



United Nations Environment Programme

**Terminal Review of the UNEP/GEF Enabling Activity 5879
“Development of Minamata Initial Assessment in LAC”**

Draft Version

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List of Acronyms and Abbreviations

EA: Enabling Activity

BCCC/SCRC: Basel Convention Coordinating Centre-Regional Centre of the Stockholm Convention for LA and the Caribbean

BCRC LATU: Basel Centre for Regional Cooperation Laboratorio Tecnológico de Uruguay

GEF: Global Environment Facility

MIA: Minamata Initial Assessment

NGO: Non-Governmental Organisation

UNITAR: United Nations Institute for Training and Research

Project Identification Table

Sub-programme:	Chemicals and waste	Expected Accomplishment(s):	July 30 2018	
UN Environment approval date:	14 May 2014	Programme of Work Output(s):		
GEF project ID:	5865	Project type:	Enabling Activity (EA)	
GEF Operational Programme #:	5	Focal Area(s):	Persistent Organic Pollutants	
GEF approval date:	June 24, 2015	GEF Strategic Priority:	Pilot Sound Chemicals Management and Mercury Reduction	
<i>Expected</i> start date:	August 3, 2015	Actual start date:	October 28 2015	
<i>Planned</i> completion date:	December 31 2017	Actual completion date:	July 31 2018	
<i>Planned</i> project budget at approval:	9'350,000	Actual total expenditures reported :	\$	
GEF grant allocation:	\$730,594	GEF grant expenditures reported :	\$632,400	
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a	
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:		Secured Medium-Size Project/Full-Size Project co-financing:		
First disbursement:	January 28 2015	Date of financial closure:		
No. of revisions:	2	Date of last revision/amendment of Legal Instrument:	November 22 2016/ November 22 2017	
No. of Steering Committee meetings:	2	Date of last/next Steering Committee meeting:	Last: November 22 2017	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>):	June 2018	Terminal Evaluation (actual date):	July 2018	
Coverage - Country(ies):	Bolivia, Chile, Dominican Republic and Paraguay	Coverage - Region(s):	Latin America and the Caribbean	
Dates of previous project phases:	N/A	Status of future project phases:	N/A	

Executive Summary

1. The following report submits the results carried out of the terminal review of the entitled enabling activity: “Development of Minamata Initial Assessment in LAC”, performed by the BCRC Regional Centre in Uruguay during the period 2015 to 2017 with an UN Environment/GEF budget of \$730,594 and \$935,000 in co-financing from the Countries involved as well as the UN Environment GEF Agency and UNITAR. This enabling activity project implemented by the Bolivian, Chilean, Dominican Republican and Paraguayan governments support the ratification of the Minamata Convention, signed by them in 2013, and mainly focuses at building national capacity to meet an effective reporting and other obligations under the Convention. These countries have indicated that availability of data is a major challenge to design adequate strategies for mercury control and reduction, and an updated inventory of emissions and releases to atmospheric, aquatic, terrestrial and biotic media, a fundamental component of the MIA is therefore an appropriate solution.
2. The objective of the project was to assist the progress of the ratification and early implementation of the Minamata Convention using scientific and technical knowledge and tools by national stakeholders in participating countries. It was principally based around six components: establishment of coordination mechanism and organization of process, assessment of national infrastructure capacity for the management of mercury including national legislation, development of a mercury inventory using the UNEP toolkit and assess mercury contaminated sites, identification of challenges, needs and opportunities, preparation/validation of National MIA reports and awareness raising activities, and information exchange, capacity building and knowledge generation.

3.

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

Conclusions

- Conclusion 1:** Without the MIA project, it would be unachievable for Bolivia, Chile, Dominican Republic and Paraguay to take data-based informative agreements towards the proper implementation of the Minamata Convention.
- Conclusion 2:** The execution of this project was a fundamental step towards appropriate measures and decisions to manage mercury national issues in each participant country.
- Conclusion 3:** There is an urgent need for more update data on artisanal gold mining sites, wastes incineration sites and mercury containing products disposal management in the region in order to comply with the obligations stated in the Minamata Convention.
- Conclusion 4:** Each country will need to strengthen analytical capacity at the public and private levels in order to improve the institutional and legal framework for the management of mercury.

8. **Conclusion 5:** Participant countries are showing significant engagement towards an effective implementation of the Convention.
9. **Conclusion 6:** Awareness raising and communication outreach inside the countries can be executed in a more efficient and effective way.
10. **Conclusion 7:** Existent national institutional infrastructure in Bolivia, Chile, Dominican Republic and Paraguay is adequate to reach the principal goals and activities that will be developed in the scope of the Convention.
11. **Conclusion 8:** The following measure for each country is to coordinate with national, regional and international partners.

Lessons Learned

12. **Lesson 1:** It is always essential to make any informed decision in mercury environmental, legal and institutional issues with updated data.
13. **Lesson 2:** The efforts carried out during the implementation of this project must continue to constantly updating and reporting the mercury national situation in each country.
14. **Lesson 3:** Being aware of the social, human and economic assessment needs is essential to its completion in the development of the project goals.
15. **Lesson 4:** Gender aspects for future project's data must be clearly understood and explained.
16. **Lesson 5:** There are still data gaps in all sectors that in the short and long term will need to be managed to comply with obligations of the Convention.

Recommendations

17. **Recommendation 1:** Working closely with the UN Environment Global Mercury Partnership (GMP) as soon as possible (ASGM area).
18. **Recommendation 2:** Participant countries need to extend the National Coordination Mechanism Committee to involve and include more non-governmental partners.
19. **Recommendation 3:** Collaborating efforts with regional and international partners for information sharing channels and benefit from the experience.
20. **Recommendation 4:** Strengthen the capacity of human and technical resources in the mercury products waste management area in each participant country in order to comply with the obligations stated in the Minamata Convention.
21. **Recommendation 5:** Optimize the integral management of mercury and its compounds in the legal dispositions of each participant country to avoid legal gaps.
22. **Recommendation 6:** Strengthen the national mechanism for the exchange of information, direct and decentralized, between the different agents with competence and involved in mercury issues.
23. **Recommendation 7:** To encourage permanent trainings to society as a whole, mainly to public and private sectors about environmental pollution and health problems caused by the use of mercury.

Introduction

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

The Review

2. The preparation of this review was carried out between the months of May and June 2018 by an independent consultant, Ramon Jimenez, under the overall responsibility and management of the Task Manager of the GEF team at the Chemicals and Health Branch, under the Economy Division of UN Environment.
3. The principal views of this review included:
 - a. Provide evidence of results to meet accountability requirements and;
 - b. Identify lessons of operational relevance for future project formulation in the region specifically, and for the early implementation of the Minamata Convention.
4. Reaching this would be carried out through the promotion of operational improvement, learning and knowledge sharing between national and regional stakeholders. This review focused on 2 principal questions: how and why the results of the project were achieved, besides stating what the results were. In the review the evaluator focused on making a distinction between the consequences obtained of the EA and not having applied the EA in LAC.
5. The review was supported with the participation of the involved key stakeholders. They were contacted, interviewed and consulted by the evaluator in June, as well as applying a review questionnaire in order to get the maximum information as possible.

6. The preparation of the first desk review of the project documentation, along with the questionnaire and e-mail contact were the principal methods the evaluator employed to determine the results of the project. The performance of the project was assessed in terms of its relevance, efficiency and effectiveness, as well as its actual outcomes, impacts and their sustainability. An evaluation of the likelihood of impact assessment, identifying intended and unintended effects, as well as assessing the potential to replicate, opportunities for upscaling and continuation of the project (or similar projects in the region of the participant countries). After these, then came the assessment of factors and processes affecting project performance related to the preparation and readiness, quality of management and supervision, participation of stakeholders, public awareness, country ownership and responsiveness to human rights and gender equity. At the end, the project financing, monitoring and review systems were also evaluated. It is important to mention that all the obtained findings in the report were based on referenced evidence, and the sources were reviewed thoroughly as possible.

