

**Terminal Review of the UNEP-GEF Project
“Development of National Action Plans for Artisanal and
Small Scale Gold Mining in Paraguay GEF ID 9350”
(2017-2021)**



United Nations Environment Programme

July 2021



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(GEF ID 9350)

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This Terminal Review was prepared for UNEP by (Yolanda Cachu Pavon).

The reviewer would like to express their gratitude to all persons met and who contributed to this review, as listed in Annex 2.

The review team would like to thank the project team and in particular Mr. Ludovic Bernaudat for their contribution and collaboration throughout the evaluation process. Sincere appreciation is also expressed to the Mr. Mauricio Rodas, Ms. María Irene Santacruz and the National Mercury Committee of Paraguay who took time to provide comments to the draft report.

The review consultant(s) hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

BRIEF CONSULTANT BIOGRAPHY

Yolanda Cachu has more than 8 years' experience in project development and management. She joined the United Nations Industrial Development Organization (UNIDO) consultant in 2009, working on MDGF and GEF projects in Latin America and Africa, and UN Environment in 2021 as a Consultant in the Chemicals and Health Branch.

Yolanda holds a BSc in Biology from Simon Bolivar University in Mexico City and a PhD in Biological Science from Lancaster University in the UK.

ABOUT THE REVIEW

Joint Review: No

Report Language(s): English

Review Type: Terminal Review

Brief Description: This report is a Terminal Review of a UNEP/GEF project implemented between 2017 and 2021. The project's objective was to Develop National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay. The review sought 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 learning, feedback, and knowledge sharing through results and lessons learned among UNEP, the GEF and the relevant agencies of the project participating countries.

Key words: National Action Plan; Small Scale Artisanal Gold Mining; Paraguay; Mercury; Minamata Convention ¹

Primary data collection period: April to July 2021

Field mission dates: No field mission undertaken.

¹ This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

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LIST OF ACRONYMS

EA	Enabling Activity
EOU	Evaluation Office of UNEP
GEF	Global Environment Facility
INDERT	National Institute of Rural Development and Land
MADES	Ministry of Environment and Sustainable Development of Paraguay
NGO	Non-Governmental Organisation
PoW	Programme of Work
PRC	Project Review Committee (internal UNEP committee that approves new projects)
ProDoc	Project Document (must be reviewed by PRC before any project can be undertaken, with the approval of the managing division director)
SDG	Sustainable Development Goals
ToC	Theory of Change
ToR	Terms of Reference
TR	Terminal Review
UNEP	United Nations Environment Programme
VMME	Vice Ministry of Mines and Energy

PROJECT IDENTIFICATION TABLE

Table 1. Project Summary

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements".	Programme of Work Output(s):	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
SDG(s) and indicator(s)	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

FROM THE PROJECT'S PIR REPORT (use latest version) :

Project Title:	Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay		
Executing Agency:	Ministry of Environment		
Project partners:	Global Mercury Partnership		
Geographical Scope:	Latin America and Caribbean		
Participating Countries:	Paraguay		
GEF project ID:	9350	IMIS number*²:	n/a

² Fields with an * sign (in yellow) should be filled by the Fund Management Officer

Focal Area(s):	Chemicals and Wastes	GEF OP #:	2
GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	03/02/2016
UNEP approval date:	15/02/2016	Date of first disbursement*:	28/11/2016
Actual start date³:	28/11/2016	Planned duration:	24 months
Intended completion date*:	28/11/2018	Actual or Expected completion date:	31 Jan 21
Project Type:	Enabling Activity	GEF Allocation*:	\$500,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	n/a	Total Cost*:	\$500,000
Mid-term Review/eval. (planned date):	n/a	Terminal Evaluation (planned date):	Q2 2021
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	3
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	19 Dec 20
Disbursement as of 30 June 2021*:	\$469,902.77	Date of planned financial closure*:	31 Jul 21
Date of planned completion⁴*:	31 Jan 21	Actual expenditures reported as of 30 June 2021⁵:	\$419,902.77
Total co-financing realized as of 30 June 2021	n/a	Actual expenditures entered in IMIS as of 31 June 2021*:	\$419,902.77
Leveraged financing:⁶	n/a		

³ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

⁴ If there was a “Completion Revision” please use the date of the revision.

⁵ Information to be provided by Executing Agency/Project Manager

⁶ See above note on co-financing

Project background

1. This report is the Terminal Review of the enabling activity (EA) entitled “Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay”. The project was implemented by the United Nations Environment Programme and executed by the Ministry of Environment and Sustainable Development (MADES) of Paraguay. The budget of the project was of \$500,000 and no co-financing was allocated. The project was approved on 3 February 2016 and implementation began on 28 November 2016 with the first disbursement of cash advance. The project was implemented with three extensions and ended on 31 July 2021. By 30 June 2021, and as per the last expenditure report, the total cumulative expenditure to date (\$469,902.77) represents 94% of the total budget, leaving a total cumulative unspent balance to date of \$30,097.
2. The objective of the project was to Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay.
3. The project consisted of 4 components:
 - I. National information exchange, capacity building and knowledge generation
 - II. Establishment of Coordination Mechanism and organisation of process
 - III. Develop a national overview of the ASGM sector, including baseline estimates of mercury uses and practices
 - IV. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM
4. The National Action Plan was validated by the National Mercury Committee in October 2019 but has not been endorsed by the Government of Paraguay, and consequently, it has not been submitted to the Minamata Convention Secretariat due to COVID-19 delays.

This Review

5. This Terminal Review (TR) was carried out from April to July 2021 by an independent consultant, Yolanda Cachu, under the supervision of the Senior Task Manager of the GEF Team at the Chemicals and Health Branch of the Economy Division of UN Environment Programme. It was based primarily on a desk review of project documents, outputs and reports, and complemented by on-line meetings, telephone calls and email exchanges with stakeholders as well as responses on questionnaires.
6. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, 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 through results and lessons learned among UNEP and the global mercury partnership. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

Key findings

7. The overall evaluation rating for the project was Satisfactory and the ratings for the evaluation criteria are detailed in Table 6 (Section VI. Conclusions and Recommendations).
8. The project successfully delivered all its outputs, although NAP has not been officially endorsed.
9. The project established a baseline for mercury use in the ASGM sector in Paraguay, which is concentrated in the Paso Yobai District, Department of Guaira. Baseline includes mercury loss to the environment, production of gold and annual use of mercury.
10. Whilst small scale mining is not illegal in Paraguay, all ASGM groups using mercury are working without permits. Therefore, the NAP proposes to facilitate the processes for ASGM miners to formalize their activities and obtain the appropriate environmental licenses.

Conclusions

11. The project has successfully reached its objective of developing a national action plan aiming to reduce mercury emissions and releases in the artisanal and small-scale gold mining sector in Paraguay.
12. The project was strategically relevant to UNEP's priorities and was complementary to existing interventions in Paraguay, in its efforts to implement and comply with the Minamata Convention and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7. It builds on the regional project Development of Minamata Initial Assessment executed by the Basel Convention Coordinating Centre for Training and Technology Transfer for Latin America and Caribbean Region in Uruguay and implemented by UNEP
13. The data gathering aspect of the project was successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM in Paraguay. The project design was realistic, and the time frame sufficient to develop the National Action Plan. Two independent financial audits were carried out (August 2018 and January 2021) and no financial mismanagement or issues were reported. The budget required three revisions during the implementation corresponding to each no-cost extension. Monitoring, reporting and evaluation plans were executed as per the project design.
14. Baseline data collection provided information on the ASGM sector, including gold production, use of mercury and labour force in Paso Yobai, mining communities' health and concentration levels of mercury in sediments.
15. At project design, gender mainstreaming was considered at a superficial level. However, during the actual implementation, the majority of the consultants recruited to carry out project outputs were women, workshops, trainings and population sampled for the health study included women and attendance lists collected disaggregated data. In addition, gender mainstreaming is considered in the final NAP, in the form of a Gender Action Plan to strengthen women in the ASGM value chain, included in the Strategy to Prevent Vulnerable Populations' Exposure to Mercury.

16. The NAP developed is a high-quality assessment of the ASGM sector and strategy to reduce the use of mercury and formalize the sector. Its future implementation is however largely dependent on financial availability from International Cooperation and Paraguay's General Expenses Budget.
17. The COVID-19 pandemic caused delays in project activities that resulted on the 3rd no-cost extension to the project and have prevented the NAP from being endorsed by the Government and submitted to the Minamata Secretariat. First extension was caused by difficulties in the recruitment of the National Coordinator and second was granted to carry out additional activities i.e. mercury analysis on sediments.
18. Based on the findings of this evaluation, the project demonstrates performance at the Satisfactory level (Table 2). The project has demonstrated a strong performance in the Areas of Strategic Relevance, Financial Management, Monitoring and Reporting, and factors Affecting Performance. Areas that would benefit from further attention are Sustainability (there was a high turnover of Government Staff assigned to the project) and Efficiency. Quality of Project Design (Gender streamlining in particular) would have benefitted from further attention before the start of implementation.

Table 2. Summary of Project ratings

Criterion	Rating
Strategic Relevance	Highly Satisfactory
1. Alignment to UNEP MTS and POW	Highly Satisfactory
2. Alignment to Donor strategic priorities	Highly Satisfactory
3. Relevance to regional, sub-regional and national environmental priorities	Highly Satisfactory
4. Complementarity with existing interventions	Highly Satisfactory
Quality of Project Design	Satisfactory
Nature of External Context	Favourable
Effectiveness	Satisfactory
1. Availability of outputs	Satisfactory
2. Achievement of project outcomes	Satisfactory
3. Likelihood of impact	Likely
Financial Management	Highly Satisfactory
1. Adherence to UNEP's financial policies and procedures	Satisfactory
2. Completeness of project financial information	Highly Satisfactory
3. Communication between finance and project management staff	Satisfactory
Efficiency	Satisfactory
Monitoring and Reporting	Highly Satisfactory
1. Monitoring design and budgeting	Highly Satisfactory
2. Monitoring of project implementation	Highly Satisfactory
3. Project reporting	Satisfactory
Sustainability	Likely
1. Socio-political sustainability	Highly Likely
2. Financial sustainability	Likely
3. Institutional sustainability	Likely

Criterion	Rating
Factors Affecting Performance	Highly Satisfactory
1. Preparation and readiness	Satisfactory
2. Quality of project management and supervision	Highly Satisfactory
3. Stakeholders' participation and cooperation	Highly Satisfactory
4. Responsiveness to human rights and gender equity	Satisfactory
5. Environmental and social safeguards	Satisfactory
6. Country ownership and driven-ness	Satisfactory
7. Communication and public awareness	Highly Satisfactory
Overall Project Performance Rating	Satisfactory

Lessons Learned

19. Lesson 1: involvement of Local Government is essential to gain trust from local mining communities as the ASGM is informal in Paraguay. This allowed baseline data collection, field studies in sediments and on population health to take place in a safe and effective manner. And most importantly a change in mentality in mining communities with regards to the detrimental health effects of mercury and willingness to adopt best techniques.
20. Lesson 2: Gender mainstreaming should be given more consideration on NAP projects design, as defined UN Environment's Gender Equality and Development Guide.

Recommendations

21. Recommendation 1: When developing future NAP projects, gender mainstreaming should be included in the Logical Framework, with specific outputs.
22. Recommendation 2: Carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.
23. Recommendation 3: Take into consideration the country's political circumstances when planning the duration of future projects. For example, if national elections are planned during the prospective timeframe of the project, consider adding an extra 6 months to implementation, to lower the risk of no-cost extension requests. Some aspects are considered at project design (external factors), but it seems to be an analysis that is more directed at identifying very challenging circumstances.
24. Recommendation 4: If possible, update financial report template to include disbursements by component, currently this is only done during the initial budget.
25. Recommendation 5: If possible, disburse funds using the corresponding UNEP Regional or Country Office. Using UNDP for this purpose is very costly and those funds could be spent implementing project activities.
26. Recommendation 6: Ensure all relevant Ministries are involved in the project implementation. This is especially important when more than one Ministry must provide permits to regularize artisanal gold mining.

