



United Nations Environment Programme

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

Ines Benabdallah

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List of Acronyms and Abbreviations

EA: Enabling Activity

GEF: Global Environment Facility

MC: Minamata Convention

MEEF: Ministry of Environment, Ecology and Forestry

MIA: Minamata Initial Assessment

NGOs: Non-Governmental organisations

SAICM: Strategic Approach to International Chemicals Management

ToC: Theory of Change

TOR: Terms Of Reference

Project Identification Table

Sub-programme:	Chemicals and Wastes	Expected Accomplishment(s):	
UN Environment approval date:	12 May 2014	Programme of Work Output(s):	
GEF project ID:	5875	Project type:	Enabling Activity (EA)
GEF Operational Programme #:	2	Focal Area(s):	C&W
GEF approval date:	12 May 2014	GEF Strategic Priority:	Mercury
<i>Expected</i> start date:	January 2015	Actual start date:	01 February 2015
<i>Planned</i> completion date:	January 2017	Actual completion date:	31 January 2017
<i>Planned</i> project budget at approval:	\$182,648	Actual total expenditures reported as of January 2017:	\$182,648
GEF grant allocation:	\$182,648	GEF grant expenditures reported as of January 2017:	\$182,648
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:	\$200,000	Secured Medium-Size Project/Full-Size Project co-financing:	\$0
First disbursement:		Date of financial closure:	9 February 2017
No. of revisions:	0	Date of last revision:	n/a
No. of Steering Committee meetings:	N/A	Date of last/next Steering Committee meeting:	Last: Next:
Mid-term Review/ Evaluation (<i>planned date</i>):	N/A	Mid-term Review/ Evaluation (actual date):	N/A
Terminal Evaluation (<i>planned date</i>):	August 2017	Terminal Evaluation (actual date):	September 2017
Coverage - Country(ies):	Madagascar	Coverage - Region(s):	Africa
Dates of previous project phases:	N/A	Status of future project phases:	N/A

Executive Summary

1. This report presents the results of the terminal review of the enabling activity entitled “Development of Minamata Initial Assessment in Madagascar” (MIA), executed by the Ministry of Environment, Ecology and Forests of the Republic of Madagascar between 2015 and 2017 with a UN Environment/GEF budget of \$182,648 and \$200,000 in co-financing from the Government of the Republic of Madagascar. This project is a step towards early ratification of the Minamata Convention, signed by Madagascar in 2013, and is aimed at building national capacity to meet reporting and other obligations under the Convention. Madagascar has indicated that availability of data is a major challenge, and the inventory of emissions and releases, a core component of the MIA is therefore an appropriate solution.
2. The project objective was to facilitate the ratification and early implementation of the Minamata Convention (MC) by the use of scientific and technical knowledge and tools by national stakeholders in Madagascar. It was based around five core components: establishing a national coordination mechanism, assessment of national infrastructure and capacity to manage mercury including legislation, the development of a mercury inventory as per the UN Environment toolkit to identify sources of emissions and release but also contaminated sites, the identification of gaps and challenges and the preparation and dissemination of the final MIA report and awareness raising materials.
3. The review analysed project documentation, including original assessment reports in French, and carried out interviews via Skype and telephone with stakeholders in Madagascar as well as written questionnaires for stakeholders that were unreachable.

4.

Criterion	Rating	Page in report
A. Strategic Relevance	HS	12
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	13
C. Nature of External Context	MF	
D. Effectiveness	S	14
1. Achievement of outputs	S	14
2. Achievement of direct outcomes	S	15
3. Likelihood of impact	L	16
E. Financial Management	HS	18
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	18
G. Monitoring and Reporting	HS	18
1. Monitoring design and budgeting	HS	
2. Monitoring of project implementation	HS	
3. Project reporting	Complete	
H. Sustainability	S	18
1. Socio-political sustainability	S	
2. Financial sustainability	S	
3. Institutional sustainability	S	
I. Factors Affecting Performance	S	19
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	
5. Country ownership and driven-ness	S	
6. Communication and public awareness	U	
Overall Project Rating	S	

Conclusions

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

5. Conclusion 1: Without the MIA project, it would be impossible for Madagascar to take data-based informative decisions towards the implementation of the Minamata Convention.
6. Conclusion 2: This project was an essential step towards appropriate actions and decisions to manage mercury.
7. Conclusion 3: There is a pressing need for more data on the illegal trade and illegal gold mining sites.
8. Conclusion 4: There is a lack of consideration for the gender dimension, and gender assessment is misunderstood.
9. Conclusion 5: Madagascar is showing significant engagement and driven-ness towards implementing the Convention.
10. Conclusion 6: Awareness raising and communication can be executed more effectively and efficiently.
11. Conclusion 7: the next step is to work with national, regional and international partners.

Lessons Learned

12. Lesson 1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular.
13. Lesson 2: Understanding the necessity of social, economic, and human assessments is imperative to its completion.
14. Lesson 3: Gender aspects and the need for sex-disaggregated data must be defined and explained.
15. Lesson 4: Building on previous work on mercury management is encouraged, but does not necessary mean that the work can be utilised without scrutiny.

Recommendations

16. Recommendation 1: Working with the UN Environment Global Mercury Partnership (GMP) in the future; the ASGM partnership area in particular.
17. Recommendation 2: Socio-economic and sex-disaggregated data needs to be collected.
18. Recommendation 3: Extending the National Coordination Mechanism Committee to include more non-governmental partners.
19. Recommendation 4: Working with regional and international partners more frequently to benefit from their experience.
20. Recommendation 5: Hiring a communications consultant.
21. Recommendation 6: UN Environment to advise MMA to cease the dissemination of the brochure on mercury, developed under a previous project. In future, the technical content of mercury communications material should be confirmed by Un Environment's Chemicals and Health Branch.

Introduction

1. This report presents the terminal review of the enabling activity entitled “Development of Minamata Initial Assessment in Madagascar” (or MIA from hereafter). The objective of the project is to facilitate the ratification and early implementation of the Minamata Convention by the use of scientific and technical knowledge and tools by the Government of Madagascar. Madagascar signed the Minamata Convention on mercury on the 10th of October 2013, and the project was prepared in 2014, with a planned duration of 24 months, from reception of the first payment in February 2015. The project was carried out in time, as the MIA report was submitted in January 2017 and the project will be closed in October 2017, with the Terminal Review being the last deliverable. It was implemented by the United Nations Environment Programme, with funding from the Global Environment Fund (GEF) and executed by the Ministry of Environment, Ecology and Forests of the Republic of Madagascar (MEEF), building upon the already existing Minamata National Committee created in December 2013, following the signing of the convention. By February 2017, roughly 90% (\$167,648) of the total (\$182,648) UNEP/GEF budget had been disbursed, complemented by co-financing from Madagascar of \$200,000 in-kind.

The Review

2. The review was carried out in August and September 2017 by an independent consultant, Ines Benabdallah, 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 review has two main objectives, first to provide evidence of results to meet accountability requirements, and second to identify lessons of operational relevance for future project formulation in the region specifically, and for the early implementation of the Miniamata Convention. This is to be done through promoting operational improvement, learning and knowledge sharing between national and regional stakeholders. To be effective, the review had a particular focus on how and why the results of the project were achieved, beyond displaying what the results were. Therefore, the evaluator aimed to differentiate between what would happened in the absence of the EA and what happened as a result of the EA.

