee consisted of government agencies: INECC, Federal Commission for Protection against Health Risks, National Water Commission, Federal Attorney for Environmental Protection, Ministry of Economy, Ministry of Environmental and Natural Resources, Health Ministry, Mexican Geological Service, Federal Electricity Commission and the National Institute of Women. It also includes industry and civil society representatives: National Association of the Chemical Industry, National Chamber of the Iron and Steel industry, National Chamber of Cement, National Chamber of Mining, National Chamber of Electrical Manufacturing, CYDSA S.A of C.V., Autonomous University of Queretaro, Autonomous University of San Luis Potosi, National Metrology Centre. The government representatives eclipse the civil society and the private sector stakeholders in quantity. The

information obtained through the meetings and interviews with project stakeholders confirm that the committee served its purpose.

2. National capacity and infrastructure assessment

37. The report the Mexican government submitted is in Spanish, while an executive summary can be found in the final MIA version report in English. The report was submitted in April 2018, and produced by INECC. The report is considered as highly satisfactory. It has a deep well-detailed analysis, has settled a positive national infrastructure baseline, complemented with detailed information on the main mercury emissions and principal mercury wastes sites, and identifies the problems that need to be addressed in future efforts. Concerning to the national legislation, there have been remarkable progress that can be considered as satisfactory in quality of the efforts. The report confirms that Mexico has applied the necessary efforts in legislation and infrastructure to implement the obligations stated in the Minamata Convention.

3. UNEP Toolkit mercury inventory

38. The expert from INECC prepared the report of the inventory in accordance with the guidance provided by UNEP Toolkit for identification and quantification of mercury releases, version 1.3, Level 2. The inventory achieved the goal which aimed to assist Mexico to build a satisfactory knowledge base that identified the sources of mercury releases in the country. The data was obtained through public information sources and in direct contact with parties involved in the public and private sector. The detailed information gathered in this inventory is expected to help make decisions that consider possible control measures on mercury releases occurring in Mexico. The inventory data was delivered in time and contributes a remarkable insight into the needs of the country.

4. Contaminated sites assessment

39. The complete information on contaminated sites issue was acknowledge in the MIA report in Spanish and carried out by INECC. There are at least 8 identified contaminated sites, localized, principal mercury source of pollution, brief description of the issue and the reference of the source. This information is useful so the next step is acting to propose an effective assessment considering the specifications of every contaminated site.

5. MIA report

40. The final deliverable report of the MIA will be submitted in July 2018 in English. The document presents the overall objectives of the project, the above outputs, the status of completion, results obtained from each outcome, a list of lessons learned and best practices of the report and a list of the collaboration partners for the preparation of the report. The report was delivered on time with a satisfactory quality content. The report follows IOMC guidelines, including detailed chapters with the mercury issues. This report is the baseline necessary for the elaboration of the implementation plan:

Implementation plan: implementation plan is not a MIA necessary requirement, but it demonstrates Mexico's engagement for an early implementation measure. The proposed establishment of the program: Minamata-Mexico for Health, is a work diagram developed to assist impacted regions, involving all sectors and with the scope on accumulated mercury risk evaluation, to intervene not only associated mercury factors, but also those threats that could increase the mercury awareness. The proposal of the Minamata-Mexico for Health program consists of 6 components: identification of impacted regions, prioritization of identified regions, organization of action groups for studying prioritization regions, risk health assessment and application of intervention measures, assistance to uncertainties and secondary sources of exposure to mercury, regional risk characterization of mercury exposure. The program must also

observe the gender-based differences between women and men in the creation of health risks and exposure to mercury. It is important to include this as another component of the program, particularly because pregnant women have special vulnerability to suffer more serious damages that may be transmitted to their children, leading to a wider public health problem. The activities proposed in the implementation plan support and reinforce the clauses of the Minamata Convention.

Stakeholder Involvement

41. The evaluator assisted to meetings for reaching the most possible stakeholders involved in the development of the project, as well as the preparation of phone interviews with the development of a survey in Spanish. The consulted stakeholders were key members in the execution of the project, with academic or governmental data. All of them have been actively involved in the production of project's deliverables. The compromise shown answering the survey and responding any doubt the evaluator asked, demonstrate the complete involvement in the design of each phase of the project as well as the extensive participation and cooperation with the information needs the implementation of the project required. Each of the consulted stakeholders provide sufficient and useful information on their expertise field for the achievement of the main objectives stated by the project.

Achievement of outcomes

42. The structure of the project consists in a single impact route: Data Collection and Establishment of a Baseline Institutional Framework (considering the Theory of Change diagram mentioned before in this report). The completion of the project main objective demands the achievement of the four principal outcomes, which are linked directly in a continuous logic order considering this project consists of stages: The ratification of the Minamata Convention will be achieved if Mexico enhances and assess its existing information and structure (Outcome 1), after that comes the understanding of a baseline on institutional, regulatory and legal mercury management capacities (Outcome 2). Just after the preparation of these two-stages, the scenario will be possible for the beginning of the collection of qualitative and quantitative data using the UN Environment Inventory Toolkit (Outcome 3). The provided information will enhance an improved understanding of national priorities, needs and take actions to fill the gaps (Outcome 4). It is at this moment, that all relevant stakeholders will take actions solving the remaining gaps and flaws the MIA mentions in legislation, mercury contaminated sites assessment, mercury releases and emissions reported during the produced results of the inventory. Finally, just after all this procedure, Mexico can lead to an effective implementation of the Minamata Convention. It can be concluded with all the analysed information and reports that the project achieved all the proposed outcomes.