The Project

Context

7. Bolivia, Chile, Dominican Republic and Paraguay have indicated that availability of data, strengthening of legal aspects and assessment of the national situation are the major challenges to design adequate strategies for mercury control and reduction. For instance, Chile and Dominican Republic have only limited and incomplete data on its mercury uses and releases to atmospheric, aquatic, terrestrial and biotic media, while Bolivia and Paraguay do not are fully aware of the main sources of mercury emissions and releases to the environment because they have not undertaken a previous mercury inventory. Also, there is clearly uncertainty in the national legislation policy decisions that guarantee the proper assessment of the life cycle management of mercury. Participant countries will benefit from new and updated information about the mercury cycle in the country and building capacity in managing the risks of mercury in a local and regional level. With the implementation of this project the participant countries have taken an important step to address mercury related issues at their local, regional and global level.
8. Since 2000, Bolivia has been undertaking a series of actions concerning mercury, such as regulating the control and supervision of importation, processing, utilization and marketing of industrial chemicals, manufacture of mercury products included and mercury waste management. The existing regulations cover chemicals management in general but it is not specific to mercury management. Bolivia before the implementation of this project had not carried out a national mercury inventory, just estimates of the Global Inventory in 2010. The most important mercury sources relevant in Bolivia were the mercury releases from ASGM activity and from industrial activities and transport, which are a very important concern, especially after the signature of the Minamata Convention.
9. Chile in 2008 undertake a national mercury inventory (Level 1) using the UN Environment toolkit. This helped the country identify the main problems and where actions could be taken, and resulted in the creation of a national plan for mercury risk management formed by public, private sector and NGOs. Existing initiatives address mercury issues such as improvement of living and working conditions of artisanal miners, impact reduction of mercury in health services, and regulatory framework addressing the mercury management. These efforts in the existing regulation covers part of the life

cycle management of mercury, but with the implementation of this project, Chile will assess the gaps in legislation and improve its legal system.

10. Dominican Republic developed in 2010 a level 1 national inventory on mercury. This first effort allowed the country identify the main priority sources: extraction and uses of fuel and energy sources as well as the production of minerals, sanitary landfills, elimination of solid wastes. Dominican Republic developed the formation of a National Mercury Committee which coordinated all activities to plan activities and supervise the technical outputs and activities of the project. The actual regulatory framework is scattered and partly covers mercury management, which is an important concern, after the signature of the Minamata Convention. The project will reinforce and implement a more comprehensive inventory in order to update and complement the available information.
11. Paraguay is not a member of the Global Mercury Partnership. It has not yet carried out a national mercury inventory, but the main identified problems involve the artisanal and small scale gold mining, cement industry and the import of mercury-added products such as thermometers, batteries, sockets, fluorescent lamps, soaps and cosmetics as well. Paraguay has some studies on mercury use and effects on the environment and humans; however more information and assessments are needed in order to identify the populations and communities at risk. Concerning to national legislation, none of the stages of the life cycle of mercury is adequately covered, being the industrial chemicals sector the one which possess the fewest legal instruments. The development of the project in the country will help develop identify emissions from sources and identification of potential contaminated sites., regulate the identification of mercury in products and their contents to facilitate the adequate prevention, reduction and management of waste containing mercury, and hence reduce human exposure and environmental pollution.
12. The Minamata Convention on mercury targets 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 artisanal and small-scale gold mining, control on mercury-added products and manufacturing processes in which mercury or mercury-compounds are used. Furthermore, the Convention contains also measures on the environmentally sound interim storage of mercury and on mercury wastes, as well as contaminated sites (cited from the Minamata Convention).
13. One of the main challenges participant countries were facing is the lack of accurate data to design an appropriate environmental management strategies to address mercury. As part of the pre-ratification programme of the Minamata Convention, this MIA project addresses this in a direct way, as its main objective is to provide key national stakeholders in Bolivia, Chile, Dominican Republic and Paraguay with the scientific and technical knowledge and tools needed for that purpose.
14. An effective implementation of the Convention will include a prioritization exercise based on an analytical hierarchical process that will be useful for decision making designed to face both the rational and the intuitive in the selection of the best of a series of feasible alternatives: regulation, life cycle, destination, exposure and vulnerability. For each of the sectors that constitute part of the Minamata Convention, the principal challenges, needs and opportunities will be addressed. The analysis will make possible to identify strengths, weaknesses and opportunities, through which it facilitated the development of proposals for actions or relevant recommendations for participant countries to have the necessary tools or elements that will allow them to fulfill the commitments acquired upon the signing of the Convention.

15. Politically, participant countries have been stable throughout the project execution period, and communication with stakeholders was constant and uninterrupted.

Objective and Components

16. The objective of the project was to facilitate the ratification and early implementation of the Minamata Convention, using scientific and technical knowledge and tools by the Government of Bolivia, Chile, Dominican Republic and Paraguay. The engagement of the MIA consists of six components described as follows:
 - I. Establishment of Coordination Mechanism and organization of process.
 - II. Assessment of the national infrastructure and capacity for the management and monitoring of mercury, including national legislation.
 - III. Development of a mercury inventory using the UN Environment mercury toolkit and strategies for the identification and assessment of mercury contaminated sites.
 - IV. Identification of challenges, needs and opportunities to implement the Minamata Convention.
 - V. Preparation and validation of national MIA reports and implementation of awareness raising activities and dissemination of results.
 - VI. Information exchange, capacity building and knowledge generation.

Milestones/Key dates in project design and implementation

17. Project start date: Planned October 2014; Actual: January 2015
18. Mid-term evaluation (MTE) date: Due to the nature and scale of the EA, the project document does not demand a MTE, consequently further progress reporting, the M&E plan consists of the independent financial audit and the independent terminal review.
19. Project completion date: Planned December 2017; Actual: July 2018

Implementation arrangements:

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

Project financing

Project Components	GEF Financing original estimate/ actual disbursements	Actual co-financing	Total (\$)
	\$	\$	
1.Establishment of Coordination Mechanism and organization of process	83,404/ 74,938	160,000	243,404
2.Assessment of the national infrastructure and capacity for the management of mercury, including national legislation	100,000/ 100,000	202,500	302,500
3.Development of a mercury inventory using the UN Environment mercury toolkit and strategies to identify and assess mercury contaminated sites.	239,000/ 195,285	305,000	544,000
4. Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury.	80,000/ 80,000	82,500	162,500
5. Preparation and validation of national MIA reports and implementation of awareness raising activities and dissemination of results	94,500/ 72,125	120,000	106,500
6. Information exchange, capacity building and knowledge generation.	40,000/ 118,526	15,000	55,000
7. Project management and supervision	63,690/ 59,720	50,000	113,690
8. Project monitoring and evaluation	30,000/ 30,000	0	30,000
Total project costs	730,594/ 730,594	935,000	1'665,594

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

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
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UN Environment	GEF Agency	In-kind	70,000	7.48
BCRC LATU Uruguay	Executing Agency	In-kind/cash	50,000	5.34
UNITAR	IGO	In-kind	15,000	1.60
Estado Plurinacional de Bolivia	National Governments	In-kind	200,000	21.39
Chile	National Governments	In-kind	200,000	21.39
Dominican Republic	National Governments	In-kind	200,000	21.39
Paraguay	National Governments	In-kind	200,000	21.39
Total co-financing			935,000	100

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

Project Partners

21. The principal project partners were:
- BCRC LATU as the Executing Agency
 - UN Environment as the Implementing Agency
 - GEF as the financial partner
 - National Coordination Mechanisms Committee in each participant country.

Changes in Design During Implementation

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

Theory of Change of the Project

23. As part of the project documentation, a Theory of Change was prepared. The Theory of Change helps to describe in a structured and simple way the arrangements of the activities carried out during the course of the project and how they will affect the outputs and the outcomes. Another important element that helps support the organization of the Theory of Change are the assumptions, which are essential for the likelihood of realization of the intended impact. Due to the scale of the project and how it is directed to the main impact that is to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds, there is only one main pathway of outcomes to impact identified, as an intermediate state.
24. Impact pathway Data Collection and Establishment of Baseline Institutional Framework: Outcomes 1,2,3,4 to project objective. The completion of the project objective demands the achievement of all principal outcomes, and following the diagram, every single one of the outcomes is linked to the next in a sequential continuous logic order. If participant countries want to establish an effective implementation of the Convention, they require to evaluate, unify and engage the current available information (**Outcome 1**), after that the institutional, regulatory and legal mercury management

capacities should be assessed (**Outcome 2**). Once this first stage is prepared and executed, the following phase should include the compilation of qualitative and quantitative data applying the UN Environment Mercury Inventory Toolkit (**Outcome 3**), all the gathering and analysis of the obtained data will lead to an improved and critical understanding of national priorities needs that need to be covered (**Outcome 4**) in order to comply with the Minamata Convention in each participant country.

25. After the completion of this stage, the project will reach the intermediate state, and participant countries' stakeholders will have the necessary information of the MIA to take specific assessment on the needs and gaps that the project demands related to legislation and institutional capacity, mercury emissions/releases to the environment and gaps to be filled that arose from the obtained data of the inventory (**Outcome 5**). Finally, the generated data will be used to develop exchange in the information, capacity building and knowledge generation from the individual experiences to contribute in a methodically process (**Outcome 6**), the project will lead directly to an effective implementation of the Minamata Convention.