I. INTRODUCTION

27. The following document is the report for the Terminal Review of the UNEP/GEF project Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay, executed by the Ministry of Environment and Sustainable Development of Paraguay (MADES).
28. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, 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 through results and lessons learned among UNEP and the global mercury partnership. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.
29. Paraguay signed the Minamata Convention on 10 February 2014. On 17th June 2015, the GEF Operational Focal Point of Paraguay endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. On 29th July 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On 26th June 2018 Paraguay ratified the Minamata Convention.
30. The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF endorsed the project on 3 February 2016 as part of GEF's efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 "develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes"; program 2 "support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring".
31. The project was aimed at facilitating the use of scientific and technical knowledge and tools by national stakeholders in Paraguay to develop the ASGM National Action Plans. Paraguay will benefit from new and updated information about the use of mercury in the ASGM sector in the country and from increased capacity in managing the risks of mercury emitted and released from such activity.
32. The project contributed to the UNDAF Paraguay (2015-2019) focusing in three strategic areas that are considered as a requisite for a sustainable and human development in Paraguay: 1) civil and political rights; 2) social, economic, and cultural rights; 3) environmental rights. The NAP will contribute to the UN efforts particularly by improving the enabling conditions to access economic, social and environmental rights. In addition, implementation of the NAP will contribute to reducing the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing. These emissions and releases directly impact the national environment; working conditions of miners; their health as well as the health of populations living nearby ASGM areas.
33. The project also contributed to achieve UNEP's Programme of Work for 2016-2017 through its expected accomplishment A under Sub-programme 5: Chemicals and Waste, and is in line with the Medium-Term Strategy (MTS) by increasing Paraguay's capacity to manage chemicals and waste, and by increasing collaboration between

the secretariats of chemicals and waste-related multilateral environmental agreements.

II. REVIEW METHODS

34. The Terminal Review used a participatory approach whereby key stakeholders are kept informed and consulted throughout the review process. Both quantitative and qualitative evaluation methods were used as appropriate to determine project achievements against the expected outputs, outcomes and impacts. The consultant maintained close communication with the project team and promoted information exchange throughout the review implementation phase in order to increase their (and other stakeholder) ownership of the review findings.
35. The findings of the review were based on a desk review of the following:
- Relevant background documentation (GEF Guidance documents for NAPs, Minamata Convention on Mercury and official guidance adopted at COP1);
 - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the project, the logical framework and its budget;
 - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners;
 - Project deliverables: NAP, key reports
 - Evaluations/reviews of similar projects.
36. Interviews (individual or in group) with:
- UNEP Task Manager (TM);
 - Project Manager (PM) and project management team;
 - Mercury National Committee of Paraguay, which includes project partners, and representatives from civil society.

III. THE PROJECT

A. Context

37. The Project Objective was to Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay.
38. The budget of the project was of \$500,000 and no co-financing was allocated. The project was approved in February 2016 and implementation began in November 2016 with the first disbursement of cash advance. The project was implemented with three extensions and ended on 31 July 2021. By 30 June 2021, and as per the last expenditure report, the total cumulative expenditure to date (\$469,902.77) represents 94% of the total budget, leaving a total cumulative unspent balance to date \$30,097.
39. Practically all gold mining in Paraguay both artisanal and large scale are concentrated in the department of Guaira, specifically in the Municipality of Paso Yobai, 208 Km from Asuncion (Fig. 1).
40. The ASGM sector in Paraguay is informal and relies on worst practices, therefore, there was a lack of reliable information available regarding use of mercury in the sector. Because of strong involvement of the local government, it was possible to visit mills, take measurements and interview miners to obtain a realistic overview of the sector
41. The baseline that resulted from the NAP project estimated the range of gold production in the region was between ~ 425 - 473 kg/Au/year, with a Hg: Au ratio of 2.17, and approximately 1t of mercury per year released into the environment as a result of gold production in Paso Yobai.
42. The project completed an assessment on the health conditions of mining communities in Paraguay, including common sings of neurotoxicity and measuring mercury concentration in urine, which showed that 11% of population sampled (comprised of miners and people in the communities) presented concentrations higher than the threshold value.
43. The project also measured mercury levels in sediments and tailings of Paso Yobai and found them to be higher than those established as safe by environmental norms such as those of The Canadian Council of Ministers of the Environment (CCME), The Netherlands, and the Environmental Protection Agency (EPA) of the USA.
44. All proposed activities associated to the strategies outlined in the NAP have a cost of US\$1,543,692, to be implemented in 3 years. The Government Agencies responsible for their implementation are the Ministry of Environment and Sustainable Development (MADES), the Municipality of Paso Yobai and the Vice Ministry of Mines and Energy (VMME), which is part of the Ministry of Public Works and Communications.

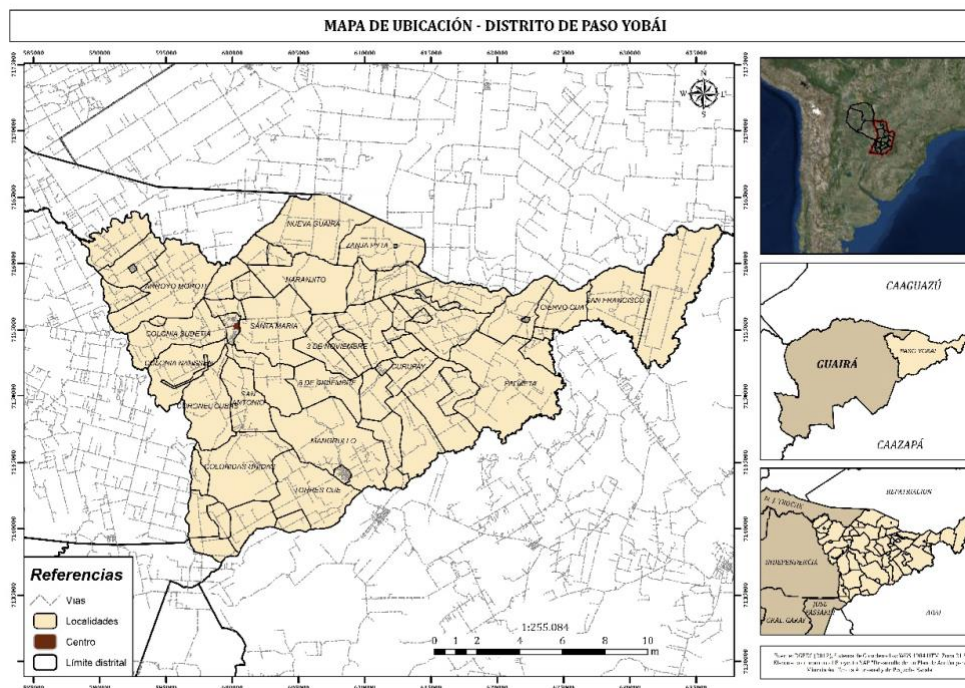


Fig. 1. Map of Paso Yobai District, Paraguay (source. NAP Paraguay).

B. Objectives and components

45. The main Project Objective is the Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay.

46. The project has four components described as follows:

- I. National information exchange, capacity building and knowledge generation
- II. Establishment of Coordination Mechanism and organisation of process
- III. Develop a national overview of the ASGM sector, including baseline estimates of mercury uses and practices
- IV. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM

C. Stakeholders

47. National stakeholders involved in NAP National Mercury Committee included:

- Vice Ministry of Mines and Energy
- Ministry of Public Health and Social Wellbeing
- Ministry of Labour
- Ministry of Education
- Ministry of Treasury
- Pan-American Health Organization
- Vice Ministry of Micro, Small and Medium Enterprises

- Secretariat of Childhood and Adolescence
- National Commission for Defence of Natural Resources – Law Compliance
- Police and Customs
- Miners Association
- Paso Yobai Environment Ministry
- Minamata Convention
- Paraguay National University, Faculty of Chemical Sciences
- Ministry of Taxation
- National Institute for Rural and Land Development

D. Project implementation structure and partners

48. 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.

49. The key project partners were:

- MADES as the executing agency
- National Mercury Committee, which acted as the National Coordination Mechanism comprised of Key National Stakeholders
- UNEP as the implementing agency
- The GEF as a financing agency
- Global Mercury Partnership as a project partner

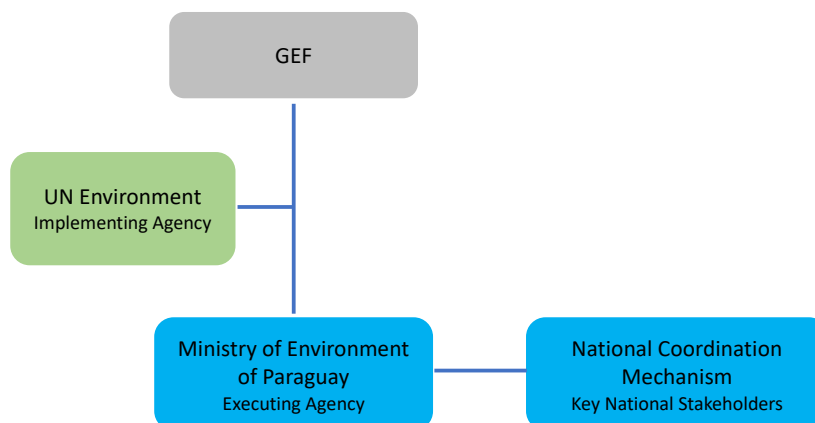


Figure 2: Organigram of the Project with key project stakeholders

E. Changes in design during implementation

50. There were no changes in project design

F. Project financing

51. The project had an allocated budget of \$5000,000 with no co-financing. By 30 June 2021, and as per the last expenditure report, the total cumulative expenditure is \$469,902.77, leaving a total cumulative unspent balance to date \$30,097.

Table 3. Project Budget by component

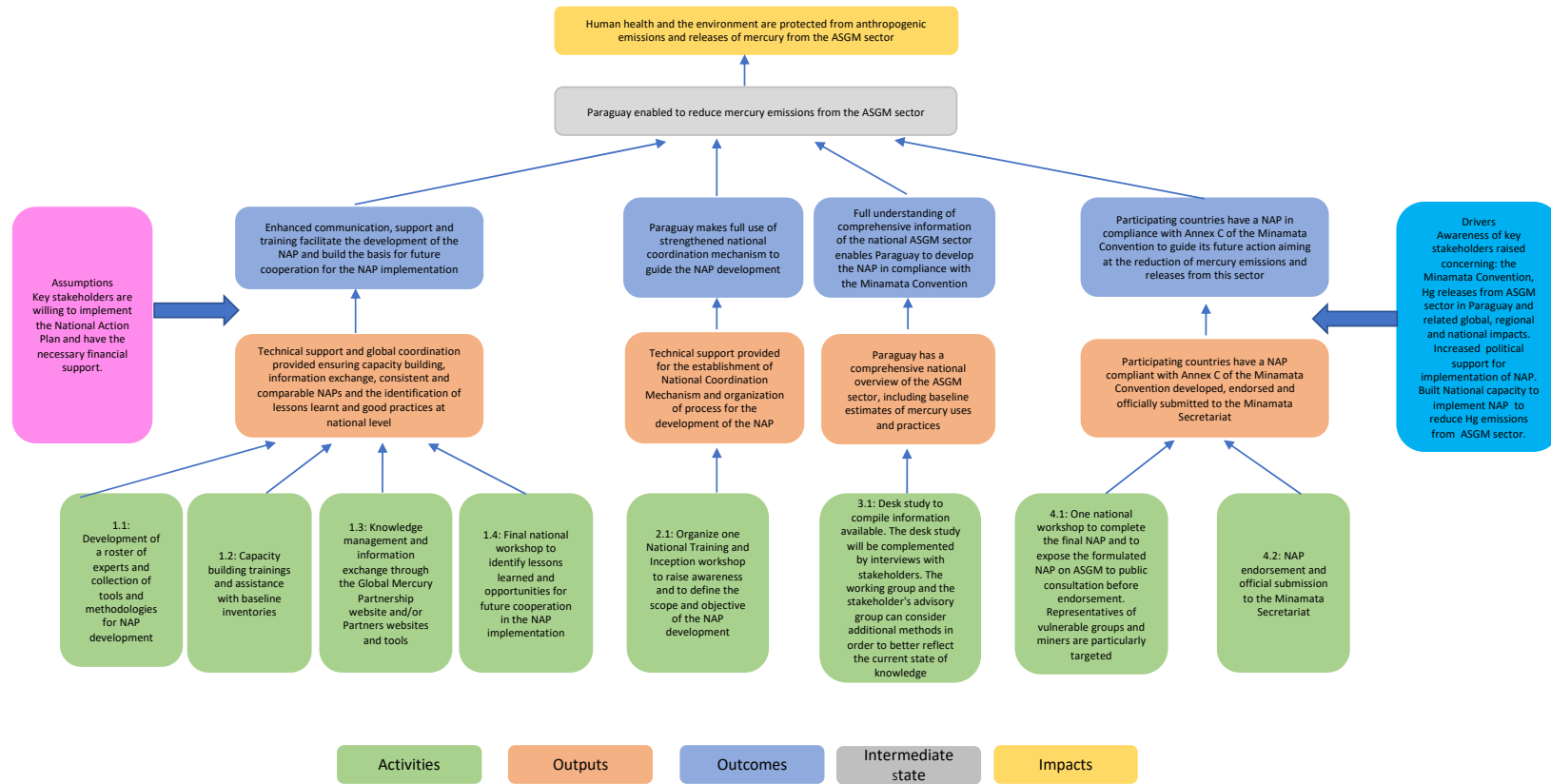
Component/sub-component/output All figures as USD	Estimated cost at design	Actual Cost/ expenditure
1. National information exchange, capacity building and knowledge generation	69,500	2,302.64
2. Establishment of Coordination Mechanism and organisation of process	21,500	21,500
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices	237,046	239,147.68
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on ASGM	101,500	17,134.72
Project Management	45,454	45,454
Monitoring and Evaluation	25,000	24,500