Likelihood of impact

43. The positive impacts in the execution of this project are as follow: 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 Minamata Convention; elaboration and dissemination of an action plan towards the implementation of the Minamata Convention. These impacts are a result of the discussed project outcomes described in the Theory of Change.

44. The information collected in the surveys and meetings detected no unintended positive effects, because of the design and nature of the project. As a risk, possible negative effect that the government will face as it implements the Minamata Convention is the socio-economic issues that some mercury mining communities will face, but according to the action plan, the government will provide the necessary measures and actions to solve it before being a major issue.
45. Stakeholders will employ all the collected and reported data in this project when implementing the national action plan prepared in the MIA report. Considering institutional change, all the involved stakeholders in the National Coordination Mechanism mentioned they are fully committed to the fulfilment of the project. They assisted to inception meetings and workshops concerning mercury issues, so the mechanism established and the joint-efforts will continue working towards long-term impact in the elimination or where feasibly reduce mercury emissions and releases in a regional and national approach.
46. The project design can be replicated. In future scopes, the design of this type of projects will be adjusted and adapted to specific national needs of each country. The consulted stakeholders agreed to say that this project can be exploited and replicated in a small-scale order of magnitude across the country. They also emphasized in the awareness of gender and sex disaggregated data, as it is omitted during the execution of the project, and it is an essential component in the design of the document.

Attainment of objectives and planned results

47. The MIA report as well as the inventory and legislation documents were made available to all relevant counterparts that were involved in the participation of this project as well as non-governmental counterparts. This has been confirmed by the uploading of the document in an available government website.

Compliance of assumptions

48. The Project Logical Framework declares that the seven proposed assumptions were analysed and engaged at the design state as follows:
49. "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 and 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". The commitment of stakeholders to this assumption remains engaged.
50. "The project will continue having the political and public support necessary for its implementation". The analysis of project documentation, surveys and feedback from key stakeholders shows an engagement of this assumption.
51. "National Stakeholders will facilitate and contribute to the assessment of national infrastructure, capacities and legislation". The participation of stakeholders remains constant and engaged.
52. "National stakeholders will facilitate and contribute to the identification and quantification of mercury releases". Collected feedback from project management and participant stakeholders prove this assumption remains fully engaged.
53. "Qualified staff and experts to carry out the project activities will be identified and retained". During the preparation of this project, all staff consultants and work collaborators were competent. This assumption holds positive and engaged.

54. “Economic resources will be available to carry out all the project activities”. The financing and co-financing support received from the GEF was delivered as scheduled program to be effectively terminated on the agreed period. This assumption remains engaged.
55. “Key stakeholders will make full use of the MIA related assessments to ratify and implement the Minamata Convention”. Mexico has already ratified the Minamata Convention, and produced also an implementation plan to fully comply the obligations of the Convention. This assumption remains engaged.

Rating for effectiveness: Satisfactory

Efficiency

56. The project did not suffer any social or political challenges that prevent it to achieve the proposed outputs. The implementation of the National Coordination Mechanism Committee during the achievement of the project was strengthened, and it produced baseline information from the involved key stakeholders. There were no significant delays in delivering the project, the contact and feedback with the execution team was considered as satisfactory. The disbursement of payments was properly scheduled, and the achievement of outputs was also satisfactory. On the cost-effectiveness, according to financial audit, there were no flaws. The efficiency in the management of the project, allowed the participation of prepared consultants that were fully aware of their responsibilities, producing high-quality data at a suitable cost-effective rate regarding the importance of the project.

Rating for efficiency: Satisfactory

Financial Management

57. Regular quarterly financial reports provide satisfactory detail on how effective the executing agency managed requested funds. All the planned components consumed the corresponding budget, and every administrative procedure that was mentioned in the Monitoring and Evaluation Budget list were all reported in a transparent way. The way the project was planned before its execution is a good example of good practices and stands as a confirmation of good planning design in similar projects that is to be considered for replication. Additional co-financing was delivered by GEF. As reported, it was also all spent according to budget established in the project design.
58. No further financial irregularities or flaws were detected based on project documentation.

Rating for financial management: Highly Satisfactory

Monitoring and Reporting

59. Monitoring and reporting mechanisms consisted in quarterly progress reports submitted to the UN Environment task manager, who gave regular feedback on these reports. This was carried out via email, or during UN Environment staff missions to Mexico or to regional meetings where the government representatives were also present. The obtained feedback highlighted the good relationship they held, and the willingness of the government, and executing teams willing to receive feedback and apply changes for good. The evidence of this can be detected in the timeline of the project outputs and required documentation. All progress reports are complete and accurately explained.

Rating for monitoring and reporting: Highly Satisfactory

Sustainability

60. The engagement level from the government, private sector and civil societies working towards achieving the proposed goals of the project is considered as satisfactory. The compromise of Mexico to continue its efforts carrying priority activities and implementation of plans in accordance to the Minamata Convention have influenced the project progress toward its intended impacts.

61. The project achieved the desired impact, which was creating efforts for future projects and activities to be undertaken in the field of mercury management.

62. There is a strong participation between INECC (executing agency) and the Universidad Autonoma de San Luis Potosi, which is an academic entity that showed a full commitment and participation to the project execution concerning to the data collection in contaminated sites due to its experience in this mercury issue. The involved stakeholders contacted for the evaluation, reinforced the idea of commitment to fulfilling project's outcomes at the time this review was terminated. This measures will be contributing to long-term impact of the implementation of the Minamata Convention in Mexico to safely predict that they will continue to maintain the engagement in the future. The National Coordination Mechanism Committee will also need to continue supporting appropriate policies, regulations and decisions, informed by the MIA project results.

63. It is important to highlight that Mexico will require the experience and global recognised expertise UN Environment has to offer in order to guarantee the sustainability of future projects involving an effective implementation of the Minamata Convention.