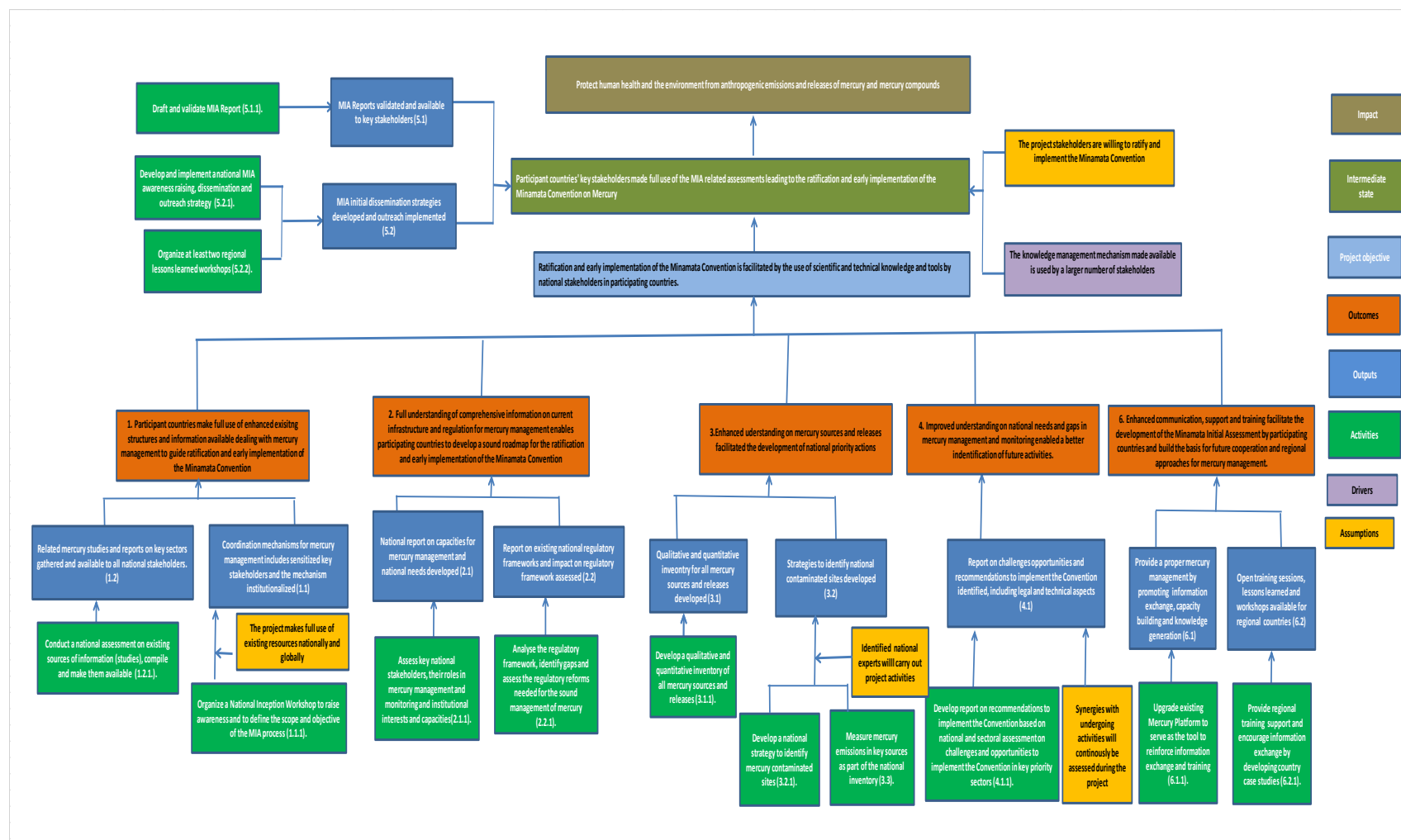


Figure 1. Theory of Change

Review Findings

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

Strategic Relevance

National and Regional Priorities

27. The Bolivian, Chilean, Dominican and Paraguayan Governments are willing to make important efforts to address mercury related issues at the local, regional and global level. Since past years, participant countries have undertaken a series of actions concerning mercury, such as transboundary movement and trade, mercury products management, artisanal and small-scale gold mining (except Dominican Republic), mercury waste management and proper storage, inventory of emissions and releases as well as research, assessment, diagnosis and monitoring in environmental and biological matrices within the territories.
28. The past efforts trying to address mercury issues undertaken in participant countries have allowed the development of national regulatory systems, which still have gaps, but will allow to begin working on the Minamata Convention. However, further assessments and evaluations are needed, especially on the technical, legislative and institutional capacity to fully comply with the requirements of the Minamata Convention and to facilitate the ratification and further implementation of the Convention. Therefore, the ratification and implementation of the Convention is consistent with the national priorities, making the MIA project consequently relevant, as it is the first step towards early implementation. Beyond the environmental dimension, the socio-economic baseline information the project requires will assist each participant country's government in developing strategies and solutions to mitigate the exposure of vulnerable populations to mercury pollution through awareness raising and development of alternatives and viable solutions. The MIA project also contributes to participant countries' UNDAF: i) Bolivia. The MIA will assist to develop a strategic plan to manage mercury by reducing risks and mercury use in the population, hence protecting the environment and strengthening multi stakeholder coordination mechanisms to contribute towards the right to live in a healthy environment; ii) Chile: The MIA will set the bases for mercury risk reduction and supporting national coherent process to strengthen multi stakeholder processes and protect the environment. The project will assist to increase the understanding on mercury related issues, allowing national stakeholders to take necessary measures to reduce mercury emissions which will in turn protect human health and the environment; iii) Dominican Republic: The MIA will help with the identification of vulnerable groups, gaps and needs for sound management of mercury. The project will also pay particular attention to women's participation and empowerment through regular assessment on gender on project activities and relating the outcomes and impacts of this project with women and active participation in chemicals management in general. It will also inform national government on the main issues related to mercury management, such as localization, economic sectors of interest and priorities, where the effects of mismanagement of mercury is a real concern; iv) Paraguay: the MIA will strengthen existing legal frameworks to manage chemicals, and by doing this, it will have a

clear impact on the population and improvement of the living conditions of the poor communities. MIA will assess as well mercury management and will inform the government about the steps and measures to be taken to improve mercury management.

UN Environment's mandate and policies

29. The project contributed to sub-programme 5: Chemicals and Waste, as it is a step towards "Work under the sub-programme will aim to achieve the entry into force and implementation of the Minamata Convention on Mercury", identified in the UN Environment's proposed Biennial Programme of Work 2016-2017. Another contribution the project supports to is the UN Environment Medium Term Strategy 2014-2017, under the harmful substances area and the Chemicals and Waste sub-programme. The project is intended to contribute participant countries' capacity to manage chemicals and waste, and increases collaboration with the secretariats of chemicals and waste-related multilateral-environmental agreements.

The GEF's Strategic Objectives

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

Rating for strategic relevance: Highly satisfactory

Quality of project design

32. Following the stated information evaluated in the inception report, the document was rated as **Satisfactory** with significant strengths and some slight flaws that need to be improved during the preparation of the following projects in the participant countries.
33. Included as the highest strengths in the design of the project are the project preparation; strategic relevance; logical framework and monitoring; governance and supervision arrangements; and the financial planning. All of them were evaluated as **Highly Satisfactory**. An exception included in this level, is the intended results and causality; partnerships; risk identification and social safeguards; and identified project design weaknesses/gaps. All of them rated as **Satisfactory**. The project preparation

is clearly stated and well prepared by summarizing in a succinct manner the activities/actions participant countries will undertake to meet its future commitments under the Minamata Convention. The strategic relevance of this project is consistent with the framework priorities and programmes of work of GEF and UN Environment, providing the necessary context for the achievement of an effective sound implementation. Considering the logical framework and monitoring, it clearly identifies the risks and how mitigation measures will avoid the failure in the execution of the project. In terms of governance and supervision arrangements, the project clearly identifies them, sharing and stating stakeholder's engagement, synergies and adequate means of verification, in order to facilitate a sound implementation. The financial planning in its arrangement is flawless. The funding it provides to the project execution is consistent with the detailed outputs and schedules for each one. Financial mechanisms, due to the experience in similar MIA projects, it displays a coherent and responsible budget preparation for all the stated outputs of the document.

34. The principal goal of the project is to collect all the possible information (out of date inventories, consistence in legal frameworks, unknown mercury emissions from industrial sectors, potential risk communities) about the mercury pollution situation in Bolivia, Chile, Dominican Republic and Paraguay in order to identify the critical needs for an effective implementation of the Minamata Convention, and at the same time, building and reinforcing existing chemicals legislation, management treatments, networks, information sharing and delegate responsibilities. The design of this project builds a sound base in the approach LAC participant countries manage mercury in its environmental and political issues.