4. Because of the timing (most stakeholders being on leave in August), the review was not as participatory as desired, but the evaluator had been in contact with the Minamata focal point and a few key stakeholders throughout the two-month period, consulting them as necessary throughout the process. Travel to Madagascar was not possible, due to timing issues, therefore most interviews were carried out via Skype, while stakeholders who were not reachable filled out a review questionnaire.

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

The Project

Context:

6. Madagascar's environment had been suffering from overexploitation, pollution and environmental mismanagement for years, and as a result, the MEEF has been tasked with putting together and carrying out a National Policy on the Environment. Among the main priorities of this policy is the "management of the various sources of air, water, sea and land pollution as well as intra-residential pollution, including the fight against mercury pollution". Working towards this, the country had ratified various international conventions on the sound management of chemicals and waste, notably the Stockholm Convention on POPs, the Basel Convention on transboundary movement of hazardous waste and the Rotterdam Convention on the promotion of shared responsibilities in relation to importation of hazardous chemicals and pesticides. Most recently, it signed the Minamata Convention on Mercury as it was adopted on October 10, 2013, and created the Minamata National Coordination Committee in December 2013.

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

8. As the use of the mercury-added products increased in the medical sector particularly, notably the use of thermometer, sphygmomanometer and dental amalgam, the issue of environmentally sound management and storage of management became more apparent as a priority for the Government of Madagascar. This entails appropriate storage and recycling/treatment facilities, as well as the financial, legislative, institutional and technical infrastructure necessary to achieve the national priorities on the environment.

9. Madagascar has been a participant in UN Environment's mercury program since 2001. The project was therefore a continuation of existing efforts on the mercury issue. However, the focus has previously been on replacing mercury-added products and promoting their sound management; as the main source of mercury emission into the environment was from mercury-containing products (estimated 20,71 – 29,17Kg per year) and informal waste incineration (estimated 79.29 – 70.83Kg) based on the initial inventory developed in 2008.

10. The main challenge Madagascar was facing is the lack of data in order to devise appropriate environmental management strategies. As a part of the pre-ratification programme of the MC, the MIA project addresses this directly, as its objective is to provide key national stakeholders in Madagascar with the scientific and technical knowledge and tools needed for that purpose.

11. **Institutional and political challenges:** The key governmental agency involved in the project was the MEEF, with the constant involvement of the National Coordination Committee, a multi-stakeholder team, working together to encompass all aspects involved in the future implementation of the MC. However, the lack of legally-binding provisions on environmental protection in general and on mercury management, as well as the absence of any data collection, monitoring or control institutional structures made the proper execution of the project challenging. The lack of socio-economic baseline data, and the absence of structures to collect this data also proved problematic, as the MIA report had omitted the gender aspect in the socio-economic analysis.

12. Politically, Madagascar has been stable throughout the project execution period, and communication with stakeholders was constant and uninterrupted.

Objective and components

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

1. Determination of Coordination Mechanism and organisation of process
2. Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation
3. Development of a mercury inventory using the UN Environment mercury toolkit
4. Identification of challenges, needs and opportunities to implement the Minamata Convention
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results

Milestones/Key dates in project design and implementation

14. Project start date: Planned: January 2015; Actual: February 2015

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

16. Project completion date: Planned: January 2017; Actual: January 2017

Implementation arrangements:

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

Project financing

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

Project Components	GEF Financing original estimate/ actual disbursements		Actual co-financing		Total (\$)
	\$	%	\$	%	
1. Determination of Coordination Mechanism and organisation of process	16,644/ 16,644	4/ 4	20,000	5/ 5	36,644
2. Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation	33,400/ 33,400	9/ 9	10,000	3/ 3	43,400
3. Development of a mercury inventory using the UN Environment mercury toolkit	60,600/ 60,600	16.5/ 16.5	30,000	8/ 8	90,600

4. Identification of challenges, needs and opportunities to implement the Minamata Convention	11,600/ 11,600	3.5/ 3.5	0	0/ 0	11,600
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	23,800/ 23,800	6/ 6	20,000	5/ 5	43,800
6. Project management and supervision	16,604/ 16,604	4/ 4	120,000	31/ 31	136,604
7. Project monitoring and evaluation	20,000/ 20,000	5/ 5	0	0/ 0	20,000
Total project costs	182,648		200,000		382,648

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

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
Government of Madagascar	(national government)	In-kind	200,000	100
Total co-financing			200,000	100

18. The Project Cooperation Agreement (PCA) between UN Environment (UNEP in the legal agreement) and the MEEF of the Republic of Madagascar on December 10th, 2014, remaining in force until August 31st, 2017 (as per the Project Cooperation Agreement).

Project Partners:

19. The key project partners were:

- The MEEF as the executing agency
- UN Environment (UNEP) as the implementing agency
- The GEF as a financing partner
- The National Coordination Mechanism Committee as the executing team (under the executing agency)

Changes in Design during Implementation

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

Theory of Change of the Project

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

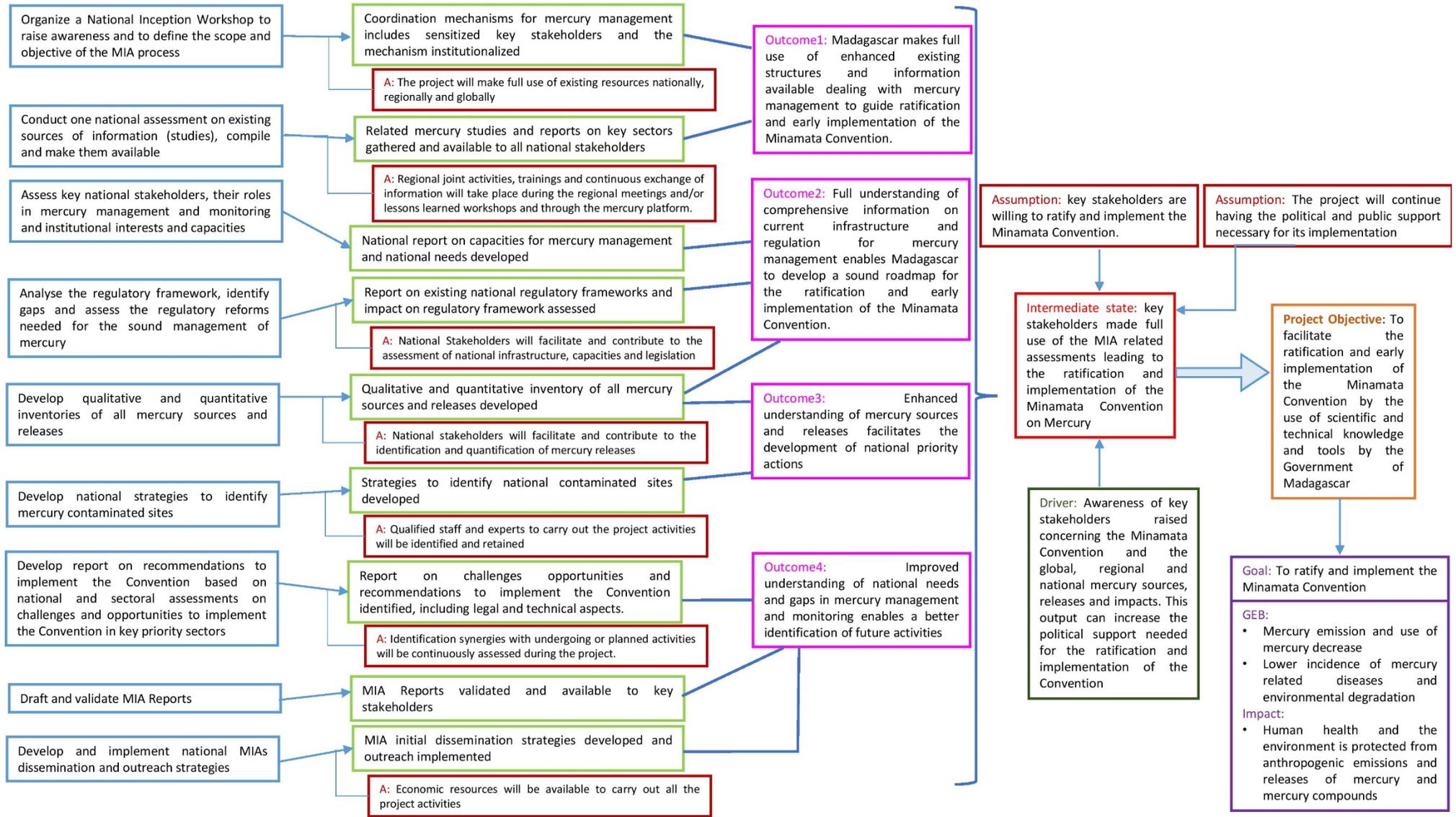
22. Because of the small scale of this project, there is one major pathway of outcomes to impact identified, along with one intermediate state.