Rating for sustainability: Satisfactory

Factors and processes affecting project performance

Project implementation and management

64. The project has been carried out as indicated, even though there were some delays concerning timeframe of project implementation, but the content of the report satisfactorily complies with the Minamata Convention requirements. It can be therefore concluded that it was managed effectively, with reported close and uninterrupted communication between INECC and UN Environment. Execution teams were responsive and perceptive to feedback and suggestions made for the

improvement of the report. The inventory followed the requirements using the toolkit level 2, and provided an essential updated information to Mexico's 2008 inventory.

Rating for project implementation and management: Highly Satisfactory

Stakeholder participation, cooperation and partnerships

65. Rating the effectiveness of collaboration among stakeholders can be considered as satisfactory, but it is evident that the involvement of NGOs was scarce and gender specialised organisations lacked in the organisation of the information in the report. The common observation in the project was referring to the lack of gender dimension. This will be discussed in detailed in the conclusions and recommendations sections below.
66. Consulted stakeholders highlight their participation in the different stages of the project and they all played an active role during the implementation and completion of each output allowing the establishment of relations between agencies.

Ratings for stakeholder participation, cooperation and partnerships: Satisfactory

Country ownership and drivenness

67. Mexico has satisfactory ownership levels; however, it is a fact that without the support of GEF and UN Environment, it cannot sustain the implementation efforts.

Rating for country ownership and drivenness: Satisfactory

Communication and public awareness

68. There were no existing communication networks already established, therefore the Coordination Mechanism Committee constitutes the main network. INECC therefore utilised their government website (www.gob.mx) as the principal outlet of communication providing information of the updated situation and goals achieved during the execution of the project on the platform, as well as other mexican newspapers' websites that shared during the course of the implementation of the project the status of the goals achieved. The diffusion of the information to the public in general has been carried out in a slowly, yet in an efficient way by newspaper's publications (both printed, and websites confirmed) describing in a practical and simple way the consequences involving mercury health issues and main industrial activities that contribute to the emissions of this metal; and by the implementation of fact sheets distributed during the workshops with stakeholders involved during the execution of the project. Public awareness and communication was considered as sufficient, and there are future plans to expand the information obtained to a larger group of communities in the main risk sites.

Rating for communication and public awareness: Satisfactory

Conclusions, Lessons Learned and Recommendations

Conclusions

- 69. Conclusion 1: Mexico required the MIA to collect unknown data, identify potential risks and take actions towards an effective implementation of the Minamata Convention.** The establishment of the MIA allowed Mexico to take data based informative decisions towards the implementation of the Convention. The previous outdated information on the 2008 inventory of emissions and releases would have been the only available insufficient information available, and if decisions were taken based on this information, they would not address the current issues Mexico is facing in chemicals and waste management.
- 70. Conclusion 2: The commitment of Mexico to the implementation of the Minamata Convention increased during the development of the project.** The quality of the assessment of contaminated sites, and the detailed implementation plan are demonstrative of the high quality of the efforts carried out for the assessment and identification of priorities, even though the next challenges for Mexico will demand more compromise and effort from stakeholders in order to comply with the Convention.
- 71. Conclusion 3: The implementation of this project was a fundamental measure to take specific actions and decisions to manage the current mercury situation in Mexico.** It was an essential priority for Mexico to collect data on the levels of mercury released in the environment (land, water and air), and the necessity to quantify mercury containing products used in the different industrial processes (batteries, dental amalgam, mining, medical equipment) so they can design an Action Plan to identify priority measures towards an effective implementation of the Convention.
- 72. Conclusion 4: There is a critical need of concern and taking actions on the illegal primary mercury mining national issues.** The inventory corroborates that the presence of illegal exploitation in specific regions of Mexico, that demands to be furtherly examined, in order to propose the best available measures to solve this important issue
- 73. Conclusion 5: There is a critical need of concern and taking actions on the mercury trade in order to comply with the obligations stated in the Minamata Convention.** After performing the analysis with the support of the information on Mexican legal framework provided by the authorities that identified the gaps on national legislation, there are legal dispositions that should be revised, created and development of planning and management instruments, such as a national action plan to procure congruence with the obligations and commitments acquired by Mexico through the Convention. The actions taken in the legal trading frameworks will encourage the priority measures on the road towards early implementation of the Convention.
- 74. Conclusion 6: Mexico needs to reinforce the communication and share knowledge of the results in a national, regional and international level with its partners.** Mexico has done a great job in its ability of producing the MIA project on time, and sharing their results with national stakeholders as well as regional countries can provide assistance. In the same way, Mexico can receive a proper assistance from the experience gained of other countries that have already completed their MIA projects as well.
- 75. Conclusion 7: Existent Mexican institutional infrastructure is sufficient to approach the main topics and activities that will be developed in the scope of the Convention.** The quality of the assessment of contaminated sites, quality data collected from the industrial activities and the concentrations of emissions and releases to the environment, and efforts in legal framework, are demonstrative of the high-quality compromise carried out by the stakeholder's group. The alliances and working-groups

strengthened and created during the implementation of the project will continue the efforts for the identification of country priorities.