IV. THEORY OF CHANGE AT REVIEW

52. A Theory of Change (TOC) of a project describes the processes of change by outlining the causal pathways from outputs (products, services, gains in knowledge, abilities and awareness of individuals or within institutions) through project outcomes (uptake, adoption, application of an output) through other 'intermediate states' towards impact (long-lasting results that deliver environmental benefits and improved human living conditions).
53. Each 'step' in the pathway is a prerequisite for the next. The change processes between outcomes/intermediate states may require certain conditions to hold (assumptions - significant external factors or conditions that need to be present for the realization of the intended results but that are beyond the influence of the project and its partners) or may be facilitated by supporting actions or conditions (drivers - significant external factors that, if present, are expected to contribute to the realization of the intended results of a project and which can be influenced by the project and its partners). The TOC also clearly identifies the main stakeholders involved in the change processes and what role(s) they play in, and/or how they are affected by, the changes driven by the project.
54. The following diagram has been reconstructed based on the TOC included on the project document. The consultant incorporated the Assumptions and Drivers that were also present at project design but had not been added into the TOC.
55. In the diagram, the emphasis was placed on impact pathways; linking the project activities (green boxes to the left) to the outputs they generated (red boxes). The assumptions made at the design stage (purple box) are also identified and linked to the relevant outputs. This assumption is essential for the likelihood of realization of the intended impact.
56. Because of the scoping nature of this project, there is one major pathway of outcomes to impact identified, and with one intermediate state, and goes as follows:
57. Impact pathway 1 - Data collection and development of the National Action Plan: From outcomes 1, 2, 3, and 4 to project objective.
58. The fulfilment of the project objective requires the success of all four main outcomes, and each outcome is linked to the next in a causal/continuous sequential logic.
59. For Paraguay to comply with Article 7 of the Minamata Convention on reducing mercury use in and emissions and releases from the ASGM sector, it must enhance communication, support and training to facilitate the development of the NAP and build the basis for future cooperation for the NAP implementation (Outcome 1). Then Paraguay must make full use of the strengthened national coordination mechanism to guide the NAP development (Outcome 2). These first two Outcomes will provide a full understanding of comprehensive information of the national ASGM sector and enable Paraguay to develop NAP in compliance with the Minamata Convention (Outcome 3). When the NAP development is completed then Paraguay is enabled to reduce mercury emissions from the ASGM sector, and the intermediate state is reached. Paraguay will then have a NAP in compliance with Annex C of the Minamata Convention to guide its future action aiming at the reduction of mercury emissions and releases from this sector (Outcome 4).
60. Consequentially, at this stage, the project has reached the intermediate state at which all relevant stakeholders are informed of the extent of mercury presence, use, emissions and releases from the ASGM sector, and have a NAP with specific

actions and strategies to eliminate mercury emissions to the environment and protect human health.

Figure 3: Theory of Change at review



V. REVIEW FINDINGS

A. Strategic Relevance

Alignment to UNEP's MTS and POW

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

Alignment to Donor Strategic Priorities

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

Relevance to Regional, Sub-regional and National Priorities

63. Mercury pollution is a serious concern in the Latin American and Caribbean (LAC) region. The 2018 UNEP Global Mercury Assessment indicates that the South American Region accounts for 18% of the global emissions of mercury to the atmosphere while mercury while ASGM accounts for 70% of the emissions of mercury in South America. The use of mercury in ASGM is still widely practiced in Latin American countries but its real magnitude has not been determined in detail. Paraguay has indicated that availability of data is a major challenge to design adequate strategies for mercury reduction.

64. Paraguay will benefit from new and updated information about the use of mercury in the ASGM sector in the country and from increased capacity in managing the risks of mercury emitted and released from such activity. The sharing of experiences and lessons learned throughout the project with other countries working on their NAPs is also expected to be an important contribution to other similar countries and foster cooperation for future implementation of the NAP.

65. In line with Paraguay's UNDAF 2015-2019 efforts, the NAP development will contribute to the UN efforts particularly by improving the enabling conditions to access economic, social and environmental rights. The NAP's aims at reducing mercury use and releases in the ASGM sector which directly impact the national environment; working conditions of miners; their health as well as the health of populations living nearby ASGM areas.

Complementarity with Existing Interventions

66. The project will be particularly complementary of the Regional Minamata Initial Assessment project, also with UN Environment as an implementing Agency

Rating for Strategic Relevance: Highly Satisfactory

B. Quality of Project Design

67. The project design is rated Satisfactory, as per the UNEP Quality of Project Design Assessment (Table 4). This section will discuss each criterion in the assessment and will summarize the strengths and weaknesses of the design.
68. The project is an enabling activity, aiming to gather all available information the use and the emissions and releases of mercury in the ASGM sector in the Paso Yobai region of Paraguay, in order to facilitate the development of a National Action Plan to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay. Elements of external context are not expected to challenge the project performance as the project document does not include any mention of the likelihood or ongoing conflict, natural disaster, or a change in government and Paraguay is a stable country. It is therefore assumed that the external context is favourable for the sound implementation of the project.
69. Regarding the preparation of the project, the document explains the current status regarding the Minamata Convention and ASGM in Paraguay in Part II Section A. It is sufficient to understand the country's reasons for the implementation.
70. National and international stakeholders were clearly identified in the document stating their responsibilities and areas of expertise. The consultation process of national stakeholders during the design process is not described, but project document describes their role as part of the National Coordination Mechanism and Stakeholder Advisory Group during implementation.
71. Potential negative impacts on women, indigenous people and other disadvantaged or vulnerable groups are considered in the project document. However, the project's purpose is to identify alternatives to mercury use and not impair their livelihoods.
72. The project document describes the alignment and relevance to the UN Environment's MTS and PoW, the alignment and relevance to UN Environment and GEF priorities. It provides an adequate and clear description of alignment and relevance to Paraguay's priorities and current activities and their UNDAF. Project document mentions how this project will complement other initiatives by UN Environment (Regional Minamata Initial Assessment Project in Latina America) and by Paraguay itself.
73. There is a TOC presented as per the original logical framework, with causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts. The key actors are not identified in the TOC, but the key stakeholders are identified in the project document. Project duration in line with similar NAP projects completed successfully
74. Regarding monitoring, no Key Performance Indicators were specifically described in the project document. There is baseline information included in situation analysis of ASGM in Paraguay. Although no indicators specifically stated in the project document, it is understood that the presented outputs are the targets.
75. The supervision arrangements are well planned and explicitly stated in the project document, the financial planning does not display any deficiencies at this stage and

there are independent financial audits planned that will ensure sound financial management.

76. The project document describes a knowledge management element with information being exchanged through the Global Mercury Partnership website. Lessons learned will be available to other countries implementing NAP projects. Dissemination and consultation workshops with stakeholders are planned throughout the project.
77. Project was approved before 2017, therefore no Gender Marker Score applied by UN Environment. However, based on project document score would = 1 Gender is reflected in the context, implementation, logical framework. The project document recognizes that women, especially pregnant, are at high risk from ASGM activities, and they will be included as stakeholders; also, participation in workshops will be disaggregated by gender. While this is a start, there were no specific gender activities programmed.

Table 4. Quality of Project Design

A.	Operating Context		YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating: <i>(see footnote 2)</i>
1	Does the project document identify any unusually challenging operational factors that are likely to negatively affect project performance?	i)Ongoing/high likelihood of conflict?	No	The country is stable, there is no mention of likelihood of conflict. It is assumed that the external context is favourable for the sound implementation of the project	2
ii)Ongoing/high likelihood of natural disaster?		No	There is no mention of likelihood of natural disaster.		
iii)Ongoing/high likelihood of change in national government?		No	There is no mention of likelihood of change in national government.		
B.	Project Preparation		YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating: <i>(see footnote 2)</i>
2	Does the project document entail clear and adequate problem and situation analyses?		Yes	The project document explains the current status regarding the Minamata Convention and ASGM in Paraguay in Part II Section A. It is sufficient to understand the country's reasons for the implementation.	5
4	Does the project document include a clear and adequate stakeholder analysis, including by gender/minority groupings or indigenous peoples?		Yes	National and international stakeholders clearly identified in the document stating their responsibilities and areas of expertise. National stakeholders include indigenous groups.	
5	<i>If yes to Q4: Does the project document provide a description of stakeholder consultation/participation during project design process? (If yes, were any key groups overlooked: government, private sector, civil society, gendered groups and those who will potentially be negatively affected)</i>		Yes	The consultation process of national stakeholders during the design process is not described, but project document describes their role as part of the National Coordination Mechanism and Stakeholder Advisory Group during implementation.	

6	Does the project document identify concerns with respect to human rights, including in relation to sustainable development? (e.g. integrated approach to human/natural systems; gender perspectives, rights of indigenous people.	Yes	The project document considers the potential negative impacts on women, indigenous people and other disadvantaged or vulnerable groups. However the project's purpose is to identify alternatives to mercury use and not impair their livelihoods.		
C	Strategic Relevance	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:	
7	Is the project document clear in terms of its alignment and relevance to:	i) UN Environment MTS and PoW	Yes	The project document describes the alignment and relevance to the UN Environment's MTS and PoW.	6
ii) UN Environment /GEF/Donor strategic priorities (including Bali Strategic Plan and South-South Cooperation)		b	The project document describes the alignment and relevance to UN Environment and GEF priorities.		
iii) Regional, sub-regional and national environmental priorities?			The project document provides an adequate and clear description of alignment and relevance to Paraguay's priorities and current activities and their UNDAF priorities.		
iv. Complementarity with other interventions			Project document mentions how this project will complement other initiatives by UN Environment (MIA Project) and by Paraguay itself.		
D	Intended Results and Causality	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:	
8	Is there a clearly presented Theory of Change?	Yes	There is a ToC presented as per the project's logframe.	5	
9	Are the causal pathways from project outputs (goods and services) through outcomes (changes in stakeholder behaviour) towards impacts (long term, collective change of state) clearly and convincingly described in either the logframe or the TOC? (NOTE if there is no TOC in the project design documents a reconstructed TOC at Evaluation Inception will be need)	Yes			
10	Are impact drivers and assumptions clearly described for each key causal pathway?	Yes			

11	Are the roles of key actors and stakeholders, including gendered/minority groups, clearly described for each key causal pathway?		No	The key actors are not identified in the ToC but the key stakeholders are identified in the project document.	
12	Are the outcomes realistic with respect to the timeframe and scale of the intervention?		Yes	Project duration in line with similar NAP projects completed successfully.	
E	Logical Framework and Monitoring		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
13	Does the logical framework	i) Capture the key elements of the Theory of Change/ intervention logic for the project?	Yes		5
		ii) Have appropriate and 'SMART' results at output level?	Yes		
		iii) Have appropriate and 'SMART' results at outcome level?	Yes		
		iv) Reflect the project's scope of work and ambitions?	Yes		
14	Is there baseline information in relation to key performance indicators?		No	No KPI's specifically described in project document. Baseline information included in situation analysis of ASGM in Paraguay.	
15	Has the desired level of achievement (targets) been specified for indicators of outputs and outcomes?		No	No indicators specifically stated in the project document, although it is understood that outputs are the targets	
16	Are the milestones in the monitoring plan appropriate and sufficient to track progress and foster management towards outputs and outcomes?		Yes		
17	Have responsibilities for monitoring activities been made clear?		Yes		
18	Has a budget been allocated for monitoring project progress?		Yes		
19	Is the workplan clear, adequate and realistic? (eg. Adequate time between capacity building and take up etc)		Yes		
F	Governance and Supervision Arrangements		YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:

20	Is the project governance and supervision model comprehensive, clear and appropriate? (<i>Steering Committee, partner consultations etc.</i>)	Yes	Yes, the National Coordination Mechanism and Stakeholder Advisory Group roles and implementation arrangements/supervision are clear.	5
21	Are roles and responsibilities within UNEP clearly defined? (<i>If there are no stated responsibilities for UNEP Regional Offices, note where Regional Offices should be consulted prior to, and during the evaluation</i>)	Yes	UN Environment and ROLAC responsibilities stated in the project document	
G	Partnerships	YES/NO	Comments/Implications for the review design (<i>e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc</i>)	Section Rating:
22	Have the capacities of partners been adequately assessed? (<i>CHECK if partner capacity was assessed during inception/mobilisation where partners were either not known or changed after project design approval</i>)	Yes		5
23	Are the roles and responsibilities of external partners properly specified and appropriate to their capacities?	Yes		
H	Learning, Communication and Outreach	YES/NO	Comments/Implications for the review design (<i>e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc</i>)	Section Rating:
24	Does the project have a clear and adequate knowledge management approach?	Yes	The project document describes a knowledge management element on Component 1: National information exchange, capacity building and knowledge generation, Activity 1.3: Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools. Lessons learned will be available to other countries implementing NAP projects.	6
25	Has the project identified appropriate methods for communication with key stakeholders, including gendered/minority groups, during the project life? <i>If yes, do the plans build on an analysis of existing communication channels and networks used by key stakeholders?</i>	Yes	Dissemination and consultation workshops with stakeholders are planned throughout the project; these include women and indigenous groups as well as environmental groups. UN Environment Global Mercury Partnership is an existing communication channel that will play a significant role.	