23. Impact pathway 1 - Data Collection and Establishment of Baseline Institutional Framework: From outcomes 1, 2, 3 and 4 to project objective. The fulfilment of the project objective requires the success of all four main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic: In order for Madagascar to be able to ratify the Minamata Convention, it must first assess and enhance its existing information and structure (Outcome1), then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities (Outcome2). These two outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UN Environment

Mercury Inventory Toolkit (Outcome3), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps (Outcome4).

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

Figure 1: Theory of Change (re-constructed)



Review Findings:

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

Strategic relevance:

National and regional priorities:

26. Madagascar's environment has suffered from overexploitation and mismanagement of natural resources, leading to the deterioration and pollution of ecosystems all over the island. The lack of jobs and development in the country has caused an increasingly poor demographic to continue overexploiting natural resources in order to survive, feeding into the vicious circle of degrading environmental conditions. The MEEF elaborated a strategy to remedy to this and to enhance environmental conditions: On a national level, Madagascar's National Policy on the Environment, elaborated in 1989 and the Environmental Programme III, elaborated in 2002, has set a number of priorities including the sound management of various sources of pollution, including the fight against mercury pollution. As the use of mercury-added products increases, so does the stock of said products that needs sound management. Therefore, the ratification and implementation of the Minamata 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/encouragement of alternatives and abatement solutions.

27. Madagascar has previously worked with UN Environment on the mercury issue, with the most recent project being "replacing mercury-added products and promoting improved management of mercury-added product waste in Africa". This project falls under the scope of Article 4 of the MC. The MIA project also contributes to Madagascar's UNDAF, with its outcomes contributing to the protection of the environment and the preservation of human health, as well as empowering vulnerable communities and raising awareness on the matter of pollution.

UN Environment's mandate and policies

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

The GEF's Strategic Objectives

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

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

Rating for strategic relevance: Highly satisfactory.

Quality of project design:

31. As per the inception report: Overall, the project design was rated as satisfactory, with many strong elements and some shortcomings.

32. The strengths of the design are the strategic relevance, the governance and supervision arrangements, the logical framework and the financial planning, which were rated highly satisfactory, but also the risk identification and social safeguards which was rated satisfactory. The strategic relevance places the project in the context of the GEF and UN Environment's priorities and programmes of work, giving it the context and coherence needed for sound implementation. The governance and supervision arrangements are clearly identified, sharing and defining stakeholder roles and responsibilities in an appropriate manner that combine efficiency, stakeholder engagement, synergies and sound means of verification, to encourage sound implementation. The financial planning is sound and does not display any deficiencies, and the funding is budgeted coherently for the timeline and outputs of the project. The financial mechanisms of the project at the design stage are well prepared, reasonable and transparent, contributing to its sustainability and overall success. Moreover, even though the project document does include a cookie-cutter Theory of Change, based on the one developed for the first MIA EA, the Logical Framework includes a thorough and project-specific risk identification table, comprised of the risk identified, a ranking (high risk, medium risk or low risk), and mitigation measures. It also includes a list of assumptions the project designed is based upon. The latter are clearly formulated, and the mitigation measures are appropriate to the level and type of risk. This contributes to the overall preparedness of the project, as well as ensuring its effectiveness.

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

34. The shortcomings in the project design are the lack of preparation in relation to differentiated gender needs and sustainable development considerations. There is no mention of any risk management in relation to the current economic situation of Madagascar, while this is an essential part of implementing and integrating new measures in chemicals and mercury management. The main source of mercury release to the environment is improper disposal of mercury containing products, and recycling facilities will require a more detailed economic approach to be included in the implementation plan.

35. In relation to gender aspects, there is no strategies to integrate this in the project design, despite the necessity to do so, as women are a part of the at-risk populations that will be contributing to and benefiting from the implementation of the Minamata Convention. There is no recognition of the differentiated roles and power relations socially assigned to men and women, and the project document does not address the role of women in any of this. It is noted that this is an initial assessment, but in order to prepare a good baseline for the further implementation of the Convention, the gender dimension must be studied and analysed, as this can prove a hurdle in the future.

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

Rating for quality of project design: Satisfactory.

Effectiveness

Achievement of outputs

37. The core outputs of the project consist of 1) an assessment of national infrastructure and capacity for the management of mercury, including national legislation; 2) a mercury inventory of emissions and releases, developed using the UNEP toolkit; 3) a strategy to identify and assess mercury contaminated sites; 4) a national MIA report, an optional implementation plan, and awareness-raising and results-dissemination materials; and 5) the creation of National Coordination Mechanism Committee to oversee and manage the execution of the above outputs. Review of the project documentation, the deliverables and consultation with the available stakeholders confirmed that the outputs delivered are of sufficient quality and will be quite useful to stakeholders, overall. All deliverables were submitted in time, with the only notable omission being the gender aspect analysis in the final MIA report. Each output will be discussed in detail below:

i. National capacity and infrastructure assessment:

38. The detailed report was submitted in French, while an executive summary was included in the final MIA report in English. The report was submitted in June 2016, and produced by the MEEF. The quality of the report is highly satisfactory. It is a well-rounded analysis, and it establishes a baseline for the national infrastructure, complemented by details on waste processing plants and incinerators while identifying the problems that need to be addressed. The legislation assessment is satisfactory in quality also, it utilises the [NRDC checklist](#) as per the [UNDP MIA guidelines](#). It is concluded in both assessments that Madagascar does not have the necessary infrastructure, legislation or capacity to implement the MC, and therefore will need to develop all of the above in order to comply.