Rating for quality of project design: Satisfactory

Effectiveness

Achievement of outputs

35. The 6 main outputs in this project are: 1) technical support provided for the establishment of National Coordination Mechanisms and organization of process for the management of mercury; 2) assessment of national infrastructure and capacity for the management of mercury including national legislation; 3) a mercury inventory of emissions, releases developed using the UN Environment toolkit and strategies to identify and assess contaminated sites; 4) technical support for identification of challenges, needs and opportunities for an effective implementation of the Minamata Convention; 5) preparation and validation of a national MIA reports and implementation plans of awareness raising activities and results dissemination; and 6) information exchange, capacity building and knowledge generation. The project documentation reviewed, deliverables during the execution of the project and discussions with the key stakeholders confirmed the quality of the achievement of the outputs. This project reinforced the commitment of participant countries with the Minamata Convention and settled the coordination mechanism in each country so future projects and collaborations resulting from this effort with UN Environment agency will provide the tools for a more effective execution and organization process. Every single one of the deliverables of the project were submitted according to the programmed schedule. The analysis of the output is as follows:

1. National Coordination Mechanisms Committee

37. The creation of the national Committee was in December 2013, just after Bolivia, Chile and Dominican Republic signed the Minamata Convention (Paraguay in 2014). The committee consisted of participant countries' government agencies: **i) Bolivia:** Ministry of Environment and Water, Ministry of Development Planning, Ministry of Health and Sports, Ministry of Labour, Employment and Social Security, Ministry of Mining and Metallurgy, Ministry of Foreign Affairs and Religion; **ii) Chile:** Ministry of Environment, Ministry of Health, Superintendence of Environment, Ministry of Mining, Ministry of Economy, Ministry of Foreign Affairs; **iii) Dominican Republic:** Ministry of Human Health and Social Services, Ministry of Labour, Ministry of Environment and Natural Resources, Ministry of Foreign Affairs, General Direction of Customs, General Direction for Norms and Quality Systems; **iv) Paraguay:** Environmental Agency, Ministry of Public Health and Social Welfare, Ministry of Industry and Commerce, Ministry of Finance, Office of Public Prosecutor, Ministry of Foreign Affairs. It also includes industry and civil society representatives: **i) Bolivia:** National Chamber of Industries, National Chamber of Trade, Confederation of Private Entrepreneurs of Bolivia, Faculty of Chemistry, Environment and Food Engineering, Institute of Chemical Research, Centre of Water and Environmental Sanitation, League of Environment Protection, Environmental Geology and Natural Resources; **ii) Chile:** Mining Associations, Chemical Industry Association, Chilean Copper Commission; **iii) Dominican Republic:** Autonomous University of Santo Domingo, Metal and Coal Industry Associations, Dominican Association of Odontologists, Dominican Medical Association; **iv) Paraguay:** National Institute of Technology and Normalization, National Council of Science and Technology, Alter Vida, Environmental Law and Economy Institute, POJOAJU, Supervivence/Friends of Earth. The government representatives clearly eclipse the civil society and the private sector stakeholders in quantity. The information obtained through the interviews with project stakeholders confirm that the committee served its purpose.

2. National Capacity and infrastructure assessment

38. The reports the Bolivian, Chilean, Dominican Republic, and Paraguayan governments submitted are in Spanish as well as the executive summary found in the final MIA version report. The report was submitted in June 2018, and produced by the participating countries in coordination with BCRC LATU. The reports of each participating country are considered as highly satisfactory. They have a broad detailed analysis, have established and identified a positive national infrastructure baseline, complemented with accurate information on the main mercury emissions and principal mercury wastes sites, and identifies the main issues that will need to be addressed for future efforts in the country. Regarding national legislation, there have been significant progress that can be considered as satisfactory in quality of efforts employed identifying the legal gaps and amendments each participating country needs to improve. The reports confirm that participant countries are applying the necessary efforts in legislation, coordination and infrastructure to comply with the obligations established in the Minamata Convention.

3. UNEP Toolkit mercury inventory

39. The hired experts from each participating country prepared the report of the inventory in accordance with the provided guidance by UNEP Toolkit for the proper identification and quantification of mercury releases, Level 2. The reported inventories achieved the goal which aimed to assist participant countries to build a satisfactory knowledge base line that identified the main sources of mercury releases in the country. The data was obtained through public information sources and direct coordination with parties involved in the private and public sector. The detailed information gathered

in these inventories is expected to help make decisions that consider possible control measures on mercury releases occurring in Bolivia, Chile, Dominican Republic and Paraguay. The inventories data was delivered in time and contribute an outstanding insight into the needs that must be reinforced in the countries.

4. Contaminated sites assessment

40. The complete information concerning contaminated sites issue was acknowledged in the MIA report in Spanish and carried out by each participant country (in coordination with BCRC LATU). In each participant country, there are identified main contaminated sites, localized, principal mercury sources of pollution with a brief description of the issue, sites and the reference of the source. This information is useful, so that the next step for future efforts is acting to propose an effective assessment considering the specification of every contaminated site and a viable amend solution can be provided.

5. MIA report

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

Stakeholder Involvement

42. 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 survey in Spanish to simplify receiving feedback, and it **received 4** responses. All the consulted 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 was sufficient and useful but what was expected considering the relevance of the project, highlighting the participation and cooperation with the information sharing as an important factor in the success of the project.

Achievement of outcomes

43. The structure of the project consists in a single impact pathway: Data Collection and Establishment of a Baseline Institutional Framework (considering the Theory of Change diagram mentioned before in this report) and it can be read in Figure 1 as: From Outcomes 1,2,3 and 4 to project objective. The completion of the project main objective demands the achievement of all four principal outcomes, which are linked directly in a continuous logic order considering this project consists of stages: The ratification of the Minamata Convention will be achieved if participant countries enhance and assess their existing information and structure (Outcome 1), after that comes the understanding of a baseline on institutional, regulatory and legal mercury management capacities (Outcome 2). Just after the preparation of these two-stages, the scenario will be possible for the beginning of the collection of qualitative and quantitative data using the UN Environment Inventory Toolkit (Outcome 3). The obtained information will then enhance an improved understanding of national priorities, needs and take actions to fill the gaps in each participant country (Outcome 4). It is at this moment, that all

relevant stakeholders will take actions solving the remaining gaps and flaws the MIA mentions in legislation, mercury contaminated sites assessment, mercury employed in artisanal and small scaled mining, mercury releases and emission reported during the produced results of the inventory. Finally, just after all this procedure, Bolivia, Chile, Dominican Republic and Paraguay can lead to an effective implementation of the Minamata Convention, which directly supports the project's Global Environmental Benefits. It can be concluded with the analyzed information and reports that the project achieved all the proposed outcomes, but it is important as well to address that due to scarce participation in the feedback of this terminal review, the results may not be reached in a short-term stage.

Likelihood of impact

44. The positive impacts of this project involving the participant countries are as follows: Knowledge of the baseline situation in relation to mercury presence in the environment and mercury management strategies in each country; awareness raising among participant stakeholders and policymakers about the situation on the country but also about the Minamata Convention mandates; elaboration and dissemination of an action plan towards the implementation of the Minamata Convention. These mentioned impacts are a direct result of the project outcomes discussed and mentioned in the Theory of Change (**Figure 1**) and in the section above where the efforts in organizing and coordinating relevant actors was achieved. The structure of the project reflected in the Theory of Change diagram was developed in order to coordinate efforts to address the intermediate state and main impact issues: participant stakeholders made full use of the MIA related assessments leading to the ratification and early implementation of the Minamata Convention on Mercury; and protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds.
45. There are no unintended positive effects, due to the scale and nature of the planning of the project. It is a scoping mission and it has been carried out successfully. One unintentional negative effect that the governments will face as they implement the Minamata Convention is the socio-economic issues that some mercury mining communities will face, but according to the action plan proposals, the governments will be able to provide the necessary measures and actions to solve it before being a major issue. These solutions must cost effective and have to be presented as mercury is gradually eliminated, so as not to cause an economic shock in the mining communities, but with the efforts carried out during the execution of the project, the negative effects will be minimized.
46. In terms of catalysed change, and because of the nature and scale of the project, it is not expected that it will create any behavioral changes yet as the project finishes. It is expected that countries' stakeholders will utilize all the gathered data in this project when implementing the action plan elaborated in the MIA report and the NAP projects that countries will develop. In terms of institutional change, the National Coordination Mechanisms were strengthened through various meetings, workshops and training opportunities and after this, those mechanisms will remain strengthened for future collaborations regarding mercury issues. This was confirmed by regional partners during the meetings and the surveys sent with the representative of the environmental national agency in each country. The mechanism seems robust enough to continue working towards the long-term impact of eliminating mercury emissions and releases in the country after the completion of this project. The changes will be reflected in the follow-up efforts that participant countries will execute once they have identified the main mercury issues (NAPs and mercury addressing projects), as well as a change

in the knowledge of mercury risks to health and as an environmental pollutant for society once the capacitation continues to be shared internally.