Criterion	Rating	Page in report
A. Strategic Relevance	HS	13
<i>1. Alignment to UN Environment MTS and POW</i>	HS	
<i>2. Alignment to GEF/Donor strategic priorities</i>	HS	
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	HS	
<i>4. Complementarity with existing interventions</i>	HS	
B. Quality of Project Design	S	14
C. Nature of External Context	F	
D. Effectiveness	S	15
<i>1. Achievement of outputs</i>	S	15
<i>2. Achievement of direct outcomes</i>	S	17
<i>3. Likelihood of impact</i>	L	17
E. Financial Management	HS	19
<i>1. Completeness of project financial information</i>	HS	
<i>2. Communication between finance and project management staff</i>	HS	
<i>3. Compliance with UN Environment standards and procedures</i>	HS	
F. Efficiency	S	19
G. Monitoring and Reporting	HS	20
<i>1. Monitoring design and budgeting</i>	HS	
<i>2. Monitoring of project implementation</i>	HS	
<i>3. Project reporting</i>	Complete	
H. Sustainability	S	20
<i>1. Socio-political sustainability</i>	S	
<i>2. Financial sustainability</i>	S	
<i>3. Institutional sustainability</i>	S	
I. Factors Affecting Performance	S	20
<i>Preparation and readiness</i>	S	
<i>2. Quality of project management and supervision</i>	HS	
<i>3. Stakeholders participation and cooperation</i>	S	
<i>4. Responsiveness to human rights and gender equity</i>	U	
<i>5. Country ownership and driven-ness</i>	S	
<i>6. Communication and public awareness</i>	S	
Overall Project Rating	S	

Table 3. Summary of review ratings

Lessons Learned

78. **Lesson 1: To take actions in the mercury management issues of Mexico, updated current information is essential.** Complete assessments of the baseline situation of Mexico is the most convenient route to make intelligent decisions to promote a sound management of chemicals and specially the mercury waste management issues and policies.
79. **Lesson 2: Constant updating of the mercury management information is strengthened.** As INECC used previous information collected from previous efforts concerning to the outdated inventory, this

project did not duplicated information, instead it improved the available data and provided new information concerning to the inventory, sources and emissions of mercury.

80. **Lesson 3: Achievement of the social, economic and environmental assessments is essential to take into consideration at all moment.** The main purpose of the project was to gather scientific data on mercury releases and emissions in order to take adequate measures in order to address these issues. The same procedure was followed to understand social issues related to primary mercury mining activities for the case of Mexico. The Mexican government will require to raise awareness campaigns and develop a social-environmental assessment to address the mercury issues.
81. **Lesson 4: A better understanding, explanation and definition of gender aspects involved with mercury issues and activities needs to be developed.** Gender analysis in general is misunderstood as an exclusive women's issue, but there should be more guidance from Mexican stakeholders to provide assistance in performing the proper analysis in order to comply with the GEF and the Minamata Convention gender aspects.
82. **Lesson 5: Legal framework will modify to be consistent with the obligations of the Minamata Convention.** Legal dispositions will continue to be revised to procure congruence with the obligations and commitments acquired by Mexico through the Convention. Mexican legislation will require hard work in the development of planning and management programs such as the development of implementation plans addressing mercury use, international trade and emission limits for mercury industrial sources.

Recommendations

- 83 **Recommendation 1: It is imperative for Mexico to work with the UN Environment Global Mercury Partnership, particularly the ASGM partnership.** As illegal exploitation and illegal trade issues remain an area lacking in data, it is recommended that Mexico contacts the Global Mercury Partnership, who can provide targeted advice and expertise. Future efforts gathering information will be encouraged for key stakeholders in order to fill in the gaps of the information in this issue.
- 84 **Recommendation 2: Broaden the current National Coordination Mechanism Committee to incorporate NGO partners to improve an effective national internal communication.** Collaborations with universities in the scientific and social fields will provide help integrating a broader socio-economic approach to the project. The implementation of the Convention encourages Mexico to create bonds with key stakeholders that provide expertise regarding mercury sound management.
- 85 **Recommendation 3: Set up channels of communication with international partners for sharing experiences and information.** It is recommended that Mexico shares information with international counterparts participating in MIA projects as well. The experience can be helpful in order to address weaknesses in the implementation of the project for involved parties. Regional meetings organised by UN Environment will be an information-share platform.
- 86 **Recommendation 4: Reinforce and update the legal dispositions to procure congruence with the obligations and commitments acquired by Mexico through the Convention.** Regarding Federal Laws, legal dispositions need to be updated to procure congruence with the obligations and commitments acquired by Mexico through the Convention, such as hazardous activities list, mercury regulation on releases, mercury-added products, interim storage, mercury wastes and contaminated sites,

specifications for artisanal and small-scale gold mining, interim storage of mercury and technical criteria for reducing mercury emissions from new and existent sources among others.

Annex 1. Stakeholder Survey Template: Evaluación final del proyecto “Desarrollo de la Evaluación Inicial del Convenio de Minamata en México”

La lista de preguntas que se presenta a continuación se realizó para evaluar el proyecto con el fin de poder reunir la amplia experiencia, conocimientos y opiniones de los diferentes grupos de interesados para recolectar una información lo más precisa y objetiva posible.

En su opinión:

- a) ¿Las contribuciones que este proyecto implementó son consistentes con las prioridades ambientales de la región y de México?
- b) ¿Se logró el objetivo del proyecto?
- c) Indique el número de representantes de sociedades civiles que participaron en el proyecto como miembros interesados (Si puede, mencione el nombre)
- d) ¿Participó lo suficiente en la fase del diseño del proyecto, como parte interesada académica y/o gubernamental?
- e) ¿Participó lo suficiente en la fase de implementación del proyecto, como parte interesada académica y/o gubernamental?
- f) ¿Cómo calificaría el nivel de calidad de la participación de las ONG's y los representantes de la sociedad civil durante la fase de implementación del proyecto?
- g) ¿Cómo evaluaría la interacción entre las partes interesadas durante el transcurso del proyecto?
- h) ¿El proyecto contribuyó a desarrollar relaciones profesionales entre usted y otras partes involucradas?
- i) ¿El proyecto tuvo algún efecto positivo o negativo indirecto? Si es así, por favor menciónelo
- j) ¿Este proyecto ha afectado la toma de decisiones y la estrategia nacional para la gestión y manejo de sustancias químicas? Si es así, por favor, mencione a detalle los efectos.
- k) ¿Ha utilizado el proyecto dentro de las estructuras institucionales y legales ya existentes en el campo de la gestión y manejo de sustancias químicas en México?
- l) ¿Este proyecto ha contribuido directamente a un cambio institucional en el campo de la gestión y manejo de sustancias químicas? Si es así, mencione ese cambio.
- m) ¿El Mecanismo Nacional de Coordinación es lo suficientemente sólido como para seguir trabajando hacia la eliminación de los productos que contienen mercurio?
- n) ¿Considera que el proyecto fue eficaz en términos de gestión del tiempo?
- o) Si se viera en la necesidad de replicar este proyecto, ¿adoptaría una estrategia de gestión diferente? Si es así, indique qué cambios realizaría
- p) ¿Cómo explica usted la falta de consideración detallada en el aspecto de género en el documento de la evaluación inicial? Por favor, amplíe la respuesta
- q) ¿Existen obstáculos sociales y/o políticos a largo plazo que puedan afectar el progreso de la gestión nacional del mercurio en México?
- r) ¿El proyecto ha logrado sensibilizar lo suficiente a la población sobre los peligros del mercurio?
- s) ¿El plan de acción implementado concuerda con los esfuerzos para eliminar los productos que contienen mercurio?
- t) ¿Hubo un monitoreo regular durante la implementación del proyecto?
- u) ¿Cómo evaluaría la efectividad y eficiencia del proyecto?
- v) ¿Cómo evaluaría la eficacia y eficiencia de la gestión del proyecto por parte de Naciones Unidas Medio Ambiente (UN Environment)/GEF?

- w) ¿El proyecto ha utilizado las redes de comunicación existentes en el campo de la gestión de sustancias químicas?
- x) ¿Existe algún comentario, experiencia que quisiera compartir sobre las impresiones o consejos sobre la gestión del proyecto? Nómbralos y menciónelos a continuación
- y) Como representante del gobierno de México, ¿Cómo describiría su compromiso con este proyecto y la Convención de Minamata?
- z) ¿Ha tenido algún problema o retraso debido a complicaciones administrativas? Indíquelas a continuación.

Annex 2: Terminal Evaluation Terms of Reference

TERMS OF REFERENCE

Terminal Evaluation of the UNEP project

“Development of Minamata Initial Assessment in Mexico”

PROJECT BACKGROUND AND OVERVIEW

Project General Information

Sub-programme:	Chemicals and waste	Expected Accomplishment(s):	
UN Environment approval date:	14 May 2014	Programme of Work Output(s):	
GEF project ID:	5865	Project type:	Enabling Activity (EA)
GEF Operational Programme #:	5	Focal Area(s):	Persistent Organic Pollutants
GEF approval date:	June 24, 2015	GEF Strategic Priority:	Pilot Sound Chemicals Management and Mercury Reduction
<i>Expected</i> start date:	August 3, 2015	Actual start date:	October 16 2015
<i>Planned</i> completion date:	October 16, 2018	Actual completion date:	July 31 2018
<i>Planned</i> project budget at approval:	40,000	Actual total expenditures reported as to march 2018:	\$426,530
GEF grant allocation:	\$456,530	GEF grant expenditures reported as at March 2018:	\$426,530
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:		Secured Medium-Size Project/Full-Size Project co-financing:	Secured and reported Co-finance as at June 2016 - \$40,000
First disbursement:	21 Oct 2015	Date of financial closure:	July 31, 2018
No. of revisions:	3	Date of last revision/amendment of Legal Instrument:	May 25, 2017
No. of Steering Committee meetings:	3	Date of last/next Steering Committee meeting:	Last: Jan 18 Next: N/A
Mid-term Review/ Evaluation (<i>planned date</i>):	N/A	Mid-term Review/ Evaluation (actual date):	N/A
Terminal Evaluation (<i>planned date</i>):	January 2018	Terminal Evaluation (actual date):	May 2018
Coverage - Country(ies):	Mexico	Coverage - Region(s):	Latin America and the Caribbean

Dates of previous project phases:	N/A	Status of future project phases:	N/A
-----------------------------------	-----	----------------------------------	-----

Table 1. Project Summary

Project rationale

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties from developing countries and countries with economies in transition to implement the Convention. It identifies two entities that will function as the Financial Mechanism: a) the Global Environment Facility Trust Fund; and b) A specific international Programme to support capacity-building and technical assistance. The GEF Programming for its replenishment V highlights the strong commitment of the GEF to support the ratification and further implementation of the Minamata Convention on Mercury. Additionally, at its 44th Meeting in June 2013, the GEF Council considered document GEF/C.44/04, Preparing the GEF to serve as the Financial Mechanism of the Minamata Convention on Mercury upon entry into force and its decision, inter alia: “Authorized the use of up to 10 million for the funding of an early action pre-ratification programme for the Minamata Convention on Mercury to be programmed during the remainder of GEF-5, upon request by eligible signatory countries. It also requested the GEF Secretariat to develop initial guidelines consistent with the final resolutions of the Diplomatic Conference for enabling activities and pre-ratification projects, in consultation with the interim Secretariat of the Minamata Convention on Mercury and presented this as an information document at the 45th Council Meeting”

The GEF financial support of mercury related activities is included in the GEF V Focal Area Strategies document, which addresses mercury issues under 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.