26	Are plans in place for dissemination of results and lesson sharing at the end of the project? <i>If yes, do they build on an analysis of existing communication channels and networks?</i>	Yes	There is a Final National workshop planned as part of Component 1: National information exchange, capacity building and knowledge generation. UN Environment Global Mercury Partnership will play a significant role providing information exchange.	
I	Financial Planning / Budgeting	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
27	Are the budgets / financial planning adequate at design stage? <i>(coherence of the budget, do figures add up etc.)</i>	Yes	Budget in line with other NAP projects. There are independent financial audits planned that will ensure figures add up.	6
28	Is the resource mobilization strategy reasonable/realistic? <i>(E.g. If the expectations are over-ambitious the delivery of the project outcomes may be undermined or if under-ambitious may lead to repeated no cost extensions)</i>	Yes	Funding is provided by a GEF grant.	
J	Efficiency	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
29	Has the project been appropriately designed/adapted in relation to the duration and/or levels of secured funding?	Yes	Project objectives and activities in-line with other NAP projects successfully implemented	5
30	Does the project design make use of / build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency?	Yes	Project builds up on Minamata Initial Assessment project being developed by UN Environment	
31	Does the project document refer to any value for money strategies (i.e. increasing economy, efficiency and/or cost-effectiveness)?	Yes	Project builds up on regional Minamata Initial Assessment project being executed by the Basel Convention Coordinating Centre for Training and Technology Transfer for Latin America and Caribbean Region in Uruguay and implemented by UN Environment The project document details a cost effectiveness analysis/strategy in Part 1 section E.	

32	Has the project been extended beyond its original end date? (If yes, explore the reasons for delays and no-cost extensions during the evaluation)	Yes	Delays due to project coordinator and consultants recruitments; delays in first cash advance; due to COVID-19	
K	Risk identification and Social Safeguards	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
33	Are risks appropriately identified in both the TOC/logic framework and the risk table? (If no, include key assumptions in reconstructed TOC at Review Inception)	No	No risks identified in the project document or ToC. No risk assessment present, other than Annex C Environmental and Social Safeguards Checklist	5
34	Are potentially negative environmental, economic and social impacts of the project identified and is the mitigation strategy adequate? (consider unintended impacts)	No	The project will assess the situation with regard to mercury use in the ASGM sector and related emissions and releases across Paraguay. It will not take direct action on the ground but inventories prepared to address priority issues will take socio-economic and environmental considerations into account. The project will suggest alternatives to current practices towards the sound management of mercury and not impair livelihoods	
35	Does the project have adequate mechanisms to reduce its negative environmental foot-print? (including in relation to project management and work implemented by UNEP partners)	N/A	No negative environmental footprint	
L	Sustainability / Replication and Catalytic Effects	YES/NO	Comments/Implications for the review design (e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)	Section Rating:
36	Did the design address any/all of the following: socio-political, financial, institutional and environmental sustainability issues?	Yes		5
37	Was there a credible sustainability strategy and/or appropriate exit strategy at design stage?	No	No exit strategy required as this is an assessment and action plan development. This is an enabling activity. Does not apply.	
38	Does the project design present strategies to promote/support scaling up, replication and/or catalytic action? (if yes, capture this feature in the reconstructed TOC at Review Inception)	Yes	Standardized project design ensures it can be replicated in other countries. There is potential for catalytic action as other chemicals management projects have been implemented in Paraguay.	

M	Identified Project Design Weaknesses/Gaps	YES/NO	Comments/Implications for the review design <i>(e.g. questions, TOC assumptions and drivers, methods and approaches, key respondents etc)</i>	Section Rating:
40	Were recommendations made by the PRC adopted in the final project design? If no, what were the critical issues raised by PRC that were not addressed.	No		5
41	Were there any critical issues not flagged by PRC?	No		
N	Gender Marker Score	SCORE	Comments	No rating.
	<p>What is the Gender Marker Score applied by UN Environment during project approval? <i>(This applies for projects approved from 2017 onwards)</i></p> <p>UNEP Gender Scoring: 0 = gender blind: Gender relevance is evident but not at all reflected in the project document. 1 = gender partially mainstreamed: Gender is reflected in the context, implementation, logframe, or the budget. 2a = gender well mainstreamed throughout: Gender is reflected in the context, implementation, logframe, and the budget. 2b = targeted action on gender: (to advance gender equity): the principle purpose of the project is to advance gender equality. n/a = gender is not considered applicable: A gender analysis reveals that the project does not have direct interactions with, and/or impacts on, people. Therefore gender is considered not applicable.</p>	N/A	<p><i>Project was approved before 2017, therefore no Gender Marker Score applied by UN Environment. However, based on project document score would = 1 Gender is reflected in the context, implementation, logframe.</i></p> <p><i>It is recognized that women, especially pregnant, are at high risk from ASGM activities, and they will be included as stakeholders; also, participation in workshops will be disaggregated by gender.</i></p>	

CALCULATING THE OVERALL PROJECT DESIGN QUALITY SCORE
(An excel file is available to support the calculation of the overall PDQ rating)

	SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x Weighting)
A	Operating Context	2	0.4	0.8

B	Project Preparation	5	1.2	6
C	Strategic Relevance	6	0.8	4.8
D	Intended Results and Causality	5	1.6	8
E	Logical Framework and Monitoring	5	0.8	4
F	Governance and Supervision Arrangements	5	0.4	2
G	Partnerships	5	0.8	4
H	Learning, Communication and Outreach	6	0.4	2.4
I	Financial Planning / Budgeting	6	0.4	2.4
J	Efficiency	5	0.8	4
K	Risk identification and Social Safeguards	5	0.8	4
L	Sustainability / Replication and Catalytic Effects	5	1.2	6
M	Identified Project Design Weaknesses/Gaps	5	0.4	2
			TOTAL SCORE :	5.04 <i>(Sum Totals divided by 100)</i>

1 (Highly Unsatisfactory)	< 1.83	4 (Moderately Satisfactory)	>=3.5 <=4.33
2 (Unsatisfactory)	>= 1.83 < 2.66	5 (Satisfactory)	>4.33 <= 5.16
3 (Moderately Unsatisfactory)	>=2.66 <3.5	6 (Highly Satisfactory)	> 5.16

Rating for Project Design: Satisfactory

C. Nature of the External Context

78. This rating is established for the project's external operating context, considering the prevalence of conflict, natural disasters and unanticipated political upheaval. Rated as highly favourable as there were no climatic events that affected operations and the security, political and economic situation was favourable and stable, allowing efficient project operations with Paraguay being a stable country.
79. It is important to highlight the COVID-19 pandemic that occurred during the later stages of the project had a detrimental effect in project implementation. Activities in the field were stopped and project coordination moved to home-based work with on-line communication. Although all activities were completed in the end, there was a knock-on effect on communication with Government stakeholders that has significantly delayed the approval of documents.
80. As Paraguay is a stable country, no political upheaval was rightly considered. However, national elections caused a delay in the project as new ministers and government personnel are appointed, bringing in a new set of government priorities that can influence the project implementation. It is therefore recommended that a scheduled change in government is considered at the project design phase to allow for extra implementation time (6-9 months) minimizing the risk of a no-cost extension.

Rating for Nature of the external context: Favourable

D. Effectiveness

Availability of Outputs

81. The outputs of this project are the following:
- I. Capacity building provided, information exchange undertaken, lessons learned, and good practices identified at national level
 - II. Technical support provided for the establishment of National Coordination Mechanism and organization of process for the development of the NAP
 - III. Paraguay has a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices
 - IV. Paraguay has a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat
82. A desk review of the project documentation, reporting and feedback received during stakeholder consultations has confirmed the availability of the project outputs, as well as their good quality of work and good reception by the project stakeholders.
83. The NAP has been validated by the Mercury National Committee but not yet endorsed by the Government or submitted to the Minamata Secretariat.
- 84. Output I. Capacity building provided, information exchange undertaken, lessons learned, and good practices identified at national level**
85. This output has been achieved successfully. The following 4 activities have been completed:

- 1.1: Development of a roster of experts and collection of tools and methodologies for NAP development. Completed in May 2017.
- 1.2: Capacity building trainings and assistance with baseline inventories. Completed July 2018.
- 1.3: Knowledge management and information exchange through the Global Mercury Partnership website and/or Partners websites and tools. Completed May of 2021.
- 1.4: Final national workshop to identify lessons learned and opportunities for future cooperation in the NAP implementation. Completed in November 2019.

86. Output 2. Technical support provided for the establishment of National Coordination Mechanism and organization of process for the development of the NAP

87. This output has been achieved successfully. The following activity has been completed:

- 2.1: Organize one National Inception Workshop to raise awareness and to define the scope and objective of the NAP development, including: Identify key stakeholders and assign roles Identify coordination mechanism for project implementation Develop an awareness raising strategy to be implemented throughout the project. Completed May 2017.

88. Output 3. Paraguay has a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices

89. This output has been achieved successfully. The following activity has been completed:

- 3.1: Desk study to compile information available. The desk study will be complemented by interviews with stakeholders. The working group and the stakeholder's advisory group can consider additional methods in order to better reflect the current state of knowledge. Completed August 2019.

90. Output 4. Paraguay has a NAP compliant with Annex C of the Minamata Convention developed, endorsed and officially submitted to the Minamata Secretariat

91. This output has been achieved successfully. The following activity has been completed:

- 4.1: One national workshop to complete the final NAP and to expose the formulated NAP on ASGM to public consultation before endorsement. Representatives of vulnerable groups and miners are particularly targeted. Completed August 2019.
- 4.2: NAP endorsement and official submission to the Minamata Secretariat

92. The NAP has been approved by the Mercury National Committee in October 2019; however, due to delays caused by the COVID-19 pandemic, it has not been endorsed by the Government of Paraguay and consequently not been submitted to the Minamata Convention Secretariat.

Achievement of Project Outcomes

93. As per the previous section "Availability of Outputs", all outcomes have been achieved except for Outcome 4 Paraguay has a NAP in compliance with Annex C of the Minamata Convention to guide its future action aiming at the reduction of mercury emissions and releases from this sector.

94. The NAP is awaiting Government endorsement to then be officially submitted to Minamata Secretariat.

Achievement of Likelihood of Impact

95. The likelihood of impact assessment is a tool used to identify how likely the project contribution to impact may be. This is a theoretical approach to assessing the impact of the project, due to the actual measurement being difficult to obtain for this project. It is an assessment tool of the internal logical of the project.
96. The evaluator used the assessment of likelihood of impact decision tree, which revealed that the impact pathway is Likely. The detail of the decision tree can be seen in Figure 4 below. The reason for this rating is that the assumptions identified in the reconstructed TOC to move beyond the intermediate state (Paraguay enabled to reduce mercury emissions from the ASGM sector) are partially in place. The NAP contains detailed actions and strategies to limit or stop mercury emissions into the environment, but they are highly dependent on available funding, which is not yet completely secured.