47. In terms of replication, the project design is conducive to replication. The design of the project would be simply adjusted and adapted to national characteristics and needs of each country; however, considering at all moment that 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 reached. Consulted stakeholders agreed to say that this project can be exploited and replicated in small-scale order of magnitude across the participant countries and in the Latin American region. They also emphasized the awareness of gender and sex disaggregated data, as it was scarcely defined before the execution of the project, and it is an essential component in the design of the project and it should be reinforced in the design for future projects. But it is important to highlight that each country addressed the gender issue by executing raising awareness campaigns that tried to involved groups of women in the workshops, civil groups, society and meetings held in the participant countries developed in the documents.

Attainment of objectives and planned results

48. The project findings and deliverables, in the form of the full MIA report and its executive summary, were made available to all relevant non-governmental counterparts. This has been confirmed by the uploading of the document in an available government website. The project's main objective was fulfilled satisfactorily: each country made progress in the ratification and early implementation of the Minamata Convention with the use of scientific and technical knowledge and tools by national stakeholders. The achievement of the project objective contributed to the direct intermediate state: main stakeholders in participant countries made full use of the MIA related assessments leading to the ratification and early implementation of the Minamata Convention on mercury within their territory; and finally having an impact at a regional and global level: protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds.

Compliance of assumptions

49. The Project Logical Framework states that the seven proposed assumptions were made at the design stage:
50. "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 reports, final document prepared and stakeholder feedback, this assumption holds.
51. "The project will continue having the necessary political and public support for its implementation" According to project documentation and future project's proposals derived from this effort, the participant countries' increased sense of ownership and the full engagement of stakeholders apparent from interviews and feedback provided to this review, this assumption holds.
52. "National Stakeholders will facilitate and contribute to the assessment of national infrastructure, capacities and legislation". According to feedback from project management and all relevant mentioned stakeholders, this assumption holds as the participation levels of national stakeholders remains constant and fully engaged.

53. "National stakeholders will facilitate and contribute to the identification and quantification of mercury releases." As the MIA reports is finalized, this assumption holds, as per justifications above.
54. "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 in each country is composed of competent individuals, therefore this assumption holds.
55. "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.
56. "Key stakeholders will make full use of the MIA related assessment to ratify and implement the Minamata Convention." Bolivia and Dominican Republic have ratified the Convention, Paraguay is in ratification process, and they have produced the optional implementation plan to fully comply the obligations of the Convention. Chile has not ratified but supports other Conventions that will serve as base to comply with the obligations stated in the Minamata Convention. This assumption remains engaged.

Rating for effectiveness: Satisfactory

Efficiency

57. The project was able to achieve its projected outputs without any political or social challenges during the execution period. The implementation of the National Coordination Mechanism Committees of the participant countries during the achievement of the project were strengthened during the course of the execution, and they produced high-quality baseline data reports where they were none or gaps missing in each country. There were no significant delays in project delivery, and the execution teams were responsive and receptive at all moment to feedback. All payments were disbursed on time, and there are no delays on delivery of outputs. Each country carried out the capacitation for the preparation on the components of the project. The project was cost effective, and there was no over or underspending, as the financial audit confirms. It is important to mention that some minor adjustments in the budget between components was made, but mostly because as the project was developed, not all the budget was initially spent and therefore the surplus (in component 1 and 2) were allocated on mercury analysis and monitoring training due to countries requirement, but never exceeding the established budget. 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

58. The regular quarterly financial reports provided sufficient detail into how well the executing agency managed funds. Every one of the six components used all of its allocated budget, and the administrative procedures mentioned in the Monitoring and Evaluation Budget list were all reported in a transparent way. The way the project was planned before its execution is a good example of good

practices and stands as a confirmation of good planning design in similar projects that is to be considered for replication.

59. Co-financing provided by the participant countries' government has materialized as expected, and has been reported on in a quarterly fashion with a detailed information on how the budget was used in every phase of the project. As reported, it was also all spent according to the budget established in the design stage.
60. There are no financial irregularities or flaws to be reported on based on project documentation. Stakeholder feedback did not raise any issues relating to financial irregularities. It is important to mention that the last quarterly financial report revision received (Q4, 2018), highlighted that it suffered allocations in the following budget lines without exceeding the initial budget:
 - a. For the inventory training not all the first proposed budget was completely used, due that with the initial training at the inception workshop, the training course and the follow-up offered by UNITAR, no further training was required.
 - b. Chile developed all its products with less money than the original proposed budget, so the surplus was turned over the training line where the countries were beneficiaries in order to complete in a satisfactory way the component of the project.
 - c. The original budget allocated for the analytical training was not enough to cover the execution of this component of the project, so more resources were allocated to this budget line due to countries requirement for an effective mercury analysis and monitoring training capacitation in participant countries.

Rating for financial management: Highly satisfactory

Monitoring and Reporting

61. 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 regional meetings where the governments 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 also in the timeliness of the project outputs and the completeness of documentation.
62. All progress and financial reports are complete and accurate.
63. There was only superficial information collected on indicators to measure gender equality, and there was no enough sex disaggregated data. It was reported by stakeholders that this was no explicit requirement to do so.

Rating for monitoring and reporting: Highly satisfactory

Sustainability

64. 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 participant countries continue their 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 governments, private sector and civil society is satisfactory at its current rate.

65. The feedback provided for this 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 countries' efforts to fully implement the Minamata Convention, which will be a lengthy process, but it is not the subject of this review. This project has achieved the desired impact, which was creating efforts for future projects and activities to be undertaken in the field of mercury management.
66. There is a strong participation between BCRC LATU (executing agency) and the National Coordination Mechanism Committee from each country that were fully committed to the project, as per stakeholder feedback and their proactive involvement in co-creating the outputs, notably the inventory in each country. The involved stakeholders contacted for the evaluation, reinforced the idea of commitment to fulfilling project's outcomes at the time this review was terminated. This measures will be contributing to long-term impact of the implementation of the Minamata Convention in participant countries to safely predict that they will continue to maintain the engagement in the future. The National Coordination Mechanism Committees will also need to continue supporting appropriate policies, regulations and decisions, informed by the MIA project results.
67. It is important to highlight that Bolivia, Chile, Dominican Republic and Paraguay will require the experience and global recognized expertise UN Environment has to offer in order to guarantee the sustainability of future projects in the region involving an effective implementation of the Minamata Convention.

Rating for sustainability: Satisfactory

Factors and processes affecting project performances

Project implementation and management

68. The project has been carried out as planned, respecting the 24-month timeline, even though there were some delays concerning timeframe of project implementation, but the content of the report satisfactorily complies with the Minamata Convention requirements. The execution teams were responsive and very receptive to feedback, as stated before. The inventory was developed using the toolkit at Level 2, and provided an essential update to Bolivia, Chile, Dominican Republic and Paraguay inventories with the available data of previous efforts, 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 improvement of the report.

Rating for project implementation and management: Highly satisfactory

Stakeholder participation, cooperation and partnerships

69. The degree of effectiveness of collaboration between stakeholders is satisfactory, however, more could have been done to involve NGOs and gender-specialized organizations or associations. The common observation in the project was referring to the lack of gender dimension. This will be discussed further in the conclusions and recommendations sections below, but it is essential to highlight this.
70. 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. Stakeholders have reported feeling satisfied at the level of collaboration.

Ratings for stakeholder participation, cooperation and partnerships: Satisfactory

Country ownership and drivenness

71. Bolivia, Chile, Dominican Republic and Paraguay display sufficient levels of ownership, however, as mentioned above, they cannot continue to sustain their implementation efforts without the support and guidance of UN Environment and the GEF.

Rating for country ownership and drivenness: Satisfactory

Communication and public awareness

72. There were no existing communication networks already established, therefore the Coordination Mechanism Committees in each country constitute the main network. Paraguay and Bolivia were the countries that carried out diffusion workshops regarding the mercury environment and health issues, ASGM community's problems, and presentations indicating the next steps they will be taking towards the implementation (waste processing sites, workers in markets, hospitals and thermometers, imports, exports, etc.) in the provinces of each country. They are still executing campaigns and workshops on the diffusion of the results obtained of the project, but the evidence is clear that actions are taken in order to continue sharing the data with society and communities at risk. Dominican Republic and Chile, during the survey, mentioned they developed communication networks during the national workshops with stakeholders involved, but during the following months they will focus on sharing the information in the provinces where the mercury issues are priority, and they also showed interest in supporting future efforts and projects supporting the Minamata Convention. The public awareness and communication was considered as moderately satisfactory.