ii. Mercury inventory as per the UNEP Toolkit:

39. The inventory was carried out to level 2 as per the UNEP inventory. The inventory is complete, and its review was carried out the expert who elaborated the toolkit. This is the main scientific output of the MIA, as it identifies emissions and releases, stocks and contaminated areas as per the indices. This was delivered in time and provides significant insight into the country's needs. This output has been evaluated independently and therefore its completion and timely delivery are the only factors that can be rated by the evaluator.

iii. Contaminated sites assessment:

40. This detailed report was submitted in French and carried out by the MEEF. A summary of it is included in the final MIA report in English. Three significantly contaminated sites were identified, localised, and a contact person listed for each site. This is particularly useful good practice, as it was simply taking action by providing sufficient detail on the site and the source of contamination.

iv. MIA report:

42. The report is the final deliverable, submitted in January 2017 in English and is a compilation of the above outputs. It was delivered on time and is of satisfactory quality. The order and format of the report did not follow the [UNDP guidelines](#), however, it does include all necessary chapters, apart from the section addressing gender. This report is the baseline necessary for the elaboration of the implementation plan and for taking the following steps.

Implementation plan: The implementation plan is not an MIA requirement, but it is considered good practice, and further demonstrates the country's engagement in the early implementation process. The plan elaborated is of sufficient quality, stating a clear main objective and including four specific objectives that are interconnected and cover all the binding clauses of the MC. However, the timeline they proposed

for the priority activities is unrealistic. The estimated allocated budget for each activity is reasonable and the activities address all binding clauses of the convention.

v. Awareness raising materials:

43. the MEEF produced two short awareness raising videos and a number of radio broadcasts that explain the dangers of mercury contamination, and how to safely use and dispose mercury containing products. The videos are in Malagasy and the MEEF adopted the audio-visual approach because of the high level of illiteracy in the country and particularly among the most vulnerable and affected populations. Due to language barriers, the contents of the videos cannot be appropriately evaluated, but the images show workers handling mercury containing products. The MEEF also multiplied brochures and posters (ref) made during the previous project it executed in partnership with UN Environment on mercury containing products. **These posters contain inaccurate depictions of the health effects of mercury poisoning, and their dissemination should be ceased immediately.** They exaggerate the negative effects of the issue, and may in turn scare populations. It is surprising that these materials were distributed without any objection from any stakeholders, and these materials should be reviewed as soon as possible.

vi. National Coordination Mechanism Committee:

44. The Committee was created in December 2013, after Madagascar signed the MC. The committee included a significant number of government agencies: the MEEF, the Ministry of Commerce, the Ministry of Higher Education and Scientific Research (National Centre for Oceanographic Research), the Ministry of Fisheries, the Ministry of Finances and Budgets, the Ministry of Demographics and Social Affairs, the Ministry of Animal Husbandry, the Ministry of Foreign Affairs, the Ministry of Civil Engineering and Meteorology, the Ministry of Agriculture, the Ministry of Public Health, the Ministry of Civil Service, the Ministry of Interior and Decentralisation, the Ministry of Energy, the General Direction of Customs, and the Ministry of Mining. It also includes five industry and civil society representatives: Louis Dreyfus Commodities (chemicals company), Association pour la Protection des Consommateurs (NGO), Association LAPA SIANSIA (Association of academic chemists and researchers from universities), Plateforme Femmes, Développement et Sécurité Alimentaires (government endorsed multi-stakeholder platform focusing on women and development), Association Mirindra (association of chemical industry workers). It is evident that the government representatives outweigh the civil society and private sector stakeholders in number. The impossibility of travel and the information available to the evaluator from all the documentation of the project is not sufficient to judge if more could have been done to involve civil society. However, stakeholder interviews confirm that the committee served its purpose and provided sufficient representation of all stakeholders, particularly affected populations.

Stakeholder Involvement

45. Because of the impossibility of travel and the difficulty in reaching all stakeholders for various reasons (unavailability due to vacations and/or no means of communication or unresponsive stakeholders), only a small number has been interviewed. The evaluator developed a questionnaire in French to simplify receiving feedback, and it only received 4 responses. All the stakeholders that responded are key players in the execution of the project, and have all participated actively in the production of deliverables. They all felt that they were sufficiently involved in the design phase of the project, and participated actively in its implementation. They almost unanimously judged the level of interaction between all relevant stakeholders sufficient and useful, highlighting information sharing as an important factor in the success of the project.

Achievement of Outcomes:

46. As per the ToC developed for the purpose of this review, there is one impact pathway for the scale of this project. This is identified as Impact Pathway 1 - Data Collection and Establishment of Baseline Institutional Framework and it can be read in Figure1 as: From outcomes 1, 2, 3 and 4 to project objective. The fulfilment of the

project objective requires the success of all four main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic: In order for Madagascar to be able to ratify the Minamata Convention, it must first assess and enhance its existing information and structure (Outcome1), then it must have a complete understanding and baseline assessment of its institutional, regulatory and legal mercury management capacities (Outcome2). These two outcomes provide the first stages and baseline information in order to begin collecting quantitative and qualitative data using the UN Environment Mercury Inventory Toolkit (Outcome3), and in turn, the information provided by the Inventory leads to an improved understanding of the national priorities and the institutional and regulatory gaps (Outcome4). Consequentially, at this stage, the project has reached the intermediate state at which all relevant stakeholders have the necessary information through the MIA report so as to take targeted action in filling the gaps in legislation and institutional capacity, while continuously working together to reduce and stop mercury releases to the environment, and address all issues that arose during the undertaking of the inventory. All of the above consequentially leads to the implementation of the Minamata Convention, which directly supports the project's GEBs.

47. These outcomes have all been achieved through the completion of the outputs discussed in the section above. It can be concluded that the project has fulfilled both outputs and outcomes, and is therefore at the intermediate impact stage.

Likelihood of Impact

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

49. There are no unintended positive effects, because of the scale and nature of the project. It is a scoping mission and it has been carried out successfully. One unintentional negative effect was raised by one stakeholder, and that is the frustration of certain artisans and affected workers at having to use alternatives products and methods, mercury is eliminated. This remark was not very specific, however, it is understood that one of the socio-economic aspects the country will face as it implements the MC is the issue of abatement methods and replacement solutions for the workers and industries that have worked for years with mercury. These solutions have to cost effective and have to be presented as mercury is gradually eliminated, so as not to cause an economic shock.

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

51. As for replication, the project design is conducive to replication. Ideally, the design would be adjusted and adapted to the national characteristics of each country; however, keeping in mind the scoping mission nature of the project, it is only after the completion of the project and with enough data gathered that this can be achieved. This logic was echoed by various stakeholders, as they all unanimously agreed.

52. One aspect to be considered in replication, would be to identify the gender and sex disaggregated data and/or socio-economic analysis as a specific component of the project, as it is omitted in the execution of this project and justified through lack of funds and it not being an explicit component in the project document, even though it is

referred to in the project document, and makes an integral part of the data collection for the purpose of early ratification.