The pre-ratification programme for the Minamata Convention on Mercury complements the 15 million USD assigned from GEF to support mercury projects since the start of GEF V (2010). The 15 million USD, initially allocated during GEF V, have been exhausted in 2013, therefore the 10 additional million USD are for countries that have the firm purpose to ratify the Convention and are to support the pre-ratification programme. These additional funding is made available with the purpose to: a) assess national regulatory framework in the context of preparation for a decision whether to ratify; b) decide if there is a justification to notify the convention in accordance with article 7; c) prepare to implement the obligations of the Minamata Convention on Mercury as soon as possible. As such, the GEF Secretariat, consistent with paragraph 9 (b) of the GEF Instrument, in the interim period between adoption of the Convention and the COP1, as well as after the COP1, will support developing countries and countries with economies in transition that: a) have signed the Convention; and b) are eligible for World Bank (IBRD and/or IDA) financing or eligible recipients of UNDP technical assistance through its target for resource assignments from the core (TRAC).

This project is aimed at facilitating the ratification and early implementation of the Minamata Convention by providing key national stakeholders in participating countries with the scientific and technical knowledge and tools needed for that purpose. The MIA will also assist participating countries to decide if there is a justification to notify to the Convention in accordance with Article 7 of the Minamata Convention.

Project objectives and components

Objective: Ratification and early implementation of the Minamata Convention is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Mexico.

Components:

1. Establishment of Coordination Mechanism and organization of process
2. Assessment of the national infrastructure and capacity for the management of mercury, including national legislation

3. Development of a mercury inventory using the UNEP mercury tool kit and strategies to identify and assess mercury contaminated sites
4. Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury
5. Preparation and validation of National MIA reports and implementation of awareness raising activities and dissemination of results

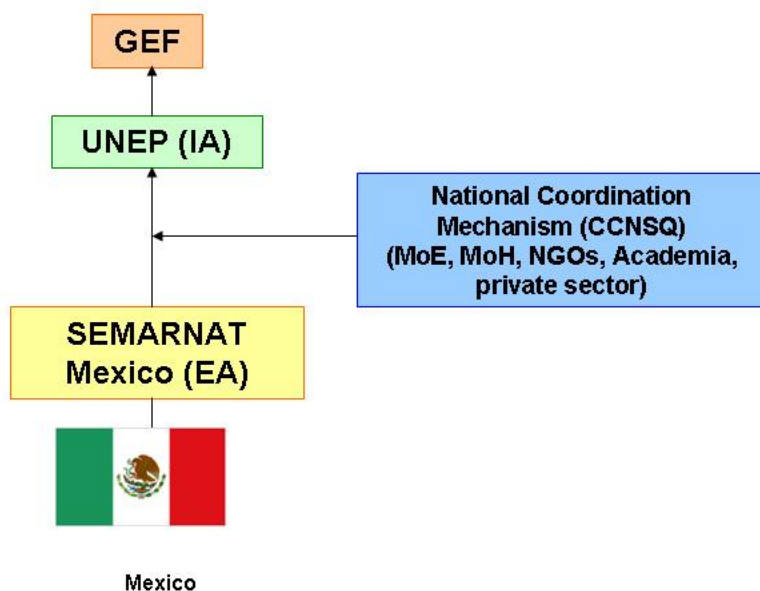
Executing Arrangements

Implementing Agency (IA): UNEP DTIE Chemicals is responsible for overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including technical issues. Working in close collaboration with the Executing Agency (EA), UNEP Chemicals will provide technical and administrative support to the EA.

UNEP Chemicals will support Execution of this project as part of the Mercury Partnership Programme, and will provide assistance to signatories to the Minamata Convention such as organizing regional/global awareness raising/training workshops, reviewing technical products, sending technical experts to key meetings, etc (as indicated in the UNEP co-financing letter). Furthermore, through its Programme of work, UNEP will identify suitable Divisions and Branches that can provide additional support to participating countries and complement project activities.

Executing Agency (EA): The Instituto Nacional de Ecología y Cambio Climático (INECC) of the Secretaría de Medio Ambiente y Recursos Naturales (SEMARNAT) will be the Executing Agency for this Project. It will provide administrative and technical supervision in the implementation of the project. UNEP, through its Office in Mexico and the UNEP Regional Office for Latin America and the Caribbean (ROLAC), based in Panama in coordination with national Executing Agency, will provide support in the execution of the Project in accordance with the objectives, activities and GEF budget outlined in the project document. As Executing Agency, INECC will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will lead the establishment of necessary managerial and technical teams to execute the project. It will hire and supervise any consultants necessary for technical activities. It will acquire equipment and monitor the project, in addition, it will organize independent audits in order to guarantee the proper use of GEF funds. Financial transactions, audits and reports will be carried out in accordance with national regulations and UNEP procedures. INECC will provide regular administrative, progress and financial reports to UNEP Chemicals.

National Coordination Mechanism (NCM): namely the Minamata National Committee will meet regularly during project implementation. The Committee will include Key National Stakeholders and will evaluate the progress of the project and will take the necessary measures to guarantee the fulfillment of its goals and objectives. The NCM will take decisions on the project in line with the project objectives and these decisions will be implemented by the Executing Agency.