Rating for communication and public awareness: Satisfactory

Conclusions, Lessons Learned and Recommendations

Conclusions

73. **Conclusion 1: Without the MIA project, it would be unachievable for Bolivia, Chile, Dominican Republic and Paraguay to take data-based informative agreements towards the proper**

implementation of the Minamata Convention. Participant countries without the implementation of the MIA project, would not have gathered efforts to take data informative decisions towards the proper implementation of the Convention. The previous efforts each country made on the outdated mercury inventory information of emissions and releases would have not been enough to address the actual issues participant countries are facing in mercury waste management, mercury containing products and artisanal and small scale gold mining. The possible outcome without these efforts would have been inappropriate actions to identify and address these issues.

74. **Conclusion 2: The execution of this project was a fundamental step towards appropriate measures and decisions to manage mercury national issues in each participant country.** It is necessary for Bolivia, Chile, Dominican Republic and Paraguay to collect data on the quantity of mercury released and emitted to the environment (soil, water bodies and air) and to quantify and follow all the life-cycle of the mercury containing products used in the countries (medical equipment, batteries, dental amalgam, etc.) to design a tailor made national action plan so participant countries can identify priority actions in order to comply with the Convention.
75. **Conclusion 3: There is an urgent need for more update data on artisanal gold mining sites, wastes incineration sites and mercury containing products disposal management in the region in order to comply with the obligations stated in the Minamata Convention.** The data obtained from the current inventory in participant countries confirms the presence of artisanal gold mining activities (except for Dominican Republic), unprepared wastes incineration sites and an irregular disposal management of mercury containing products in certain areas that need to be examined further to comply with the Convention. These issues reflect the lack of baseline data issues faced in the different sectors.
76. **Conclusion 4: Each country will need to strengthen analytical capacity at the public and private levels in order to improve the institutional and legal framework for the management of mercury.** After performing the analysis in each country concerning the legal framework provided by national authorities that identified the gaps on national legislation, there are legal dispositions and actions that must be revised, created and coordinate the development of planning and management instruments, such as a national action plan to procure congruence with the obligations and commitments acquired by participant countries through the Convention. The measures and actions taken in institutional and legal frameworks will encourage the implementation of priority measures at the proper public and private levels.
77. **Conclusion 5: Participant countries are showing significant engagement towards an effective implementation of the Convention.** The quality of the inventories, identification of mercury contaminated sites and the legal framework reinforcement on mercury issues are convincing evidence of the high quality of the assessment done within the countries and the evident comprehension of priority actions needed that Bolivia, Chile, Dominican Republic and Paraguay will need to face in the years to come.
78. **Conclusion 6: Awareness raising and communication outreach inside the countries can be executed in a more efficient and effective way.** The lack of acceptable awareness raising communication outreach materials and seminars concerning mercury issues in all levels is an evidence of the unsatisfactory management of this component. National Coordination Mechanism Committee must organize the following measures and efforts to be taken in the following years.
79. **Conclusion 7: Existent national institutional infrastructure in Bolivia, Chile, Dominican Republic and Paraguay is adequate to reach the principal goals and activities that will be developed in the scope of the Convention.** The obtained quality data from the industrial activities that involve mercury

emitted and released to the environment and the measures taken concerning national legal framework, are an evidence of the high-quality compromise taken by the group of involved stakeholders. The alliances done and working collaborating groups strengthened and developed during the execution of the project will continue working on giving solution of countries' priorities.

80. **Conclusion 8: The following measure for each country is to coordinate with national, regional and international partners.** Bolivia, Chile, Dominican Republic and Paraguay have achieved accomplished great efforts in capacity of delivering the MIA project in time, and sharing their obtained results with regional partners and neighboring countries can be of great benefit. At the same time, each country will benefit from the experience of other countries that have completed the preparation of their MIA projects, as well as from the knowledge and experience of UN Environment's Global Mercury Partnership.

Criterion	Rating	Page in report
A. Strategic Relevance	HS	16
1. Alignment to UN Environment MTS and POW	HS	16
2. Alignment to GEF/Donor strategic priorities	HS	16
3. Relevance to regional, sub-regional and national environmental priorities	HS	16
4. Complementarity with existing interventions	HS	16
B. Quality of Project Design	S	17
C. Nature of External Context	F	NA
D. Effectiveness	S	18
1. Achievement of outputs	S	18
2. Achievement of direct outcomes	S	20
3. Likelihood of impact	L	21
E. Financial Management	HS	23
1. Completeness of project financial information	HS	23
2. Communication between finance and project management staff	HS	23
3. Compliance with UN Environment standards and procedures	HS	23
F. Efficiency	S	22
G. Monitoring and Reporting	HS	23
1. Monitoring design and budgeting	HS	23
2. Monitoring of project implementation	HS	23
3. Project reporting	Complete	23
H. Sustainability	S	23
1. Socio-political sustainability	S	23
2. Financial sustainability	S	23
3. Institutional sustainability	S	23
I. Factors Affecting Performance	S	24
Preparation and readiness	S	24
2. Quality of project management and supervision	HS	24
3. Stakeholders participation and cooperation	S	24
4. Responsiveness to human rights and gender equity	S	24
5. Country ownership and driven-ness	S	25
6. Communication and public awareness	S	25
Overall Project Rating	S	

Lessons Learned

81. **Lesson 1: It is always essential to make any informed decision in mercury environmental, legal and institutional issues with updated data.** Complete assessments of the baseline situation of Bolivia, Chile, Dominican Republic and Paraguay is the utterly approach to take data-based decisions to encourage the sound management of chemicals.
82. **Lesson 2: The efforts carried out during the implementation of this project must continue to constantly updating and reporting the mercury national situation in each country.** Participant countries' national coordination mechanisms used previous collected data from previous inventory researches, this project was design to coordinate efforts and improve the baseline data and incorporate new information concerning to mercury sources and emissions from the different sectors in each country.
83. **Lesson 3: Being aware of the social, human and economic assessment needs is essential to its completion in the development of the project goals.** While collecting scientific data on mercury releases and emissions is the main requirement to understand the current situation of the country, it is important as well understanding the social aspects that relate to this, particularly in the participant countries. Through the inventory analysis, one of the main issues and sources of mercury identified is mercury-containing products that are used in industrial and medical sector, which will require for governments to raise awareness campaigns in order to address this issue in cooperation with the coordination mechanisms already established.
84. **Lesson 4: Gender aspects data must be clearly understood and explained.** Gender analysis is misunderstood as an exclusive women's issue, but there should be more guidance and knowledge from participant countries' stakeholders to provide support and assistance in performing an adequate analysis.
85. **Lesson 5: There are still data gaps in all sectors that in the short and long term will need to be managed to comply with obligations of the Convention.** Missing data on uncontrolled waste disposal burning sites, artisanal and small scale gold mining and a proper mercury containing products waste management will continue to be improved to procure congruence with the obligations and commitments acquired by Bolivia, Chile, Dominican Republic and Paraguay through the Convention. Countries' efforts will require hard work in the development of planning and management programs in the next years.

Recommendations

86. **Recommendation 1: Working closely with the UN Environment Global Mercury Partnership (GMP) as soon as possible (ASGM area).** As illegal artisanal small scale gold mining sites remains as an area lacking precise data, it is imperative that participant countries reach out to the GMP who can provide specialized advice and expertise in order to address this important national issue.
87. **Recommendation 2: Participant countries need to extend the National Coordination Mechanism Committee to involve and include more non-governmental partners.** According with the reports of each country, the government is over represented in the committee that is meant to represent all concerned sector's stakeholders. Reaching out to academia in the social and economic fields will assist by integrating a socio-economic approach.