Attainment of objectives and planned results

53. The project findings and deliverables, in the form of the full MIA report and its executive summary, along with awareness raising materials, were made available to all relevant non-governmental counterparts. This has been confirmed from different feedback sources to the review. The audio and visual “spots” elaborated by the government were broadcasted regularly, however, there is no way of assessing the quality of outreach. It is therefore estimated that the target audience was reached, based on stakeholder feedback, on the publications in MEEF’s trimestral magazine, the posts on the [MEEF website](#) and the statements in the progress reports for the year 2016.

Compliance of assumptions:

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

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

56. - *“The project will continue having the political and public support necessary for its implementation”* According to project documentation, the country’s increased sense of ownership and the full engagement of stakeholders apparent from interviews and feedback provided to this review, this assumption holds.

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

58. - *“National stakeholders will facilitate and contribute to the identification and quantification of mercury releases;”* As the MIA report is finalized, this assumption holds, as per justifications above.

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

60. - *“Economic resources will be available to carry out all the project activities”* Both financing from the GEF and co-financing from the government was made available in time for the project to be terminated within the two-year period, therefore this assumption holds.

61. - *“Key stakeholders will make full use of the MIA related assessments to ratify and implement the Minamata convention”* Madagascar has ratified the convention, and has produced the optional implementation plan, complete with a list of budgeted and timed priority activities on the road to full implementation of the MC, therefore this assumption holds.

Rating for effectiveness: Satisfactory.

Efficiency

62. The project was able to achieve its projected outputs without any political or social challenges. It utilized and strengthened the already existing National Coordination Mechanism Committee, and produced baseline data reports where they were none. There were no delays in project delivery, and the execution teams were responsive and receptive to feedback. All payments were disbursed on time, and there are no delays on delivery of outputs. The project was cost effective, and there was no over or underspending, as the financial audit confirms. Effective management privileged hiring local consults that have an appropriate understanding of the national condition of the environment and industry, and produced high quality assessment reports at a cost effective rate relative to international consultants.

Rating for efficiency: Satisfactory.

Financial Management

63. The regular quarterly financial reports provide sufficient detail into how well the executing agency managed funds. Every component used all of its allocated budget, and the administrative procedures of hiring local consults and purchasing equipment were all reported in all transparency. There is a full record of expenditures, verified by an independent financial audit as required, carried out by CEFR (Cabinet d'Etude et de Formation Rakotobe) who concluded that "the accounts are lawful and true and present fairly the activities and the management of the project". Because this project spent its exact budget, it is an example of good practice and stands as a confirmation of good planning at the design stage.

64. Co-financing provided by the government has materialized as expected, and has been reported on in a quarterly fashion. As reported, it was also all spent according to the budget established in the design stage.

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

Rating for financial management: Highly satisfactory.

Monitoring and Reporting

66. The monitoring and reporting mechanism consisted of quarterly progress reports submitted to the UN Environment task manager, who gave regular feedback on these reports. This was carried out via email, Skype, or during UN Environment staff missions to Madagascar or to regional meetings where the government representatives were also present. Feedback from both sources highlighted the excellent relationship they held, and the willingness of the government and executing teams to receive feedback and apply it immediately. This is reflected in the timeliness of the project outputs and the completeness of documentation.

67. All progress and financial reports are complete and accurate.

68. There was only superficial information collected on indicators to measure progress on Human Rights and Gender equality, and there was no sex disaggregated data. It was reported by stakeholders that this was due to a lack of funds, and the explicit requirement to do so.

Rating for monitoring and reporting: Highly satisfactory.

Sustainability

69. In relation to the assumptions made at the design stage, and as per the nature of the external context assessment, there are no imminent social or political factors that have influenced the project progress toward its intended impacts. As the country continues its efforts via carrying out the priority activities set out in the

implementation plan set out in the MIA report, and working toward achieving its long term impact, further support from the civil society can have a positive impact on the results. However, the engagement level from the government, private sector and civil society is satisfactory at its current rate.

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

71. There is a strong collaboration between the MEEF team and the National Centre for Oceanographic Research, which is a scientific entity that is fully committed to the project, as per stakeholder feedback and their proactive involvement in co-creating the outputs, notably the inventory. This type of commitment however is not reflected by other stakeholders, who remain unreachable at the time this review was terminated. The MEEF has been an important liaison agent between UN Environment staff and other stakeholders, primarily due to the language barrier, however, the evaluator cannot assume the level of commitment of stakeholders that were not reachable.

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

73. As of the moment this review is completed, the government and relevant stakeholders have shown sufficient commitment and engagement to safely predict that they will continue to show the same level of engagement in the future. However, the feedback to the review has concluded that Madagascar will struggle to carry out its future activities without the support of UN Environment managerially and the support of the GEF financially. The involvement of intergovernmental organisations is important for the sustainability of the project and of the implementation of the MC. Madagascar will require the expertise and experience UN Environment has to offer in order to strengthen its instructions and will especially need useful recommendations (whether experts, international consultants, examples of successful projects to model upon in the region, etc) from experienced partners for sustainability in the future.

Rating for sustainability: Satisfactory.

Factors and processes affecting project performance

Project implementation and management

74. The project has been carried out as planned, respecting the 24-month timeline. It can be therefore concluded that it was managed effectively, with reported close and uninterrupted communication between the MEEF and UN Environment. The execution teams were responsive and receptive to feedback, as stated before. The inventory was carried out using the toolkit at Level 2, and provided an essential update to Madagascar's 2008 inventory, and engaged local academic institutions who benefit from this experience. There were no reported constraints or problems of political or operational/institutional nature that influenced the running of the project.

Rating for project implementation and management: Highly satisfactory.

Stakeholder participation, cooperation and partnerships

75. The degree of effectiveness of collaboration between stakeholders is satisfactory, however, more could have been done to involve NGOs and gender-specialised organisations or associations. A comment was made indicating that "women were not sufficiently implicated in activities relating to emissions and releases of mercury to the

environment in Madagascar". This reflects a lack of understanding of the gender dimension. This will be discussed further in the conclusions and recommendations sections below, but it essential to highlight this, as the MEEF's explanation for the lack of gender consideration is lack of funds and not a disagreement on its necessity.

76. Most stakeholders felt like they were sufficiently involved in the design stage of the project, while all felt like they had an active role in its implementation, particularly in the committee meetings and its decision making process.

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

Rating for stakeholder participation, cooperation and partnerships: Satisfactory.

Country ownership and driven-ness

78. Madagascar displays sufficient levels of ownership, however, as discussed above, it cannot continue to sustain its implementation efforts without the support of UN Environment and the GEF.

Rating for country ownership and driven-ness: Satisfactory.

Communication and public awareness

79. The MEEF filmed and produced two informative video "spots" that were broadcasted multiple times since their finalisation. Because of the language barrier it is difficult to evaluate what is being said. However, the evaluator concluded from the images that the videos gave a concise overview of the mercury issue, explaining the principle of bioaccumulation, the presence of mercury in many products illustrated, the alternatives to these products, and also included shots from local and national meetings held by the MEEF. The project coordinator narrates the video, which also included images of the Minamata Convention signing in Japan, and visuals indicating the next steps Madagascar will be taking towards implementation (waste processing sites, workers in the market, hospitals and thermometers, import and ship icons etc). The MEEF also recorded audio broadcasts for the radio that were not recorded, therefore cannot be evaluated. The justification behind the audio-visual approach is high illiteracy rate, particularly among the affected population. This, along with various workshops and fieldtrips detailed in the progress reports, constituted a satisfactory awareness raising strategy.