Project Cost and Financing

Project Components	GEF Financing original estimate/ actual disbursements	Actual co-financing	Total (\$)
	\$	\$	
1.Determination of Coordination Mechanism and organisation of process	15,000/ 37,904	30,000	45,000
2.Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	10,000/ 31,143	0	10,000
3.Development of a mercury inventory using the UN Environment mercury toolkit	295,000/ 254,115	10,000	305,000
4. Identification of challenges, needs and opportunities to implement the Minamata Convention	25,000/ 24,153	0	25,000
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	40,030/ 68,550	0	40,030
6. Project management and supervision	45,665/ 45,688	0	41,500

7. Project monitoring and evaluation	25,000/ 3,900	0	30,000
Total project costs	456,530	40,000	496,530

Table 1. Original and actual project budgets, by component and funding source

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
UN Environment	GEF Agency	In-kind	40,000	100
Total co-financing			40,000	100

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

Implementation Issues

The project has consistently performed as expected.

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

As per the UN Environment Evaluation Policy and the UN Environment Medium Term Strategy 2014-2017, Terminal Evaluations are commenced at project completion to assess performance in terms of relevance, effectiveness and efficiency; and to determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two main purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment, GEF, The Minamata Convention Instituto Nacional de Cambio Climatico of Mexico. Therefore, the evaluation will identify lessons of operational relevance for future project formulation in the region specifically, and for the early implementation of the Minamata Convention.

Overall Approach and Methods

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

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

- (a) A **desk review** of:
 - Relevant background documentation, inter alia previous mercury project documents and documents provided by INECC.

- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget.
 - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
 - Project outputs: Inception workshop report, training report, MIA final documents, final meeting report
- (b) **Interviews** (individual or in group) with:
- UN Environment Task Manager,
 - Project management team;
 - Project partners, including INECC, SEMARNAT, national counterparts
 - Relevant resource persons.
- (c) **Review of the survey undertaken**

Key Evaluation principles

1. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.
2. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.
3. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.
4. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
5. **The “Why?” Question.** As this is a terminal evaluation and a follow-up project is likely [or similar interventions are envisaged for the future], particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by

the capacity of the consultants to explain “*why things happened*” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “*where things stand*” at the time of evaluation.

1. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

2. Communicating evaluation results. Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria

Strategic relevance

6. The evaluation will assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

7. The evaluation will also assess the project’s relevance in relation to UNEP’s mandate and its alignment with UNEP’s policies and strategies at the time of project approval. UNEP’s Medium Term Strategy (MTS) is a document that guides UNEP’s programme planning over a four-year period. It identifies UNEP’s thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the SubProgrammes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS. The magnitude and extent of any contributions and the causal linkages should be fully described.

The evaluation should assess the project’s alignment / compliance with UNEP’s policies and strategies. The evaluation should provide a brief narrative of the following:

i. *Alignment to the UN Environment Medium Term Strategy¹ (MTS) and Programme of Work (POW)*

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

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

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building² (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

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

¹ UN Environment’s Medium Term Strategy (MTS) is a document that guides UN Environment’s programme planning over a four-year period. It identifies UN Environment’s thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

² <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

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

iv. *Complementarity with Existing Interventions*

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

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

Achievement of Outputs

8. The review will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and milestones as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

9. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

Effectiveness: Attainment of Objectives and Planned Results

10. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

11. The **Theory of Change** (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

12. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).

13. The assessment of effectiveness will be structured in three sub-sections:

- (d) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to the immediate outcomes: Mexico makes full use of enhanced existing structures and information available dealing with mercury

management to guide ratification and early implementation of the Minamata Convention; Full understanding of comprehensive information on current infrastructure and regulation for mercury management enables Mexico to develop a sound roadmap for the ratification and early implementation of the Minamata Convention; Enhanced understanding on mercury sources and releases facilitated the development of national priority actions; Improved understanding on national needs and gaps in mercury management and monitoring enabled a better identification of future activities; Mexico's key stakeholders made full use of the MIA and related assessments leading to the ratification and early implementation of the Minamata Convention on Mercury. Additional questions would be to what extent the project.

- (e) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach³. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (project documentation relating to Environmental, Social and Economic. Safeguards)
- (f) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document⁴. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher-level result to which the project is intended to contribute. The section will describe the actual or likely contribution of the project to the objective.
- (g) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

Sustainability and replication

14. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.

15. Four aspects of sustainability will be addressed:

- (h) *Socio-political sustainability*. Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to the mercury management issue? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders?

³ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

⁴ Or any subsequent **formally approved** revision of the project document or logical framework.

- (i) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources⁵ will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (j) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?
- (k) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

16. **Catalytic role and replication.** The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

- (l) *catalysed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
- (m) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalysing changes in stakeholder behaviour;
- (n) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
- (o) contributed to *policy changes* (on paper and in implementation of policy);
- (p) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- (q) created opportunities for particular individuals or institutions ("*champions*") to catalyse change (without which the project would not have achieved all of its results).

17. *Replication* is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources). The evaluation will assess the approach adopted by the project to promote replication effects and determine to what extent actual replication has already occurred, or is likely to occur in the coming years. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

18. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its (severely constrained) secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.

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

⁵ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

Factors and processes affecting project performance

20. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders⁶ adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

21. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (r) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (s) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
- (t) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (u) Assess the extent to which project management responded to direction and guidance provided by the UNEP Task Manager
- (v) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

22. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users of project products. The Theory of Change and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (w) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UN Environment) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (x) How was the overall collaboration between different functional units of UN Environment involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UN Environment adequate?
- (y) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?

⁶ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (z) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document⁷? Have complementarities been sought, synergies been optimized and duplications avoided?
- (aa) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.
- (bb) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives such as the National Coordination Mechanism Committee to build stronger coherence and collaboration between participating organisations?
- (cc) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

23. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

24. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in the National Coordination Mechanism Committee:

- (dd) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
- (ee) How and how well did the project stimulate country ownership of project outputs and outcomes?
- (ff) [Any other project-specific questions]

25. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:

- (gg) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (hh) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (ii) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (jj) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—

⁷ [If the ProDoc mentions any opportunities for collaboration with other projects and programmes, present these here in the footnote]

beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

26. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UN Environment to prevent such irregularities in the future. Determine whether the measures taken were adequate.

27. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UN Environment has a major contribution to make.

28. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

- (kk) The adequacy of project supervision plans, inputs and processes;
- (ll) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- (mm) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

29. **Monitoring and evaluation.** The evaluation will include an assessment of the quality, application and effectiveness of project monitoring and evaluation plans and tools, including an assessment of risk management based on the assumptions and risks identified in the project document. The evaluation will assess how information generated by the M&E system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability. M&E is assessed on three levels:

- (nn) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:
 - Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
 - How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
 - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
 - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
 - To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?

- Did the project appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

(oo) *M&E Plan Implementation.* The evaluation will verify that:

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- PIR reports were prepared (the realism of the Task Manager's assessments will be reviewed)
- Half-yearly Progress & Financial Reports were complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

Review Deliverables and Review Procedures

30. The consultant will prepare:

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

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

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

The Consultants' Team

33. For this review, the review team will consist of a consultant who will work under the overall responsibility of the Task Manager (Ludovic Bernaudat) in consultation with the Fund Management Officer (Anuhrada Shenoy) and the Sub-programme Coordinators of the Chemicals and Wastes subprogramme for Latin America region (Jordi Pon). The consultant will liaise with the Task Manager on any procedural and methodological matters related to the

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

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

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

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

Schedule of the evaluation

37. Table 7 below presents the tentative schedule for the evaluation.

Milestone	Deadline
Inception Report	March 2018
Telephone interviews, surveys etc.	14 March – 28 March 2018
Powerpoint/presentation on preliminary findings and recommendations	24 April 2018
Draft report to Task Manager	30 April 2018
Draft Review Report shared with UN Environment Project Manager and team	1 May 2018
Draft Review Report shared with wider group of stakeholders	10 May 2018
Final Review Report	17 May 2018
Final Review Report shared with all respondents	21 May 2018

Annex 3. Evaluation Programme

People interviewed for the evaluation:

Mr. Arturo Gavilán García. Instituto Nacional de Ecología y Cambio Climático. Email: arturo.gavilan@inecc.gob.mx

Mr. Dirceu Fernández Ordaz, Procuraduría Federal de Protección al Ambiente. email: dirceu.fernandez@profepa.gob.mx

Mr. Federico López de Alba. Comisión Federal de Electricidad. Email: federico.lopez01@cfe.gob.mx

Mrs. Marinés Hurtado. Secretaría de Medio Ambiente y Recursos Naturales. Email: marines.hurtado@semarnat.gob.mx

Mr. Eduardo Mancilla Rodríguez. Secretaría de Economía. Email: dgn.eduardo@economia.gob.mx

Mrs. Edwvigis Rodríguez Guerrero. Instituto Nacional de las Mujeres. Email: erodriguez@inmujeres.gob.mx

Mrs. Olivia Menchaca Vidal. Centro Nacional de Programas Preventivos y Control de Enfermedades. Email: olivia.menchaca@salud.gob.mx

Annex 4. Ratings on Financial Planning and Management

Financial management components			Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations			HS	Clearly stated
Contact/communication between the PM & FMO			HS	Clearly stated
PM & FMO knowledge of the project financials			HS	Clearly stated
FMO responsiveness to financial requests			HS	Clearly stated
PM & FMO responsiveness to addressing and resolving financial issues			HS	Clearly stated
Were the following documents provided to the evaluator:				Clearly stated
A.	An up to date co-financing table	Yes		Clearly stated
B.	A summary report on the projects financial management and expenditures during the life of the project - to date	Yes		Clearly stated
C.	A summary of financial revisions made to the project and their purpose	Yes		Clearly stated
D.	Copies of any completed audits	Yes		Clearly stated
Availability of project financial reports and audits			HS	Clearly stated

Timeliness of project financial reports and audits	HS	Clearly stated
Quality of project financial reports and audits	HS	Clearly stated
FMO knowledge of partner financial requirements and procedures	HS	Clearly stated
Overall rating	HS	

Annex 5. Project costs and co-financing tables

Tables are found above on pages 11 and 12.

Annex 6. References

GEF 2009. ROTI Handbook. Towards Enhancing the Impacts of Environmental Projects

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

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

UNDP 2017. Minamata Initial Assessment Report Suggested Structure and Contents.

UN Environment 2014. Project Cooperation Agreement for the MIA Project

UN Environment 2014. Request for Persistent Organic Pollutants Enabling Activity: Development of Minamata Initial Assessment in Mexico.

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

Annex 7. Quality Assessment of the Evaluation Report

Evaluation title:

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			

<p>A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>E. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>F. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?</p>	<p>Draft report:</p> <p>Final report:</p>		
<p>G. Sustainability and replication: Does the report present a well-reasoned and</p>	<p>Draft report:</p>		

evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Final report:		
H. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: Final report:		
I. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Final report:		
J. Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: Final report:		
K. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Final report:		
L. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:		
Report structure quality criteria			
M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Final report:		
N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information	Draft report: Final report:		

sources described?			
<i>O.</i> Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Final report:		
<i>P.</i> Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report:		
OVERALL REPORT QUALITY RATING			

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments		Rating
Evaluation process quality criteria			
<i>Q.</i> Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?			
<i>R.</i> Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?			
<i>S.</i> Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?			
<i>T.</i> Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?			
<i>U.</i> Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an			

assessment of the quality of the final report?			
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?			
W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?			
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the selected evaluator(s) appraised?			
OVERALL PROCESS RATING			

Rating system for quality of evaluation reports

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

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.