88. **Recommendation 3: Collaborating efforts with regional and international partners for information sharing channels and benefit from the experience.** It is recommended that Bolivia, Chile, Dominican Republic and Paraguay continue exchanging information more often with regional and international counterparts that are carrying out or have their MIA projects completed. The experience can help parties to make the implementation process easier and more comprehensible at all the stages. Regional meetings should be held by intergovernmental organizations or with the coordination of UN Environment through the regional office in Latin America as well.
89. **Recommendation 4: Strengthen the capacity of human and technical resources in the mercury products waste management area in each participant country in order to comply with the obligations stated in the Minamata Convention.** Participant countries will need to improve the identification of mercury in products and their contents, to facilitate the adequate prevention, reduction and management of waste, and hence reduce human exposure and environmental pollution. This effort will address the identification of mercury contaminated sites and will provide specific information of the issue so the national coordination mechanism can take a suitable measure to comply with obligations of the Convention.
90. **Recommendation 5: Optimize the integral management of mercury and its compounds in the legal dispositions of each participant country to avoid legal gaps.** Regarding current national legislation from each participant country, legal dispositions need to be updated to procure congruence with the obligations and commitments acquired by Bolivia, Chile, Dominican Republic and Paraguay through the Convention, such as mercury regulation on releases, mercury-added products, mercury wastes and contaminated sites, artisanal and small scale gold mining, and open burning waste sites.
91. **Recommendation 6: Strengthen the national mechanism for the exchange of information, direct and decentralized, between the different agents with competence and involved in mercury issues.** It is recommended that participant countries through the support of BCRC LATU contact regional/national universities and try to work in improving partnerships. The assistance universities will provide with their science and social departments is useful to coordinate regional efforts to spread and diffuse the obtained knowledge and lessons learned in a practical way through the proper channels. Development of bonds and relationships with NGO's groups will lead to the development of mercury issues awareness and targeted policies.
92. **Recommendation 7: To encourage permanent trainings to society as a whole, mainly to public and private sectors about environmental pollution and health problems caused by the use of mercury.** For success to be sustained of the ratification of the Minamata Convention, knowledge diffusion efforts should be an integral part of national development and community action efforts, supported by intersectoral collaboration at all levels and by evaluating, monitoring and training systems. The development of integrated management will represent a key advantage for a greater efficiency in training programs concerning the mercury issues in a social and environmental approach.

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

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

En su opinión:

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

- w) ¿Existe algún comentario, experiencia que quisiera compartir sobre las impresiones o consejos sobre la gestión del proyecto? Nómbrelos y menciónelos a continuación
- x) Como representante del gobierno de su país, ¿Cómo describiría su compromiso con este proyecto y la Convención de Minamata?
- y) ¿Ha tenido algún problema o retraso debido a complicaciones administrativas? Indíquelas a continuación.

Annex 2: Terminal Evaluation Terms of Reference

TERMS OF REFERENCE

Terminal Review of the UN Environment/Global Environment Facility project
 “Development of Minamata Initial Assessment in LAC”

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

Sub-programme:	Chemicals and waste	Expected Accomplishment(s):	July 30 2018	
UN Environment approval date:	14 May 2014	Programme of Work Output(s):		
GEF project ID:	5865	Project type:	Enabling Activity (EA)	
GEF Operational Programme #:	5	Focal Area(s):	Persistent Organic Pollutants	
GEF approval date:	June 24, 2015	GEF Strategic Priority:	Pilot Sound Chemicals Management and Mercury Reduction	
<i>Expected</i> start date:	August 3, 2015	Actual start date:	October 28 2015	
<i>Planned</i> completion date:	December 31 2017	Actual completion date:	July 31 2018	
<i>Planned</i> project budget at approval:	9350,000	Actual total expenditures reported :	\$	
GEF grant allocation:	\$730,594	GEF grant expenditures reported :	\$632,400	
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a	
<i>Expected</i> Medium-Size Project/Full-Size Project co-financing:		Secured Medium-Size Project/Full-Size Project co-financing:		
First disbursement:	January 28 2015	Date of financial closure:		
No. of revisions:	2	Date of last revision/amendment of Legal Instrument:	November 22 2016/ November 22 2017	
No. of Steering Committee meetings:	2	Date of last/next Steering Committee meeting:	Last: November 22 2017	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>):	June 2018	Terminal Evaluation (actual date):	July 2018	

Coverage - Country(ies):	Bolivia, Chile, Dominican Republic and Paraguay	Coverage - Region(s):	Latin America and the Caribbean
Dates of previous project phases:	N/A	Status of future project phases:	N/A

2. Project rationale

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

The GEF financial support of mercury related activities is included in the GEF V Focal Area Strategies document, which addresses mercury issues under the Strategic Objective 3 Pilot Sound Chemicals Management and Mercury Reduction, which has as an outcome 3.1 to build country capacity to effectively manage mercury in priority sectors.

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

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

3. Project objectives and components

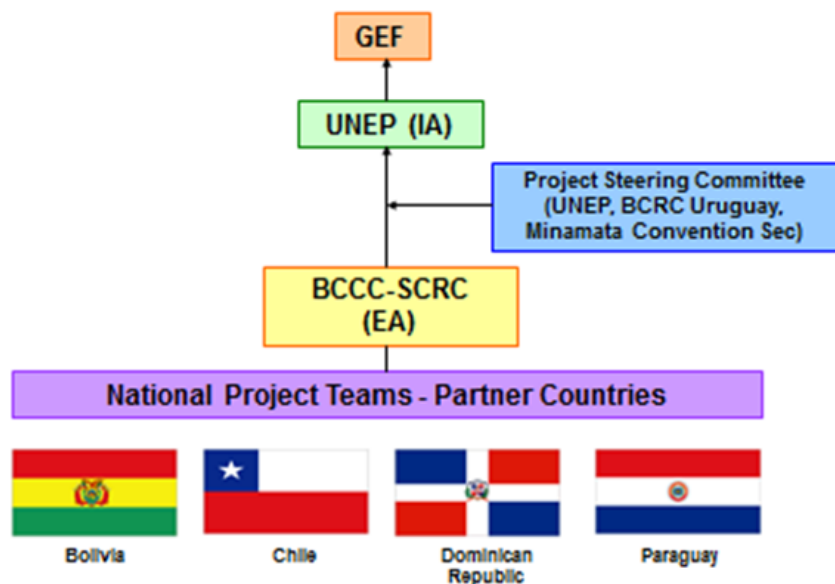
Objective: Ratification and early implementation of the Minamata Convention is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in participating countries.

Components:

1. Establishment of Coordination Mechanism and organization of process

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

4. Executing Arrangements



5. Project Cost and Financing

Project Components	GEF Financing original estimate/ actual disbursements	Actual co-financing	Total (\$)
	\$	\$	
1.Establishment of Coordination Mechanism and organization of process	83,404/ 74,938	160,000	243,404

2.Assessment of the national infrastructure and capacity for the management of mercury, including national legislation	100,000/ 100,000	202,500	302,500
3.Development of a mercury inventory using the UN Environment mercury toolkit and strategies to identify and assess mercury contaminated sites.	239,000/ 195,285	305,000	544,000
4. Identification of challenges, needs and opportunities to implement the Minamata Convention on Mercury.	80,000/ 80,000	82,500	162,500
5. Preparation and validation of national MIA reports and implementation of awareness raising activities and dissemination of results	94,500/ 72,125	120,000	106,500
6. Information exchange, capacity building and knowledge generation.	40,000/ 118,526	15,000	55,000
7. Project management and supervision	63,690/ 59,720	50,000	113,690
8. Project monitoring and evaluation	30,000/ 30,000	0	30,000
Total project costs	730,594/ 730,594	935,000	1'665,594

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

Name of co-financer (source)	Classification	Type	Contribution (\$)	%
UN Environment	GEF Agency	In-kind	70,000	7.48
BCRC LATU Uruguay	Executing Agency	In-kind/cash	50,000	5.34
UNITAR	IGO	In-kind	15,000	1.60
Estado Plurinacional de Bolivia	National Governments	In-kind	200,000	21.39
Chile	National Governments	In-kind	200,000	21.39
Dominican Republic	National Governments	In-kind	200,000	21.39
Paraguay	National Governments	In-kind	200,000	21.39

Total co-financing		935,000	100
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Table 2. Co-financing by source and type of funding.

6. Implementation Issues

The project has consistently performed as expected

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

7. Key Evaluation principles

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

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

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.

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

8. Objective of the Review

In line with the UN Environment Evaluation Policy¹ and the UN Environment Programme Manual², the Terminal Review (TR) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The review has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing

¹ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

² http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . This manual is under revision.

through results and lessons learned among UN Environment, Groundwork and all the national counterparts. Therefore, the review will identify lessons of operational relevance for future project formulation and implementation [especially for the second phase of the project, if applicable].

9. Key Strategic Questions

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

- Has the project facilitated the accession of the countries to the Minamata Convention?
- Are the countries aware of their obligations under the Convention
- Has component 6 delivered the expected outcomes in a cost-effective manner?