80. The posters and three-fold flyers in Malagasy produced for the "replacing mercury-added products and promoting improved management of mercury-added product waste in Africa" project were multiplied and disseminated in the awareness raising efforts. These documents contain incorrect depictions of the health effects of mercury poisoning, and should be withdrawn immediately and corrected. One of the posters in particular, containing images of a malnourished man and an infant with what appears to be macrocephaly, is presenting wrong information. This can have a counterproductive effect by disproportionately scaring the target audience and is of unsatisfactory quality.

81. There were no existing communication networks already established, therefore the coordination mechanism committee constitutes the main network. The MEEF therefore utilised their website as the principle outlet of communication, to a satisfactory level.

Rating for communication and public awareness: Unsatisfactory.

Rating for factors affecting performance: Satisfactory.

Conclusions, Lessons Learned and Recommendations

Conclusions

82. Conclusion 1: What if there had been no project? Without the MIA project, it would be impossible for Madagascar to take data-based informative decisions towards the implementation of the Minamata Convention. The consequences of this would have been the impossibility of ratification and implementation of the convention. The outdated and incomplete 2008 inventory of emissions and releases would have been the only inventory of the kind, and if decisions were made based on outdated information, they would not address the current issues Madagascar is facing in chemicals and waste management. The only two potential outcomes would have been inappropriate actions or no actions at all in the field.

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

84. Conclusion 3: There is a pressing need for more data on the illegal trade and illegal gold mining sites. The inventory confirms the presence of illegal trade and exploitation in certain areas of Madagascar, that need to be investigated further in order to comply with Article 3 of the Convention. This reflects the lack of baseline data issue faced in different sectors.

85. Conclusion 4: There is a lack of consideration for the gender dimension, and gender assessment is misunderstood. It was remarked by a stakeholder that women were not a concerned party in assessing the effects of mercury emissions and releases. This reflects the common misconception that gender and gender mainstreaming policies are about women only, and that if the issue is not a stereotypical “women’s issue”, it doesn’t have a gender aspect.

86. Conclusion 5: Madagascar is showing significant engagement and driven-ness towards implementing the Convention. The quality of the assessment of contaminated sites, and the detailed implementation plan are demonstrative of the high quality of the assessment carried out and the clear understanding of priorities, even though the road ahead will be long and challenging.

87. Conclusion 6: Awareness raising and communication can be executed more effectively and efficiently. Presenting false information in awareness raising materials is unacceptable, and should have been noticed at some stage before dissemination. The fact that these materials were multiplied without verification is a reflection of poor management of this component.

88. Conclusion 7: the next step is to work with national, regional and international partners. Madagascar has done a good job, in its capacity, of completing the MIA project in time, and sharing their results with regional partners and neighbouring countries can be of great benefit. Similarly, Madagascar can benefit greatly from the experience of other countries that have completed their MIA projects, as well as from the experience and institutional memory of UN Environment’s Global Mercury Partnership.

Table 3. Summary of review ratings

Criterion	Rating	Page in report
A. Strategic Relevance	HU	12
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	13
C. Nature of External Context	MF	
D. Effectiveness	S	14
1. Achievement of outputs	S	14
2. Achievement of direct outcomes	S	15
3. Likelihood of impact	L	16
E. Financial Management	HS	18
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	18
G. Monitoring and Reporting	HS	18
1. Monitoring design and budgeting	HS	
2. Monitoring of project implementation	HS	
3. Project reporting	Complete	
H. Sustainability	S	18
1. Socio-political sustainability	S	
2. Financial sustainability	S	
3. Institutional sustainability	S	
I. Factors Affecting Performance	S	19
2. Quality of project management and supervision	HS	
3. Stakeholders participation and cooperation	S	
4. Responsiveness to human rights and gender equity	U	
5. Country ownership and driven-ness	MS	
6. Communication and public awareness	U	
Overall Project Rating	S	

Lessons Learned

89. Lesson 1: Data is necessary to make any informed decision in chemicals and waste management in general, and in mercury management in particular. Complete assessments of the baseline condition of Madagascar is the only way to make smart decisions to further the cause of sound management of chemicals.

90. Lesson 2: Understanding the necessity of social, economic, and human assessments is imperative to its completion. While collecting scientific and empirical data on mercury releases and emissions is the core requirement in order to understand how badly the country is affected; it is equally as important to understand what social aspects relate to this, especially in the case of Madagascar. The main source of mercury is mercury-added products that are used in industries and in the medical sector, which will require the government to raise awareness and to carry out occupational safety assessments and workshops for example. The human dimension is inevitable and should be considered as important as the environmental data.

91. **Lesson 3: Gender aspects and the need for sex-disaggregated data must be defined and explained.** Gender is often misunderstood of a women's issue, whereas Gender analysis is defined by the GEF as "the social attributes and opportunities associated with being male and female and the relationships between women and men and girls and boys, as well as the relations between women and those between men". Once this is understood, there should be more guidance to help governments in carrying out such analyses.

92. **Lesson 4: Building on previous work on mercury management is encouraged, but does not necessary mean that the work can be utilised without scrutiny.** As the MEEF used communication materials from a previous project, the effort not to duplicate efforts is good practice. However, all materials should be fact checked to avoid the dissemination of incorrect information.

Recommendations

92. **Recommendation 1: Working with the UN Environment Global Mercury Partnership (GMP) in the future; the ASGM partnership area in particular.** As illegal exploitation and illegal trade remains an area lacking in data, it is advised that Madagascar reaches out to the GMP, who can provide targeted advice and expertise; even recommend an expert or a consultant in order to carry out this investigation.

93. **Recommendation 2: Socio-economic and sex-disaggregated data needs to be collected.** Because most of the mercury emissions in Madagascar is sourced in products, the easiest way to obtain data is to carry out socio-economic assessments among workers in the affected industries, and to carry out occupational health assessments and gender analyses. This can be done using the [GEF guidelines on gender mainstreaming](#) and [gender equality, WHO guidelines for occupational health assessments](#) and gender, the [UNDP gender mainstreaming guidance](#), among other guidance documents available on the internet. It is also recommended for the MEEF to get in touch with the local universities, and try and work in partnership with their sociology departments in order to understand the country-specific gender issues. This will lead to the development of gender aware and gender targeted policies. Lastly, the MEEF should work with workers' unions and independent nongovernmental organisations that represent women, in order to reach out and apply the policies it would have developed.

94. **Recommendation 3: Extending the National Coordination Mechanism Committee to include more non-governmental partners.** The government is over represented in the committee that is meant to represent all concerned and affected stakeholders. Reaching out to academia in the sociology and economy fields will aid with integrating a socio-economic approach. It is encouraged that Madagascar creates a wholesome strategy towards the implementation of the convention and the management of chemicals and waste in general, as it has the opportunity of starting with a blank slate.