Figure 4. Likelihood of Impact Assessment Decision Tree

Reset Form	Select Response		Likelihood of impact						Likelihood of impact					
			HU	U	MU	ML	L	HL	HU	U	MU	ML	L	HL
Drivers to support transition from Outputs to Project Outcomes are ...	Partially in place		Not in place	Partially in place	Partially in place	In place	In place	In place	1	1				
Assumptions for the change process from Outputs to Project Outcomes ...	Hold		Do not hold	Partially hold	Partially hold	Hold	Hold	Hold				1	1	1
Proportion of Project Outcomes fully or partially achieved?	All		None	Some	Some	Some	Some	All						1
Which Project Outcomes? (the most important to attain intermediate states / impact or others)		Answer not required	n/a	Others	Others	Most important	Most important	n/a						1
Level of Project Outcome achievement?	Partial		n/a	Partial	Full	Partial	Full	Full	1		1			
Drivers to support transition from Project Outcome(s) to Intermediate States are ...	Partially in place		n/a	Not in place	Not in place	Partially in place	Partially in place	In place				1	1	
Assumptions for the change process from Project Outcomes to Intermediate States ...	Hold		n/a	Do not hold	Do not hold	Partially hold	Hold	Hold				1	1	
Proportion of Intermediate States achieved?	Some		n/a	n/a	None	None	Some	All				1		
Level of Intermediate State achievement?	Partial		n/a	n/a	n/a	n/a	Partial	Full				1		
Drivers to support transition from Intermediate States to Impact are ...	Partially in place		n/a	Not in place	Not in place	Not in place	Partially in place	In place				1		
Assumptions for the change process from Intermediate States to Impact ...	Partially hold		n/a	Do not hold	Do not hold	Do not hold	Partially hold	Hold				1		
									0	2	1	3	7	4
OVERALL RATING														
LIKELY														

97. The intentional positive impacts of this project include:
- producing a baseline overview of the ASGM sector in Paraguay and previously unavailable data on the use, emissions and releases of mercury in the sector
 - Raised awareness among stakeholders, especially mining communities, about the dangers of mercury on human health and the environment
 - The elaboration of the NAP aiming to eliminate worst practices and the use of mercury
98. The project can be easily replicated as evidenced by several NAP projects having been implemented in other countries where ASGM is significant.
99. No unintended negative effects were identified during the evaluation.

Rating for Effectiveness: Satisfactory

E. Financial Management

Adherence to UNEP's Financial Policies and Procedures

100. The evaluation verified the application of proper financial management standards and adherence to UNEP's financial management policies.
101. No financial irregularities were detected based on project documentation. This is confirmed by two independent audits carried out during August 2018 and January 2021.

Completeness of Financial Information

102. All quarterly expenditure reports were completed and were made available for the terminal review. These reports provide sufficient detail of what the expenditures were and reflect how the executing agency managed the funds. As of 30 June 2021 there was a remaining balance of \$30,097 with \$469,902.77 disbursed.
103. Project expenditure by output/outcome had to be requested as it is not included on quarterly reports due to report format. It would be helpful to add an extra table with this format.

Communication Between Finance and Project Management Staff

104. First disbursement was delayed for 4 months (from November 2016 to March 2017) and an overdraft in financial authorizations occurred during January 2019. This resulted in temporary cessation of payments by UNDP Paraguay. This issue was resolved during February 2019.
105. There was a lack of awareness regarding UNEP's administrative and financial procedures carried out by the Fund Management office. Therefore, it is recommended to carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.

Rating for Financial Management: Highly Satisfactory

F. Efficiency

106. The project was able to achieve its objective of producing a high-quality NAP, with the main challenge being the COVID-19 pandemic.
107. There were three no-cost extensions with their corresponding budget revisions and PCA extensions. The first one was caused by a delay in funds being received by the Executing Agency and difficulties in recruiting a project manager. The second extension was granted on the grounds of carrying out extra activities, namely estimation of mercury concentration in sediments and analysis of health effects in mining communities. Finally, the third extension was caused by COVID-19.
108. Feedback received during stakeholder consultations indicates efficient and effective management and communication by the executing agency.
109. Reports from the Executing Agency were sent in a timely manner.

Rating for Efficiency: Satisfactory

G. Monitoring and Reporting

Monitoring Design and Budgeting

110. A monitoring plan and budget were outlined in section E of the project document outlining the Monitoring and Evaluation activity, purpose, responsible party, budget and time frame.

Monitoring of Project Implementation

111. Monitoring system was operational throughout the project. The project gathered relevant and good quality baseline data accurately and appropriately documented.
112. They included attendance lists for every meeting and workshop carried out and was disaggregated by gender. This was also the case for the projects' outputs (Annex 3 of Project Outputs) in which the participants in health studies were recorded as male and female.

Project Reporting

113. Monitoring and reporting mechanisms consisted in quarterly expenditure reports and six-month progress reports submitted to the UNEP task manager. Main communication method was email and phone, and feedback received indicated that communication between the Executing Agency and the Task manager was excellent.

Rating for Monitoring and Reporting: Highly Satisfactory

H. Sustainability

Socio-political Sustainability

114. Sustainability is understood as the probability of project outcomes being maintained and developed after the close of the intervention.
115. Paraguay has shown commitment towards complying with the Minamata Convention with two projects implemented by UNEP and other GEF interventions, it is unlikely this will change with a different given the length of time since the start of the interventions. There was a high degree of ownership, particularly at the local

government level and among the beneficiaries of the mining communities that participated in the project activities.

116. The Ministry of Environment and the Vice Ministry of Mines and Energy, have been working together during the later stage of the Project evaluating permit requests, indicating a pattern of cooperation at Central Government level.
117. For small scale miners to be compliant with Paraguayan regulation, they require two sets of permits, one to be able to extract minerals (i.e. gold) provided by the Vice Ministry of Mines and Energy, and one to comply with environmental standards provided by MADES. Because the Vice Ministry of Mines and Energy was not as closely involved in the implementation of the project during the previous Paraguayan administration, there was no work carried out to regularize the miners with regards to the extraction permits. This means that although some miners now have the necessary environmental permits, they are still not compliant as they lack permission for mineral extraction, which is complicated and expensive. This was a missed opportunity and highlights how it is essential that all the relevant Ministries are heavily involved during the project implementation.
118. Mining communities showed a high level of ownership in the project given their direct participation in the activities.
119. The project achieved its main objective in developing a NAP but momentum needs to be maintained to preserve this trusting relationship between beneficiaries and Government in order for the NAP implementation to be successful.

Financial Sustainability

120. Further development of project outcomes is highly dependent on future funding. According to the NAP \$1,726,698 are needed to implement the proposed measures and strategies, with 80% of funds coming from the National Budget and 20% from international cooperation. Funds are necessary for miners to pay for better technology than they currently have if they are to stop using mercury, in addition to permit fees. National funds must be approved by Congress and therefore depend on Governmental commitment.

Institutional Sustainability

121. There were mixed reports among stakeholders on whether the Institutions would continue to support the project at Federal Government level. There is a high turnover of personnel in Government institutions, and this can represent a risk if mercury reducing policies are not in place.

Rating for Sustainability: Likely

I. Factors Affecting Performance and Cross-Cutting Issues

Preparation and Readiness

122. Between project approval and first disbursement, an annual costed workplan had been developed, and a good environmental, social and economic (ESE) safeguard had been carried out as established in the project document. The first disbursement of the project was done nine months after approval. National Project Coordinator was recruited in March 2017, one year after approval, and therefore did not participate during the project design phase.
123. The National Mercury Committee was also in place as it had been active in the Regional MIA Initial Assessment project also implemented by UNEP.

Quality of Project Management and Supervision

124. Excellent project management and supervision was reported by stakeholders, as well as a great involvement by the Task Manager, who facilitated timely disbursements of funds and ensure a smooth running of activities.

Stakeholders Participation and Cooperation

125. The local government of Paso Yobai displayed a very high level of participation. This allowed project personnel to carry activities safely and efficiently in mining communities notorious for not allowing people from outside. This development of a trusting relationship is necessary to change mining practices in the sector.

Responsiveness to Human Rights and Gender Equity

126. Gender equity was not fully addressed during project design, with no specific activities addressing it. However, during the actual implementation, the majority of the consultants recruited to carry out project outputs were women, workshops, trainings and population sampled for the health study included women and attendance lists collected disaggregated data. In addition, gender mainstreaming is considered in the final NAP, in the form of a Gender Action Plan to strengthen women in the ASGM value chain, included in the Strategy to Prevent Vulnerable Populations' Exposure to Mercury.

Environmental and Social Safeguards

127. Environmental and social safeguards were evaluated during the project design phase and no issues were identified as the purpose of the National Action Plan is to identify alternatives to mercury use and not impair livelihoods.

Country Ownership and Driven-ness

128. The review identified a good level of ownership at the local and central government level, with key stakeholders participating actively in the National Mercury Committee. This is especially important as the committee members will play an essential role in ensuring the strategies outlined in the NAP are implemented.
129. Paraguay is committed to reducing mercury emissions as evidenced by their participation in other GEF projects, such as the Regional Minamata Initial Assessment implemented by UNEP.

Communication and Public Awareness

130. The project carried out workshops and trainings in mining communities, where all project outputs were discussed and distributed. The project produced an animated short video to raise awareness of the toxic effects of mercury in ASGM sector workers and their families that was very well received.

Rating for Factors Affecting Performance and Cross-Cutting Issues: Highly Satisfactory

VI. CONCLUSIONS AND RECOMMENDATIONS

A. Conclusions

131. The project has successfully reached its objective of developing a national action plan aiming to reduce mercury emissions and releases in the artisanal and small-scale gold mining sector in Paraguay.
132. The project was strategically relevant to UNEP's priorities and was complementary to existing interventions in Paraguay, in its efforts to implement and comply with the Minamata Convention and the notification to the convention secretariat that the ASGM sector is more than insignificant, in accordance with Article 7. It builds on the regional project Development of Minamata Initial Assessment executed by the Basel Convention Coordinating Centre for Training and Technology Transfer for Latin America and Caribbean Region in Uruguay and implemented by UNEP
133. The data gathering aspect of the project was successful and allowed relevant stakeholders to have an assessment of the sector, the conditions of work and the amount of mercury used, emitted and released from ASGM in Paraguay. The project design was realistic, and the time frame sufficient to develop the National Action Plan. Two independent financial audits were carried out (August 2018 and January 2021) and no financial mismanagement or issues were reported. The budget required three revisions during the implementation corresponding to each no-cost extension. Monitoring, reporting and evaluation plans were executed as per the project design.
134. Baseline data collection provided information on the ASGM sector, including gold production, use of mercury and labour force in Paso Yobai, mining communities' health and concentration levels of mercury in sediments.
135. At project design, gender mainstreaming was considered at a superficial level. However, during the actual implementation, the majority of the consultants recruited to carry out project outputs were women, workshops, trainings and population sampled for the health study included women and attendance lists collected disaggregated data. In addition, gender mainstreaming is considered in the final NAP, in the form of a Gender Action Plan to strengthen women in the ASGM value chain, included in the Strategy to Prevent Vulnerable Populations' Exposure to Mercury.
136. The NAP developed is a high-quality assessment of the ASGM sector and strategy to reduce the use of mercury and formalize the sector. However, its future implementation is highly dependent on financial availability from International Cooperation and Paraguay's General Expenses Budget.
137. The COVID-19 pandemic caused delays in project activities that resulted on the 3rd no-cost extension to the project and have prevented the NAP from being endorsed by the Government and submitted to the Minamata Secretariat. First extension was caused by difficulties in the recruitment of the National Coordinator and second was granted to carry out additional activities i.e., mercury analysis on sediments.
138. Based on the findings of this evaluation, the project demonstrates performance at the Satisfactory level (Table 2). The project has demonstrated a strong performance in the Areas of Strategic Relevance, Financial Management, Monitoring and Reporting, and factors Affecting Performance. Areas that would benefit from further attention are Sustainability (there was a high turnover of Government Staff assigned to the project) and Efficiency. Quality of Project Design (Gender

streamlining in particular) would have benefitted from further attention before the start of implementation.

139. In spite of the NAP not yet being endorsed, the project managed to gain the trust of the mining community which allowed them to engage with the environmental authorities, this had not been done before. The project team in the National Coordination and consultants carrying out activities in the field demonstrated a high degree of and professionalism.

B. Summary of project findings and ratings

140. The table below provides a summary of the ratings and finding discussed in Chapter V. Overall, the project demonstrates a rating of Highly Satisfactory.