10. Evaluation Criteria

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

A. Strategic Relevance

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

- i. *Alignment to the UN Environment Medium Term Strategy³ (MTS) and Programme of Work (POW)*

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

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

Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁴ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

³ UN Environment’s Medium Term Strategy (MTS) is a document that guides UN Environment’s programme planning over a four-year period. It identifies UN Environment’s thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

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

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

iv. *Complementarity with Existing Interventions*

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

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

B. Quality of Project Design

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

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

C. Nature of External Context

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

D. Effectiveness

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

i. *Achievement of Outputs*

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

delivery. The review will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include: preparation and readiness and quality of project management and supervision⁵.

ii. Achievement of Direct Outcomes

The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed⁶ Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The review should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

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

iii. Likelihood of Impact

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

The review will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁷

The review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication⁸ as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the review will assess the likelihood of the project to make a substantive contribution to the high level

⁵ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

⁶ UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

⁷ Further information on Environmental, Social and Economic Safeguards (ESSES) can be found at <http://www.unep.org/about/eses/>

⁸ *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals⁹ and/or the high level results prioritised by the funding partner.

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

E. Financial Management

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

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

F. Efficiency

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

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

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

⁹ A list of relevant SDGs is available on the EO website www.unep.org/evaluation

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART¹⁰ indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The review will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal review should be discussed if applicable.

ii. Monitoring of Project Implementation

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

iii. Project Reporting

UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Projects funded by GEF have specific evaluation/review requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template¹¹), which will be made available by the Task Manager. The review will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

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

H. Sustainability

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

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

¹⁰ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

¹¹ The Evaluation Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

iii. Institutional Sustainability

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

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

I. Factors and Processes Affecting Project Performance

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

i. Preparation and Readiness

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

ii. Quality of Project Implementation and Execution

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

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

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

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

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

specific vulnerabilities of women and children to environmental degradation or disasters; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

v. *Country Ownership and Driven-ness*

The review will assess the quality and degree of engagement of government / public sector agencies in the project. The review will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.

vi. *Communication and Public Awareness*

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

Section 3. REVIEW APPROACH, METHODS AND DELIVERABLES

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

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

- (a) A desk review of:
 - Relevant background documentation, inter alia;
 - Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
 - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
 - Project outputs: Inception workshop report, training report, MIA final documents for the 5 countries, final meeting report
- (b) Interviews (individual or in group) with:
 - UN Environment Task Manager (TM);
 - Project management team;
 - UN Environment Fund Management Officer (FMO);
 - Sub-Programme Coordinator;
 - Project partners, including, BCRC and national counterparts
 - Relevant resource persons.
- (c) Review of the survey undertaken for the International Conference on Mercury as a Global Pollutant
- (d) Attending the final meeting

11. Review Deliverables and Review Procedures

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 standalone document; detailed analysis of the review findings organized 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.

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.

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

12. The Consultants' Team

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

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

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.

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

Schedule of the review

The table below presents the tentative schedule for the review.

Table 3. Tentative schedule for the review

Milestone	Deadline
Inception Mission	February 2018
Inception Report	10 May 2018

Review Mission	10 May 2018
Telephone interviews, surveys etc.	10 May 2018
Powerpoint/presentation on preliminary findings and recommendations	15 May 2018
Draft report to Task Manager	1 Jun 2018
Draft Review Report shared with UN Environment Project Manager and team	15 Jun 2018
Draft Review Report shared with wider group of stakeholders	30 Jun 2018
Final Review Report	10 Jul 2018
Final Review Report shared with all respondents	14 Jul 2018

Annex 3. Evaluation Programme

People interviewed for the evaluation:

Bolivia

Nina Rodriguez Instituto del Medio Ambiente y del Agua nrp210767@hotmail.com

Chile

Cristian Brito Ministerio del Medio Ambiente cbrito@mma.gob.cl

Dominican Republic

Elsa Ferreras. Ministerio de Medio Ambiente elsa.ferreras@ambiente.gob.do

Paraguay

Patricio Ortiz. Secretario del Ambiente Patriorgua@hotmail.com

Annex 4. Ratings on Financial Planning and Management

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

FMO knowledge of partner financial requirements and procedures	HS	Clearly stated
Overall rating	HS	

Annex 5. Project costs and co-financing tables

Tables are found above on pages 12 and 13.

Annex 6. References

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

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

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

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

UN Environment 2014. Project Cooperation Agreement for the MIA Project

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

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

Annex 7. Quality Assessment of the Review Report

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant's efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible. As this report presents a validated Terminal Review, this quality assessment has been conducted by the Evaluation Office as part of the project-managed review process.

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	Final report: The executive summary is adequate. It could have been strengthened by a more complete summary of the key findings, including project strengths and weaknesses.	MS
<p>I. Introduction</p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature; results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	Final report: The introduction covers most of the requested elements. Alignment with the UN Environment Programme of Work could have been clarified, as well as the budget and the purpose of the review.	MS
<p>II. Evaluation Methods</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>¹² was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p>	Final report: The methods have been adequately discussed. The section could have benefitted from more details in regards; how were people selected for interviews, were interviews in-person or online, which stakeholder groups received the questionnaire and how responses were analysed, what was the gender-balance of interviewees and what was	MS

¹² During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

<p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.</p>	<p>the level of completeness of evidence collected / made available.</p>	
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • <i>Objectives and components:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>Final report: Stakeholders are not identified beyond the project partners. The section could have been strengthened by identification of project beneficiaries.</p>	MS
<p>IV. Theory of Change</p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i></p>	<p>Final report: The ToC has been adequately presented. The narrative could have been more detailed, explaining also the drivers and assumptions that will affect the change processes. The result statements could be more closely aligned with OECD DAC and in some cases, different results have been 'packaged' into one statement. Overall, the logic of the project has been well described.</p>	MS

<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) vi. Alignment to UN Environment/ Donor/GEF Strategic Priorities vii. Relevance to Regional, Sub-regional and National Environmental Priorities viii. Complementarity with Existing Interventions 	<p>Final report: Assessment of relevance is adequate. Alignment to UN Environment MTS and PoW could have been more explicit.</p>	<p>S</p>
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report: A summary assessment of the quality of project design is well presented.</p>	<p>S</p>
<p>C. Nature of the External Context</p> <p>For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.</p>	<p>N/A</p>	
<p>D. Effectiveness</p> <p>(i) Outputs and Direct Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Final report: The rating for the assessment of the delivery of outputs is S.</p> <p>The assessment of the achievement of outcomes is HU since the assessment focuses at describing the intended results without verifying if these results have been achieved besides a general sentence stating that all outcomes have been achieved. Lack of opportunities to interact directly with stakeholders during the review might have contributed to the weaknesses of this section (as well as likelihood of impact and sustainability).</p>	<p>U</p>
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Final report: The assessment of the likelihood of impact is quite weak. The section could have been strengthened by; clearer analysis of drivers being in place and assumptions (as per the ToC) hold, the likelihood of achieving intermediate states</p>	<p>MU</p>

	and the likelihood of achieving impact.	
E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: <ul style="list-style-type: none"> • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	Final report: Completeness of financial information and communication between financial and project management staff could have been more explicitly assessed. Changes in budget have been described, but the assessment could have benefitted from more details in regards the decisions behind these changes. <i>(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the evaluation report)</i>	MS
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: <ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment's environmental footprint. 	Final report: The assessment of efficiency is adequate. The assessment could be more analytical.	MS
G. Monitoring and Reporting How well does the report assess: <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor report</i>) 	Final report: The assessment of monitoring and reporting is weak. The review could have benefitted from assessment of; monitoring design and budgeting, including SMART indicators, how the project monitoring was conducted and its quality, how monitoring data was used for adaptive management.	MU
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including: <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	Final report: The assessment of sustainability is limited. A more analytical and specific approach would have benefitted the review. The discussion would have benefitted from a clearer	MU

	presentation of the three aspects of sustainability.	
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate . Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision¹³ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness 	Final report: These factors could more clearly be discussed as contributors to the main evaluation criteria (under the respective sections covering each of the evaluation criteria).	MS
VI. Conclusions and Recommendations i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report: The key findings have been described, but the narrative could be presented as a compelling story line. In many cases, but particularly in terms of Effectiveness, financial management and monitoring & reporting, there is not enough evidence presented in the report to support the ratings.	MS
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: The lessons are derived from evaluation evidence and clearly described. They could be strengthened by a more analytical approach (e.g. explaining clearly the evaluation context and exploring the reasons why something happened or did not happen).	MS
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final report: The proposed recommendations are addressed to the countries. The recommendations are valid, but not implementable by UN Environment.	MU
VII. Report Structure and Presentation Quality		

¹³ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: The structure of the report follows Evaluation Office guidelines. However, some information, such as information on actual finances and a bio of the consultant are missing.	S
ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: The report is well written.	S
OVERALL REPORT QUALITY RATING		(3.9) MS

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.