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

96. **Recommendation 5: Hiring a communications consultant.** It is recommended that the executing agency hires a local communications professional to aid its efforts in the future. The communications professional will solve the issue of mediocre and incorrect information being disseminated.

97. **Recommendation 6: UN Environment to advise MMA to cease the dissemination of the brochure on mercury, developed under a previous project.** In future, the technical content of mercury communications material should be confirmed by Un Environment's Chemicals and Health Branch.

Annex 1. Stakeholder Questionnaire Template in French

Évaluation finale du projet "Développement de l'Évaluation Initiale de Minamata à Madagascar"

Cette liste de questions a été élaboré par évaluateur en guise de remplacement a l'entretien de l'évaluation finale du projet. Le but est de recueillir les avis et expériences des différentes parties prenantes, pour développer une évaluation objective. Pour faciliter ceci, n'hésiter pas a donner des réponses détaillées. Merci!

1. Selon vous, est ce que les contributions de ce projet sont en cohérence avec les priorités environnementales du pays et de la région? *
2. A votre avis, est ce que l'objectif du projet a été atteint? *
3. Combien de représentants de la société civile étaient impliqués dans le projet comme parties prenantes (veuillez les nommer si possible)? *
4. Avez vous été suffisamment impliqué dans la phase de la conception du projet, en tant que partie prenante gouvernementale et scientifique? *
5. Avez vous été suffisamment impliqué dans la mise en oeuvre du projet, en tant que partie prenante gouvernementale et scientifique? *
6. Comment jugez vous le niveau et la qualité de participation des ONGs et des représentants de la société civile tout au long de la mise en oeuvre du projet?
7. Comment évalueriez vous l'interaction entre parties prenantes, tout au long du projet? *
8. Est ce que le projet a contribué au développement de relations professionnelles entre vous et d'autres parties prenantes ? *
9. Le projet avait-il des effets positifs ou négatifs non-intentionnels? Si oui, veuillez les citer. *
10. Selon vous, est ce que ce projet a affecté la prise de décisions et la stratégie nationale de la gestion des produits chimiques? si oui, veuillez élaborer sur ces effets. *
11. Est ce que le projet a utilisé les structures institutionnelles et légales déjà en place dans le domaine de la gestion des produits chimiques a Madagascar? *
12. Selon vous, est ce que ce projet a directement contribué a un changement institutionnel dans le domaine de la gestion des produits chimiques? Si oui, veuillez citer ce changement. *
13. A votre avis, est ce que le mécanisme de coordination nationale est assez robuste pour continuer a œuvrer envers l'élimination des produits contenant du mercure? *
14. Jugez-vous ce projet comme efficace au niveau de la gestion du temps? *
15. Si vous deviez répliquer ce projet, est ce que vous adopterez une stratégie de gestion différente? Si oui, veuillez préciser ce que vous changeriez. *
16. Comment expliquez vous le manque de considération pour l'aspect du "genre" dans le document d'évaluation initiale? Veuillez élaborer sur l'apparent manque de financement pour cet aspect. *
17. Sur le long terme, est ce qu'il y a des obstacles politiques ou sociales qui puissent affecter le progrès de la gestion saine du mercure a Madagascar? *
18. A votre avis, est ce que le projet a réussi a suffisamment sensibiliser la population sur les dangers du mercure? *
19. A votre avis, est ce que le plan d'action développé est propice a la continuation des efforts pour éliminer les produits contenant du mercure? *
20. A votre avis, y'avait-il un suivi (reporting and monitoring) assez régulier pendant la mise en oeuvre du projet? *
21. Comment évalueriez vous l'efficacité et l'effectivité de ce projet ? *
22. Comment évalueriez vous l'efficacité et l'effectivité de la gestion ce projet par UN Environment/GEF ? *
23. Est ce que le projet a utilisé les réseaux de communication existants déjà en place dans le domaine de la gestion des produits chimiques? *
24. Avez vous des commentaires, des expériences ou des histoires particulières a partager? Des impressions du projet, ou bien des avis sur la gestion? Veuillez les inclure ci dessous.

25. En tant que représentant du gouvernement du Madagascar, comment décrivez-vous votre engagement envers ce projet et la Convention de Minamata? *
26. Avez vous eu des problèmes ou des retards à cause de soucis administratifs? Si oui, veuillez élaborer la dessus. *

Annex 2: Terminal Evaluation Terms of Reference

TERMS OF REFERENCE¹

Terminal Evaluation of the UNEP project
“development of Minamata Initial Assessment in Madagascar”

PROJECT BACKGROUND AND OVERVIEW

Project General Information²

Table 1. Project summary

Sub-programme:	Chemicals and Wastes	Expected Accomplishment(s):		
UN Environment approval date:	12 May 2014	Programme of Work Output(s):		
GEF project ID:	5875	Project type:	Enabling Activity (EA)	
GEF Operational Programme #:	2	Focal Area(s):	C&W	
GEF approval date:	12 May 2014	GEF Strategic Priority:	Mercury	
<i>Expected</i> start date:	January 2015	Actual start date:	01 February 2015	
<i>Planned</i> completion date:	January 2017	Actual completion date:	31 January 2017	
<i>Planned</i> project budget at approval:	\$182,648	Actual total expenditures reported as of January 2017:	\$182,648	
GEF grant allocation:	\$182,648	GEF grant expenditures reported as of January 2017:	\$182,648	
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:	\$200,000	Secured Medium-Size Project/Full-Size Project co-financing:	\$0	
First disbursement:		Date of financial closure:	9 February 2017	
No. of revisions:	0	Date of last revision:	n/a	
No. of Steering Committee meetings:	N/A	Date of last/next Steering Committee meeting:	Last:	Next:
Mid-term Review/ Evaluation (<i>planned date</i>):	N/A	Mid-term Review/ Evaluation (actual date):	N/A	
Terminal Evaluation (<i>planned date</i>):	August 2017	Terminal Evaluation (actual date):	September 2017	
Coverage - Country(ies):	Madagascar	Coverage - Region(s):	Africa	
Dates of previous project phases:	N/A	Status of future project phases:	N/A	

Project rationale

The Minamata Convention on Mercury identifies and describes in its Article 13 the financial mechanism to support Parties 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 present 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).

Madagascar has indicated that availability of data is a major challenge to design adequate strategies for mercury control and reduction. For instance, Madagascar 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. Although Madagascar has several environmental studies that refer to atmospheric, aquatic, terrestrial and biotic media, most of these data refers to the use of mercury containing products.

This project is aimed at building national capacity to meet reporting and other obligations under the Convention.

Madagascar will benefit from new and updated information about the mercury cycle in the country and building capacity in managing the risks of mercury. The sharing of experiences and lessons learned throughout the project is also expected to be an important contribution to other similar countries within region.

Project objectives and components

Project 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 participating countries

Project 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): this project will be implemented by UNEP and executed by the Ministry of Environment, Ecology and Forests of the Republic of Madagascar. As Implementing Agency, UNEP will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including on technical issues, in close collaboration with the Executing Agency, UNEP will provide administrative support to the Executing Agency.