Table 5: Summary of project findings and ratings

Criterion	Summary assessment	Rating
Strategic Relevance		HS
1. Alignment to UNEP MTS and POW	In line with UN Environment's MTS and POW	HS
2. Alignment to Donor strategic priorities	In line with GEF strategic priorities	HS
3. Relevance to regional, sub-regional and national environmental priorities	Relevant to Regional and National environmental priorities	HS
4. Complementarity with existing interventions	Complementary with previous interventions	HS
Quality of Project Design	Comparable other NAPs; however, some weaknesses identified (i.e. gender mainstreaming)	S
Nature of External Context	Change in government mid project; COVID-19 affected implementation in the final stages of project	F
Effectiveness		S
1. Availability of outputs	All outputs available, NAP not yet endorsed by Government	S
2. Achievement of project outcomes	Good quality NAP but not yet endorsed by Government or submitted to Minamata Convention	S
3. Likelihood of impact	NAP policies highly dependent on available funding not yet completely secured	L
Financial Management		HS
1. Adherence to UNEP's financial policies and procedures	No issues identified	S
2. Completeness of project financial information	All quarterly financial reports available. Project expenditure by output/outcome partially available due to report format.	HS
3. Communication between finance and project management staff	Initial lack of awareness regarding UNEP's administrative and financial procedures carried out by the Fund Management office. Issue was resolved after meetings between UNEP and Project coordination staff.	S
Efficiency	Three no-cost extensions caused by difficulties in the recruitment of the National Coordinator; carry out additional activities (mercury analysis on sediments); and COVID-19 pandemic	S
Monitoring and Reporting		HS
1. Monitoring design and budgeting	There is a monitoring and evaluation project component with funds allocated to an independent audit and Terminal Review	HS
2. Monitoring of project implementation	Monitoring consisted of six-month reports and quarterly financial reports sent to UN Environment	HS

Criterion	Summary assessment	Rating
3. Project reporting	No six-month progress reports for 2021; financial reports up to date 2021 2Q	S
Sustainability		L
1. Socio-political sustainability	It is highly likely the NAP will be endorsed.	HL
2. Financial sustainability	High dependency on future funding	L
3. Institutional sustainability	High dependency on Institutional support	L
Factors Affecting Performance		HS
1. Preparation and readiness	National Project Coordinator recruited in March 2017 one year after approval	S
2. Quality of project management and supervision	Excellent project management and supervision was reported by stakeholders, as well as a great involvement by the Task Manager	HS
3. Stakeholders' participation and cooperation	Local government of Paso Yobai displayed a very high level of participation	HS
4. Responsiveness to human rights and gender equity	Gender equity was not fully addressed during project design. During implementation, the majority of the consultants recruited were women. workshops, trainings, and population sampled included women and attendance lists collected disaggregated data. Gender mainstreaming is considered in the final NAP	S
5. Environmental and social safeguards	No safeguarding issues were identified	S
6. Country ownership and driven-ness	Good country ownership	S
7. Communication and public awareness	Project carried out workshops and trainings in mining communities, where all project outputs were discussed and distributed. An animated short video to raise awareness of the toxic effects of mercury in ASGM sector workers and their families was very well received.	HS
Overall Project Performance Rating		Satisfactory

C. Lessons learned

Lesson Learned #1:	Involvement of and appropriation by local Government is crucial to the success of the activities when they are trusted by the mining communities, as their activities may be informal (not have the necessary permits) or illegal.
Context/comment:	

Lesson Learned #2:	Gender mainstreaming should be given more consideration on NAP projects design, as defined UN Environment's Gender Equality and Development Guide
Context/comment:	

D. Recommendations

Recommendation #1:	
Challenge/problem to be addressed by the recommendation:	When developing future NAP projects, gender mainstreaming should be included in the Logical Framework, with specific outputs.
Priority Level ⁷:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

141. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. B. Quality of Project Design

Recommendation #5:	
Challenge/problem to be addressed by the recommendation:	Take into consideration the country's political circumstances when planning the duration of future projects. For example, if national elections are planned during the prospective timeframe of the project, consider adding an extra 6 months to implementation, to lower the risk of no-cost extension requests. Some aspects are considered at project design (external factors), but it seems to be an analysis that is more directed at identifying very challenging circumstances.
Priority Level:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

142. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. C. Nature of External Context

Recommendation #2:	
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⁷ Select priority level from these three categories:

***Critical recommendation:** address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.*

***Important recommendation:** address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.*

***Opportunity for improvement:** comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.*

Challenge/problem to be addressed by the recommendation:	Carry out an Inception meeting/workshop on administrative and financial procedures with the Executing Agency (National Coordination team), Task Manager and the Fund Management Office. This will ensure the Executing Agency is aware of each party's role and responsibilities, as it might be their first time working in a United Nations project.
Priority Level:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

143. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. E. Financial Management

Recommendation #4:	
Challenge/problem to be addressed by the recommendation:	Update financial report template to include disbursements by component, currently this is only done during the initial budget.
Priority Level:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

144. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. E. Financial Management

Recommendation #3:	
Challenge/problem to be addressed by the recommendation:	If possible, disburse funds using the corresponding UNEP Regional or Country Office. Using UNDP for this purpose is very costly and those funds could be spent implementing project activities.
Priority Level:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

145. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. F. Efficiency

Recommendation #6:	
Challenge/problem to be addressed by the recommendation:	Ensure all relevant Ministries are involved in the project implementation. This is especially important when more than one Ministry must provide permits to regularize artisanal gold mining.
Priority Level:	Opportunity for improvement
Responsibility:	
Proposed implementation time-frame:	Subsequent activities

146. Cross-reference(s) to rationale and supporting discussions:

- Section V. Review Findings. H. Sustainability

ANNEX I. RESPONSE TO STAKEHOLDER COMMENTS

Table 6: Response to stakeholder comments received but not (fully) accepted by the reviewers, where appropriate

Page Ref	Stakeholder comment	Evaluator Response

ANNEX II. PEOPLE CONSULTED DURING THE REVIEW

Table 7. People consulted during the Evaluation

Organisation	Name	Position	Gender
UNEP	Ludovic Bernaudat	Senior Task Manager	Male
UNEP	Giovanna Chiodi Moire	Associate Programme Management Officer	Female
UNEP	Anuradha Shenoy	Programme Budget Officer	Female
UNEP	Gladys Karanja	Finance and Budget Assistant	Female
Ministry of Environment and Sustainable Development (MADES)	Mauricio Rodas	NAP Project Coordinator	Male
Ministry of Environment and Sustainable Development (MADES)	Maria Irene Santacruz	NAP Project Administrative Assistant	Female
Vice Ministry of Mines and Energy (VMME)	Monica Urbieto		Female
Paso Yobai's Miner's Association	Rubén Aguilera	President	Male
Environment Secretary Paso Yobai	Eriberto Melgarejo		Male
National Institute of Rural Development and Land (INDERT)	Ilirica Ferreira		Female

ANNEX III. KEY DOCUMENTS CONSULTED

Project planning and reporting documents

- Six-month Progress reports 2017-2021.
- Quarterly Expenditure reports 2017-2021.
- UN Environment 2016. Project Cooperation Agreement for the MIA Project

Project outputs – Overall

- United Nations Environment Programme, MADES. 2020. National Action Plan for artisanal gold mining in Paraguay in conformity with the Minamata Convention on Mercury.
- Annex 1. Proposed Measures and Strategies for the formalization of the SAGM Sector.
- Annex 2. Baseline estimates of mercury used in artisanal and small-scale gold mining and gold mining methodology.
- Annex 3. Final Report – Study of the National Panorama of ASM in the health sector, measures and strategies to be included in the NAP; validated by the Mercury National Committee.
- Annex 4. Determination of mercury levels in sediments from water resources and tailings Yobái Pass District Gold Mills.

Reference documents

- United Nations Environment Programme. 2014. Proposed biennial programme of work and budget for 2016-2017.
- United Nations Environment Programme. 2016. Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay – GEF ID 9350.
- United Nations Environment Programme. 2016. Gender Equality and the Environment – A guide to UNEP's work
- United Nations Environment Programme. 2018. Guidance Document – Developing a National Action Plan to Reduce and, Where Feasible, Eliminate Mercury Use in Artisanal and Small-Scale Gold Mining.
- United Nations Environment Programme. 2019. Global Mercury Assessment.
- United Nations Environment Programme. 2019. Minamata Convention on Mercury, Text and Annexes.
- United Nations Environment Programme. 2021. Terms of Reference for the Terminal Review of the UNEP/GEF project Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay – GEF ID 9350.

PROJECT BUDGET AND EXPENDITURES

VII. Table 8: Project Funding Sources Table

Funding source	Planned funding	% of planned funding	Secured funding	% of secured funding
All figures as USD				
Cash				
Funds from the Environment Fund	500,000			
Funds from the Regular Budget				
Extra-budgetary funding (listed per donor):				
Sub-total: Cash contributions				
In-kind				
Environment Fund staff-post costs				
Regular Budget staff-post costs				
Extra-budgetary funding for staff-posts (listed per donor)				
Sub-total: In-kind contributions				
Co-financing*				
Co-financing cash contribution				
Co-financing in-kind contribution				
Sub-total: Co-financing contributions				
Total	500,000			

*Funding from a donor to a partner which is not received into UN Environment accounts, but is used by a UN Environment partner or collaborating centre to deliver the results in a UN Environment – approved project.

VIII. Table 9: Expenditure by Outcome/Output

Component/sub-component/output	Estimated cost at design	Actual Cost/ expenditure
All figures as USD		
1. National information exchange, capacity building and knowledge generation	69,500	2,302.64
2. Establishment of Coordination Mechanism and organisation of process	21,500	21,500
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury use and practices	237,046	239,147.68
4. Develop, endorse, and submit to the Minamata Convention Secretariat a NAP on ASGM	101,500	17,134.72
Project Management	45,454	45,454
Monitoring and Evaluation	25,000	24,500

ANNEX IV. FINANCIAL MANAGEMENT

Table 10: Financial Management Table

Financial management components:		Rating	Evidence/ Comments
1. Adherence to UNEP's policies and procedures:		Satisfactory	
Any evidence that indicates shortcomings in the project's adherence ⁸ to UNEP or donor policies, procedures, or rules		No	Project's overdraft in Jan 2019 because of unawareness of financial/admin procedures. Issue resolved in Feb 2019
2. Completeness of project financial information⁹:			
Provision of key documents to the reviewer (based on the responses to A-H below)		Highly Satisfactory	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	Overall budget by activity at design available
B.	Revisions to the budget	Yes	All 3 budget revisions available
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	Yes	Original PCA and extensions available
D.	Proof of fund transfers	Yes	Proof of funds transfers available
E.	Proof of co-financing (cash and in-kind)	N/A	
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	Summary report by budget lines and annual level. Expenditures by project component not included in the report format
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	Yes	Independent audit report available
H.	Any other financial information that was required for this project (list):	N/A	
3. Communication between finance and project management staff		Highly Satisfactory	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		Highly Satisfactory	Interviews with Task manager, Programme Budget Officer, Project Coordinator
Fund Management Officer's knowledge of project progress/status when disbursements are done.		Highly Satisfactory	Interviews with Task manager, Programme Budget Officer, Project Coordinator
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		Satisfactory	Interviews with Task manager, Programme Budget Officer, Project Coordinator
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		Satisfactory	Interviews with Task manager, Programme Budget Officer, Project Coordinator
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the review process		Highly Satisfactory	Interviews with Task manager, Programme Budget Officer, Project Coordinator
Overall rating			Highly Satisfactory

⁸ If the review raises concerns over adherence with policies or standard procedures, a recommendation maybe given to cover the topic in an upcoming audit, or similar financial oversight exercise.

⁹ See also document 'Criterion Rating Description' for reference

ANNEX V. BRIEF CV OF THE REVIEWER

Yolanda Cachu Pavon

Profession	Consultant
Nationality	Mexican
Country experience	<ul style="list-style-type: none">• Europe: Austria, Germany, UK• Africa: Kenya, Mozambique, Senegal, Tanzania, The Gambia• Americas: Mexico, Honduras, USA, Brazil
Education	<ul style="list-style-type: none">• PhD Biological Science• BSc Biology

Short biography

Ms Yolanda Cachu has more than 8 years' experience in project development, execution and management. After completing her PhD in Biological Science at Lancaster University, UK, and Post-Doctoral research at Stanford University, USA, she worked for the United Nations Industrial Development Organization (UNIDO) on MDGF and GEF projects in Latin America and Africa. Ms. Cachu joined UN Environment in 2021 as a Consultant in the GEF Chemicals and Waste Unit, Economy Division.

ANNEX VI. REVIEW TORS (WITHOUT ANNEXES)

TERMS OF REFERENCE

**Terminal Review of the UNEP/GEF project
“Development of National Action Plans for Artisanal and Small Scale Gold Mining
in Paraguay” and “GEF ID 9350”**

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

UNEP Sub-programme:	5	UNEP Division/Branch:	Economy/Chemicals and Health
Expected Accomplishment(s):	5(a) PoW 2016-2017 - countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements”.	Programme of Work Output(s):	(2) Secretariat support provided to the INC to prepare the Minamata Convention on Mercury during the interim period, prior to its entry into force.
SDG(s) and indicator(s)	12.4.1: number of parties to international multilateral environmental agreements on hazardous waste, and other chemicals that meet their commitments and obligations in transmitting information as required by each relevant agreement.		
GEF Core Indicator Targets (identify these for projects approved prior to GEF-7)	n/a		
Dates of previous project phases:	n/a	Status of future project phases:	n/a

Project Title:	Development of National Action Plans for Artisanal and Small Scale Gold Mining in Paraguay
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Executing Agency:	Ministry of Environment
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Project partners:	Global Mercury Partnership
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Geographical Scope:	Latin America and Caribbean
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Participating Countries:	Paraguay
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GEF project ID:	9350	IMIS number*¹⁰:	n/a
Focal Area(s):	Chemicals and Wastes	GEF OP #:	2
GEF Strategic Priority/Objective:	Goal 1 “develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes”	GEF approval date*:	03/02/2016
UNEP approval date:	15/02/2016	Date of first disbursement*:	28/11/2016
Actual start date¹¹:	28/11/2016	Planned duration:	24 months
Intended completion date*:	28/11/2018	Actual or Expected completion date:	31 Jan 21
Project Type:	Enabling Activity	GEF Allocation*:	\$500,000
PPG GEF cost*:	n/a	PPG co-financing*:	n/a
Expected MSP/FSP Co-financing*:	n/a	Total Cost*:	\$500,000
Mid-term Review/eval. (planned date):	n/a	Terminal Evaluation (planned date):	Q2 2021
Mid-term Review/eval. (actual date):	n/a	No. of revisions*:	1
Date of last Steering Committee meeting:	n/a	Date of last Revision*:	19 Dec 20
Disbursement as of 31 December 2020*:	\$412,218.67	Date of planned financial closure*:	31 Jul 21
Date of planned completion¹²*:	31 Jan 21	Actual expenditures reported as of 31 December 2020	\$393,756.06
Total co-financing realized as of 31 December [year]:	n/a	Actual expenditures entered in IMIS as of 31 December 2020:	\$393,756.06
Leveraged financing:¹³	n/a		

2. Project rationale¹⁴

¹⁰ Fields with an * sign (in yellow) should be filled by the Fund Management Officer

¹¹ Only if different from first disbursement date, e.g., in cases where a long time elapsed between first disbursement and recruitment of project manager.

¹² If there was a “Completion Revision” please use the date of the revision.

¹³ See above note on co-financing

¹⁴ Grey = Info to be added

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 Convention¹⁵. It identifies two entities that will function as the Financial Mechanism:

1. The Global Environment Facility Trust Fund (GEF), and;
2. A Specific International Programme to support capacity-building and technical assistance.

The GEF has been strongly committed to support the ratification and further implementation of the Minamata Convention on Mercury since GEF-5 (2009-2013). The GEF-5 strategy contained a pilot program on mercury to accompany the negotiations of the Minamata Convention. An amount of \$15 million was set aside in GEF-5 to fund projects aimed at reducing mercury use, emissions and exposure; improving data and scientific information at the national level and enhancing capacity for mercury storage; and address waste and contaminated sites¹⁶. The gap between signature at end of 2013 and the start of GEF-6 in 2014 was considered a crucial period for countries to determine the feasibility of accepting or ratifying the convention after signature. Accordingly, the GEF Council agreed to invest up to \$10 million to help countries with initial assessments of the mercury situation in their countries.

In GEF-6 the GEF programmed additional \$30 million for countries to develop Minamata Initial Assessments and ASGM Action Plans¹⁷.

The GEF Secretariat in consultation with the Interim Secretariat of the Minamata Convention was tasked to develop initial guidelines for enabling activities and pre-ratification projects. The initial guidelines were presented as an information document at the 45th Council Meeting and revised by the Intergovernmental Negotiating Committee 6 (GEF/C.45/Inf.05/Rev.01). This document was complemented by the "Guidance document on the preparation of national action plans for artisanal and small-scale gold mining"¹⁸, adopted by the Conference of the Parties (COP) (decision MC-1/13).

Paraguay signed the Minamata Convention on 10th February 2014. On 17th June 2015, the GEF Operational Focal Point of Paraguay endorsed the development of an ASGM National Action Plan with UNEP as Implementing Agency. On 29th July 2015 the SAICM National Focal Point notified the Interim Secretariat of the Minamata Convention on Mercury, in accordance with article 07 of the Minamata Convention, that artisanal and small-scale gold mining and processing was more than insignificant within its territory. On 26th June 2018 Paraguay ratified the Minamata Convention.

The project was developed based on the guidelines for the development of ASGM National Action Plans approved by the Minamata COP. The GEF Chief Executive Officer endorsed the project on 3rd February 2016 as part of GEF's efforts to achieve the objectives of its Chemicals and Waste Focal Area Strategy, in particular goal 1 "develop the enabling conditions, tools and environment for the sound management of harmful chemicals and wastes"; program 2 "support enabling activities and promote their integration into national budgets and planning processes, national and sector policies and actions and global monitoring".

The project also contributed to achieve UNEP's Programme of Work for 2016-2017 through its expected accomplishment A under subprogramme 5 chemicals and waste.

The project was aimed at facilitating the use of scientific and technical knowledge and tools by national stakeholders in Paraguay to develop the ASGM National Action Plans. The future implementation of the ASGM National Action Plan will contribute to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing.

3. Project Results Framework

¹⁵ Text of the global legally binding instrument on mercury agreed by the Intergovernmental Negotiating Committee on its 5th session in January 2013. The text was adopted and opened for signature at the Diplomatic Conference held in Minamata and Kumamoto, Japan in October 2013.

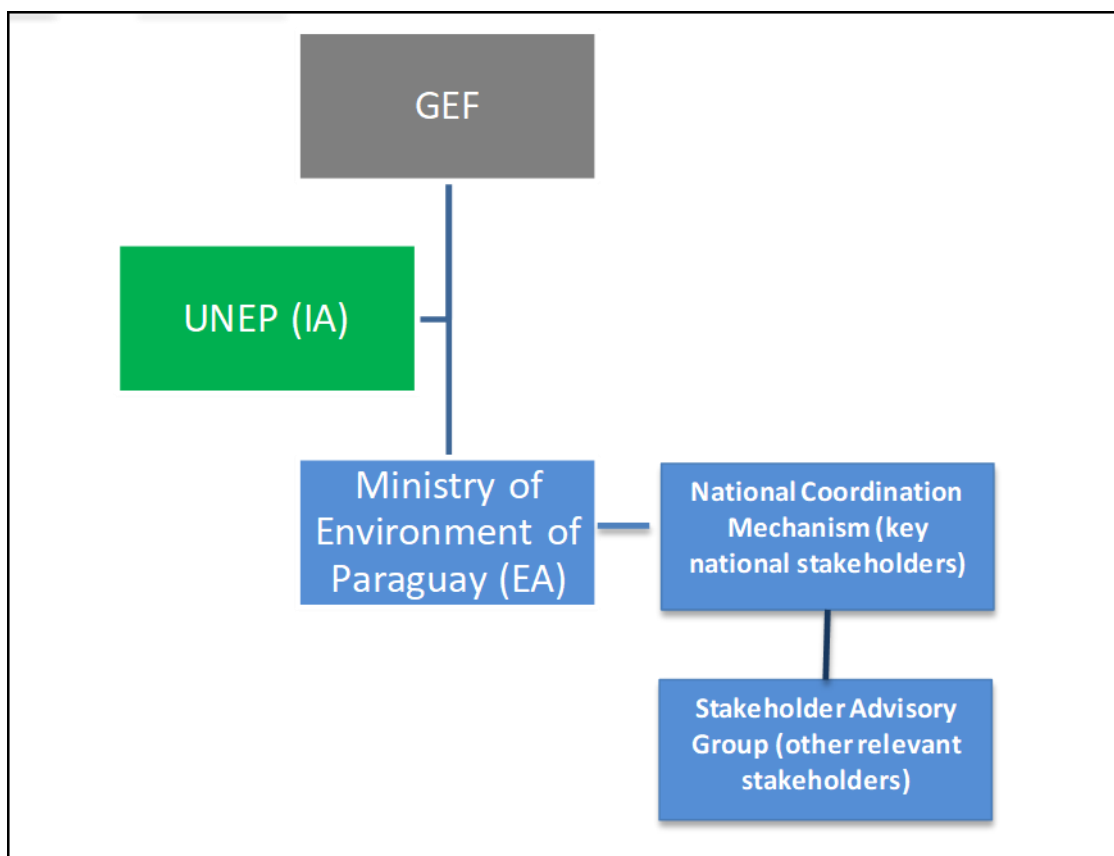
¹⁶ Strategy for the pilot is presented in the document GEF/C.39/Inf.09

¹⁷ UNEP/MC/COP.2/INF/3

¹⁸ UNEP/MC/COP.1/17

Project Objective: Development of National Action Plans to reduce the use of mercury and mercury compounds in, and the emissions and releases to the environment of mercury from, artisanal and small-scale gold mining and processing is facilitated by the use of scientific and technical knowledge and tools by national stakeholders in Paraguay.				
Project Component	Project Outcomes	Project Outputs	(in \$)	
			GEF Project Financing	Confirmed Co-financing ²
1. National information exchange, capacity building and knowledge generation	Enhanced communication, support and training facilitate the development of the NAP and build the basis for future cooperation for the NAP implementation	Capacity building provided, information exchange undertaken, lessons learned and good practices identified at national level	69,500	0
2. Establishment of Coordination Mechanism and organisation of process	Paraguay make full use of strengthened national coordination mechanism to guide the NAP development	Technical support provided for the establishment of National Coordination Mechanism and organization of process for the development of the NAP	21,500	0
3. Develop a national overview of the ASGM sector, including baseline estimates of mercury uses and practices	Full understanding of comprehensive information of the national ASGM sector enables Paraguay to develop NAP in compliance with the Minamata Convention	Paraguay has a comprehensive national overview of the ASGM sector, including baseline estimates of mercury uses and practices	237,046	0
4. Develop, endorse and submit to the Minamata Convention Secretariat a NAP on	Paraguay has a NAP in compliance with Annex C of the Minamata Convention to guide its	Paraguay has a NAP compliant with Annex C of the Minamata Convention developed, endorsed and	101,500	0
	the reduction of mercury emissions and releases from this sector	Minamata Secretariat		
Subtotal			429,546	0
Project Management Cost ³			45,454	0
Monitoring and Evaluation			25,000	0
Total Project Cost			500,000	0

4. Executing Arrangements



5. Project Cost and Financing

Project Components	Original Budget	Budget Rev 1	Expenditures as of 6th May 2020
Component 1	\$70,000.00	\$60,204.00	\$56,203.64
Component 2	\$16,332.02	\$16,332.02	\$15,324.38
Component 3	\$240,413.98	\$258,246.35	\$211,476.06
Component 4	\$102,800.00	\$79,763.63	\$17,134.72
Project Management	\$45,454.00	\$55,454.00	\$45,454.00
M&E	\$25,000.00	\$30,000.00	\$4,655.49
Total	\$500,000.00	\$500,000.00	\$350,248.29

6. Implementation Issues

Initially the project was delayed due to the unexpected renouncement of the initially selected person and the executing agency had problems receiving the 1st cash advance since November 2016. These problems were both solved in March 2017. Later, activities were delayed by the COVID-19 pandemic.

Section 2. OBJECTIVE AND SCOPE OF THE REVIEW

7. Objective of the Review

In line with the UNEP Evaluation Policy¹⁹ and the UNEP Programme Manual²⁰, 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 through results and lessons learned among UNEP and the global

¹⁹ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

²⁰ <https://wecollaborate.unep.org>

mercury partnership. Therefore, the Review will identify lessons of operational relevance for future project formulation and implementation.

8. Key Evaluation principles²¹

Evaluation findings and judgements will 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 in the future, particular attention will 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 (i.e. what contributed to the achievement of the project’s results). This should provide the basis for the lessons that can be drawn from the project.

Attribution, Contribution and Credible Association: In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

Communicating Review results. A key aim of the Review is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the 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.

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 UNEP and to which the project is believed to be able to make a substantive contribution: Also included are five questions that are required when reporting in the GEF Portal and these must be addressed in the TR:

Q1: Has the project facilitated the early implementation of the Minamata Convention?

Q3: Are national stakeholders aware of their obligations under the Convention?

Q4: What changes were made to adapt to the effects of COVID-19 and how might any changes affect the project’s performance?

Address the questions required for the GEF Portal in the appropriate parts of the report and provide a **summary of the findings in the Conclusions section of the report:**

²¹ The term Review Consultant is used in the singular throughout these Terms of Reference and can be taken to refer to consultants in cases where a Review Team is formed.

- a) Under Monitoring and Reporting/Monitoring of Project Implementation:
What was the performance at the project's-completion against Core Indicator Targets? *(For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided).*
- b) Under Factors Affecting Performance/Stakeholder Participation and Cooperation:
What were the progress, challenges and outcomes regarding engagement of stakeholders in the project/program as evolved from the time of the MTR? *(This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval)*
- c) Under Factors Affecting Performance/Responsiveness to Human Rights and Gender Equality:
What were the completed gender-responsive measures and, if applicable, actual gender result areas? *(This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent)*
- d) Under Factors Affecting Performance/Environmental and Social Safeguards:
What was the progress made in the implementation of the management measures against the Safeguards Plan submitted at CEO Approval? The risk classifications reported in the latest PIR report should be verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. *(Any supporting documents gathered by the Consultant during this review should be shared with the Task Manager for uploading in the GEF Portal)*
- e) Under Factors Affecting Performance/Communication and Public Awareness:
What were the challenges and outcomes regarding the project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions? *(This should be based on the documentation approved at CEO Endorsement/Approval)*

10. Evaluation Criteria

All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. 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 delivery 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.