UNEP 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 Ministry of Environment, Ecology and Forests of the Republic of Madagascar will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will establish the necessary managerial and technical teams to execute the project. It will search for and hire any consultants necessary for technical activities and supervise their work. 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. The Ministry of Environment, Ecology and Forests of the Republic of Madagascar will provide regular administrative, progress and financial reports to UNEP Chemicals.

A 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

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

Project Components	GEF Financing original estimate/ actual disbursements		Actual co-financing		Total (\$)
	\$	%	\$	%	
1.Determination of Coordination Mechanism and organisation of process	16,644/ 16,644	4/ 4	20,000	5/ 5	36,644
2.Assessment of the national infrastructure and capacity for the	33,400/ 33,400	9/ 9	10,000	3/ 3	43,400

management and monitoring of mercury, including national legislation					
3. Development of a mercury inventory using the UN Environment mercury toolkit	60,600/ 60,600	16.5/ 16.5	30,000	8/ 8	90,600
4. Identification of challenges, needs and opportunities to implement the Minamata Convention	11,600/ 11,600	3.5/ 3.5	0	0/ 0	11,600
5. Preparation, validation of national MIA report and implementation of awareness raising activities and dissemination of results	23,800/ 23,800	6/ 6	20,000	5/ 5	43,800
6. Project management and supervision	16,604/ 16,604	4/ 4	120,000	31/ 31	136,604
7. Project monitoring and evaluation	20,000/ 20,000	5/ 5	0	0/ 0	20,000
Total project costs	182,648		200,000		382,648

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

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
Government of Madagascar	(national government)	In-kind	200,000	100
Total co-financing			200,000	100

Implementation Issues

No important implementation issues arose during the execution of the project.

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 Secretariat and the Ministry of Environment, Ecology and Forests of the Republic of Madagascar. Therefore, the evaluation will identify lessons of operational relevance for future project formulation in the region specifically, and for the early implementation of the Miniamata Convention.

Overall Approach and Methods

- The Terminal Evaluation of the Project will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Task Manager and the Sub-programme Coordinators of the Chemicals and Waste sub-programme.
- The findings of the evaluation will be based on the following:
 - A **desk review** of:
 - Relevant background documentation, inter alia previous mercury project documents and documents provided by the MEEF.

- 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 etc.;
 - Project outputs: Full MIA report, detailed inventory report, separate reports on institutional capacity, contaminated sites, and action plan, inter alia.
 - Evaluations/reviews of similar projects
- (b) **Interviews (individual or in group) with:**
- UNEP Task Manager
 - Project management team
 - Project partners, including MEEF, CNRO, members of the NCMC,
 - Relevant resource persons;
- (c) **Surveys** : a written survey was launched online for unreachable stakeholders

Key Evaluation principles

3. 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.

4. 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.

5. **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.

6. **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.

7. **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

8. 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.

9. 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:

1. *Alignment with the Bali Strategic Plan (BSP)*³. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
2. *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance HR & GE?
3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
4. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.
5. *Safeguards*. Whether the project has adequately considered environmental, social and economic risks and established whether they were vigilantly monitored. Was the safeguard management instrument completed and were UNEP ESES requirements complied with?

³ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

10. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

Achievement of Outputs

11. The evaluation will Effectiveness and milestones as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

12. 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

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

14. 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.

15. 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).

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

- (a) 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: Madagascar 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 Madagascar 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; Madagascar'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.
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach⁴. 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-

⁴ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

- 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)
- (c) 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 Document⁵. 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.
 - (d) 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

17. 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.

18. Four aspects of sustainability will be addressed:

- (a) *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?
- (b) *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 resources⁶ 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?
- (c) *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?
- (d) *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?

⁵ Or any subsequent **formally approved** revision of the project document or logical framework.

⁶ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

19. **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:

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

20. *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 near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

Efficiency

21. 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.

22. 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.

Factors and processes affecting project performance

23. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders⁷ 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

⁷ 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.

resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

24. **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:

- (a) 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?
- (b) 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.
- (c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by the UNEP Task Manager
- (e) 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.

25. **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 TOC 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:

- (a) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) 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?
- (b) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- (c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- (d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document⁸? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) 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.
- (f) 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?
- (g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project

⁸ [If the ProDoc mentions any opportunities for collaboration with other projects and programmes, present these here in the footnote]

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?

26. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of 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?

27. **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:

- (a) 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?
- (b) How and how well did the project stimulate country ownership of project outputs and outcomes?
- (c) [Any other project-specific questions]

28. **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:

- (a) 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;
- (b) 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;
- (c) 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 in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (d) 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—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.

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

30. **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 UNEP has a major contribution to make.

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

- (a) The adequacy of project supervision plans, inputs and processes;
- (b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
- (c) 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?

32. **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:

- (a) *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.
- (b) *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

33. The review team will prepare:

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

34. **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.

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

The Consultants' Team

36. For this review, the review team will consist of a consultant who will work under the overall responsibility of the Task Manager (Giovanna Chiodi) in consultation with the Fund Management Officer (Anuhrada Shenoy) and the Sub-programme Coordinators of the Chemicals and Wastes subprogramme (Maarten Kapelle). 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.

37. The consultant will be hired for 1 month 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.

38. 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.

39. 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

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

Milestone	Deadline
Inception Report	02 August 2017
Telephone interviews, surveys etc.	14 August – 01 September 2017
Powerpoint/presentation on preliminary findings and recommendations	06 September 2017
Draft report to Task Manager	18 September 2017
Draft Review Report shared with UN Environment Project Manager and team	20 September 2017
Draft Review Report shared with wider group of stakeholders	02 September 2017
Final Review Report	06 October 2017
Final Review Report shared with all respondents	06 October 2017

Annex 3. Evaluation Programme

People interviewed for the evaluation:

Mme. Liliane H. RANDRIANOMENJANANAHARY, Minamata Focal Point, Ministry of Environment, Ecology and Forests, email: randrialiliane@gmail.com;

Mr. Pierre TODIARIVO, Representative of the Centre National des Recherches en Océanographie, email : piertodiarivo@gmail.com;

Mme. Giovanna Chiodi Moiré, Associate Programme Officer, Chemicals and Health Branch – Economy Division; email: Giovanna.chiodi@unep.org;

Note: Three stakeholders answered the online survey questions without identifying themselves by name, but simply stating if they represent the government or civil society.

Annex 4. Ratings on Financial Planning and Management

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

Annex 5. Project costs and co-financing tables

The tables can be found on pages 9-10

Annex 6. References and documents used

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

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

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

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

UN Environment 2014. Project Cooperation Agreement for the MIA Project

UN Environment 2015. Evaluation Office: Inception report sample

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

UN Environment 2017. Terms of Reference for the Terminal Review of the UN Environment/Global Environment Facility project "Development of Minamata Initial Assessment in Madagascar"

Annex 7. Quality Assessment of the Evaluation Report

Evaluation Title:

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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			
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)	Draft report: Final report:		
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.)?	Draft report: Final report:		
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?	Draft report: Final report:		
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)?	Draft report: Final report:		

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)?	Draft report: Final report:		
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?	Draft report: Final report:		
G. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: 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	Draft report:		

action? Do they specify in which contexts they are applicable?	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 sources described?	Draft report: Final report:		
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Final report:		
P. 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			
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?			
R. 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?		
S.	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?		
T.	Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?		
U.	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.