Annex 1 of these Terms of Reference provides a table with links to various tools, templates and guidelines that can help Reviewer to follow the approach taken by UNEP Evaluation Office in its evaluation work. These links include one to a table for recording the ratings by criteria and an excel file determining the overall project performance rating (using a weighted averaging approach). There is also a matrix that provides guidance on how to set the ratings level (at which point on the 6-point scale) for each evaluation criterion. Please contact Cecilia Morales (cecilia.morales@un.org) if any of these links do not work.

A. Strategic Relevance

The Review will assess 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 UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval, as well as each country's UNDAF. 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 UNEP's Medium Term Strategy²² (MTS), Programme of Work (POW) and Strategic Priorities*

²²UN 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

The Review should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building²³ (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.

ii. *Alignment to Donor/Partner Strategic Priorities*

Donor strategic priorities will vary across interventions. The Review will assess the extent to which the project is suited to, or responding to, donor priorities. In some cases, alignment with donor priorities may be a fundamental part of project design and grant approval processes while in others, for example, instances of 'softly-earmarked' funding, such alignment may be more of an assumption that should be assessed.

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

The Review will assess the alignment of the project with global priorities such as the SDGs and Agenda 2030. 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 will be considered. Examples may include: UN Development Assistance Frameworks (UNDAF) or, national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc. Within this section consideration will be given to whether the needs of all beneficiary groups are being met and reflects the current policy priority to leave no-one behind.

iv. *Complementarity with Existing Interventions/Coherence²⁴*

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization²⁵, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP -programmes, or being implemented by other agencies within the same country, sector or institution) 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 work within UNDAFs or One UN programming. Linkages with other interventions should be described and instances where UNEP'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
- 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 (www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/templates-and-tools). The complete Project Design Quality template should be annexed in the Inception Report. Later, the overall Project Design Quality rating should be entered within the ratings

outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

²³ <http://www.unep.fr/ozonaction/about/bsp.htm>

²⁴ This sub-category is consistent with the new criterion of 'Coherence' introduced by the OECD-DAC in 2019.

²⁵ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

table (as item B) in the Main Review Report and a summary of the project's strengths and weaknesses at design stage should be included in the Executive Summary of the Main Review Report. (Guidance on the Structure and Content of an Inception Report and Main Review Report is given in the materials listed in Annex 1 of these Terms of Reference).

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

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 upheaval²⁶). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an *Unfavourable* or *Highly Unfavourable* external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability 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

Availability of Outputs²⁷

The Review will assess the project's success in producing the programmed outputs 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, reformulations may be necessary in the reconstruction of the Theory of Change (TOC). In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their provision. It is noted that emphasis is placed on the performance of those outputs that are most important to achieve outcomes. The Review will briefly explain the reasons behind the success or shortcomings of the project in making its programmed outputs available and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision²⁸

i. Achievement of Project Outcomes²⁹

The achievement of project outcomes is assessed as performance against the outcomes as defined in the reconstructed³⁰ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. Emphasis is placed on the

²⁶ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

²⁷ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

²⁸ For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping provided by UNEP, as Implementing Agency.

²⁹ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

³⁰ 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.

achievement of project outcomes that are most important for attaining intermediate states. As with outputs, a table can be used to show where substantive amendments to the formulation of project outcomes in the ProDoc is necessary to allow for an assessment of performance. The Review should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

ii. Likelihood of Impact

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project 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-lasting impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from project 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 (e.g. will vulnerable groups such as those living with disabilities and/or women and children, be disproportionately affected by the project?). Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental and Social Safeguards.

The Review will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication³¹ as part of its Theory of Change and as factors that are likely to contribute to long-lasting impact.

Ultimately UNEP 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 evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals, and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partner(s).

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project

³¹ *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.

of funds secured from all donors. This expenditure will be reported, where possible, at output/component level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP'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. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project 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.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

Under the efficiency criterion the Review will assess the extent to which the project delivered maximum results from the given resources. This will include an assessment of 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 made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities³² with other initiatives, programmes and projects etc. to increase project efficiency.

The factors underpinning the need for any project extensions will also be explored and discussed. Consultants should note that as management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to UNEP and Executing Agencies.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART³³ results towards the achievement of the project's outputs and outcomes, including at a level disaggregated by gender, marginalisation or vulnerability, including those living with disabilities. In

³² Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

³³ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

particular, the evaluation will assess the relevance and appropriateness of the project indicators as well as the methods used for tracking progress against them as part of conscious results-based management. 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 evaluation/review should be discussed, where 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. This assessment will include consideration of whether the project gathered relevant and good quality baseline data that is accurately and appropriately documented. This should include monitoring the representation and participation of disaggregated groups, including gendered, marginalised or vulnerable groups, such as those living with disabilities, in project activities. It will also consider the quality of the information generated by the monitoring system during project implementation and how it 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.

The performance at project completion against Core Indicator Targets should be reviewed. For projects approved prior to GEF-7, these indicators will be identified retrospectively and comments on performance provided.

iii. Project Reporting

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Review Consultant(s) by the Task Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The review will assess the extent to which both UNEP and GEF reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g. disaggregated indicators and data)

H. Sustainability

Sustainability³⁴ is understood as the probability of the benefits derived from the achievement of project 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 endurance of achieved project outcomes (ie. 'assumptions' and 'drivers'). 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 the benefits derived from project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project

³⁴ As used here, 'sustainability' means the long-term maintenance of outcomes and consequent impacts, whether environmental or not. This is distinct from the concept of sustainability in the terms 'environmental sustainability' or 'sustainable development', which imply 'not living beyond our means' or 'not diminishing global environmental benefits' (GEF STAP Paper, 2019, Achieving More Enduring Outcomes from GEF Investment)

achievements forwards. In particular the review will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

Some project outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to sustain the benefit from projects outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other project 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 project outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

The Review will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) 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. In particular, the Review will consider whether institutional capacity development efforts are likely to be sustained.

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
- Country ownership and driven-ness

I. Factors Affecting Project Performance and Cross-Cutting Issues

(These factors are rated in the ratings table but are discussed within the Main Review Report as cross-cutting themes as appropriate under the other evaluation criteria, above. If these issues have not been addressed under the Evaluation Criteria above, then independent summaries of their status within the reviewed project should be given in this section.)

i. Preparation and Readiness

This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). 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 included in the template for the assessment of Project Design Quality).*

ii. Quality of Project Management and Supervision

For GEF funded projects 'project management and supervision' will refer to the project management performance of the Executing Agency and the technical backstopping and supervision provided by UNEP as 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.); maintaining project relevance within changing external and strategic contexts; communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive 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, target users of project outputs and any other collaborating agents external to UNEP. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise. The inclusion and participation of all differentiated groups, including gender groups should be considered.

The progress, challenges and outcomes regarding engagement of stakeholders in the project/program occurring since the MTR should be reviewed. This should be based on the description included in the Stakeholder Engagement Plan or equivalent documentation submitted at CEO Endorsement/Approval.

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 UNEP's Policy and Strategy for Gender Equality and the Environment³⁵.

In particular the review will consider to what extent project implementation and monitoring have taken into consideration: (i) possible inequalities (especially those related to gender) in access to, and the control over, natural resources; (ii) specific vulnerabilities of disadvantaged groups (especially women, youth and children) to environmental degradation or disasters; and (iii) the role of disadvantaged groups (especially women, youth and children and those living with disabilities) in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

The completed gender-responsive measures and, if applicable, actual gender result areas should be reviewed. This should be based on the documentation at CEO Endorsement/Approval, including gender-sensitive indicators contained in the project results framework or gender action plan or equivalent.

v. Environmental and Social Safeguards

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening at the project approval stage, risk assessment and management (avoidance, minimization, mitigation or, in exceptional cases, offsetting) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements³⁶ were met to: *review* risk ratings on a regular basis; *monitor* project implementation for possible safeguard issues; *respond* (where relevant) to safeguard issues through risk avoidance, minimization, mitigation or offsetting and *report* on the implementation of safeguard management measures taken. UNEP requirements for proposed projects to be screened for any safeguarding issues; for sound environmental and social risk assessments to be conducted and initial risk ratings to be assigned are evaluated above under Quality of Project Design).

The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

Implementation of the management measures against the Safeguards Plan submitted at CEO Approval should be reviewed, the risk classifications verified and the findings of the effectiveness of any measures or lessons learned taken to address identified risks assessed. Any supporting documents gathered by the Consultant should be shared with the Task Manager.

³⁵The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time. https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/-Gender_equality_and_the_environment_Policy_and_strategy-2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

³⁶ For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

vi. Country Ownership and Driven-ness

The Review will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, i.e. either: a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. 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 (e.g. representatives from multiple sectors or relevant ministries beyond Ministry of Environment). 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. Ownership should extend to all gender and marginalised groups.

vii. 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 gendered or 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

The project's completed Knowledge Management Approach, including: Knowledge and Learning Deliverables (e.g. website/platform development); Knowledge Products/Events; Communication Strategy; Lessons Learned and Good Practice; Adaptive Management Actions should be reviewed. This should be based on the documentation approved at CEO Endorsement/Approval.

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 desk review of:

- a. Relevant background documentation, inter alia GEF Guidance documents for NAPs, Minamata Convention on Mercury and official guidance adopted at COP1
- b. 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;
- c. 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.;
- d. Project deliverables (e.g. publications, assessments etc): NAP, key meeting reports
- e. Evaluations/reviews of similar projects.

- (a) **Interviews** (individual or in group) with:

- f. UNEP Task Manager (TM);
- g. Project Manager (PM) and project management team;
- h. UNEP Fund Management Officer (FMO);
- i. Portfolio Manager and Sub-Programme Coordinator, where appropriate;
- j. Global Mercury Partnership
- k. Project partners, to be confirmed by the Ministry and crossed-checked with TM
- l. Relevant resource persons;
- Representatives from civil society and specialist groups (such as women's, farmers and trade associations etc).

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 stand-alone document; detailed analysis of the review findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

An **Evaluation Brief** (a 2-page overview of the evaluation and evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Task Manager no later than during the finalization of the Inception Report.

Review of the draft review report. The Review Consultant 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 Consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

The final version of the Terminal Review report will be assessed for its quality by the UNEP Evaluation Office using a standard template and this assessment will be annexed to the final Terminal Review report.

At the end of the review process, the Task Manager will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals, and circulate the **Lessons Learned**.

12. The Review Consultant

The Review Consultant will work under the overall responsibility of the Task Manager, Ludovic Bernaudat, in consultation with the Fund Management Officer, Anuradha Shenoy, the Portfolio Manager, Kevin Helps, and the Sub-programme Coordinators, Tessa Govern.

The consultant will liaise with the Task Manager on any procedural and methodological matters related to the Review. It is, however, the consultant's 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 UNEP 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 Review Consultant will be hired as per cover TORs.

The Review Consultant will be responsible, in close consultation with the Task Manager, for overall quality 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.

13. Schedule of the review

The table below presents the tentative schedule for the review.

Table 3. Tentative schedule for the Review

Milestone	Tentative dates
Inception Report	30 April 2021
Review Mission	n/a
Telephone interviews, surveys etc.	31 May 2021
Powerpoint/presentation on preliminary findings and recommendations	15 June 2021
Draft Review Report to Task Manager (and Project Manager)	20 June 2021
Draft Review Report shared with UNEP colleagues	30 June 2021
Draft Review Report shared with wider group of stakeholders	30 June 2021
Final Review Report	31 July 2021
Final Review Report shared with all respondents	31 July 2021

14. Contractual Arrangements

Review Consultants will be selected and recruited by the Task Manager under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UNEP/UNON, the consultant certifies that they have not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, they will not have any future interests (within six months after completion of the contract) with the project’s executing or implementing units. All consultants are required to sign the Code of Conduct Agreement Form.

Fees will be paid on an instalment basis, paid on acceptance and approval by the Task Manager of expected key deliverables. The schedule of payment is as follows:

Schedule of Payment for the consultant:

Deliverable	Percentage Payment
Approved Inception Report	30%
Approved Draft Main Review Report	30%
Approved Final Main Review Report	40%

Fees only contracts: Air tickets will be purchased by UNEP and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Task Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The consultant may be provided with access to UNEP’s information management system and, if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the Review report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by UNEP, payment may be withheld at the discretion of

the Portfolio Manager until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultant fails to submit a satisfactory final product to UNEP in a timely manner, i.e. before the end date of their contract, UNEP reserves the right to employ additional human resources to finalize the report, and to reduce the consultant's fees by an amount equal to the additional costs borne by the project team to bring the report up to standard.

ANNEX VII. QUALITY ASSESSMENT OF THE REVIEW REPORT

Evaluation office to insert