
**Terminal Evaluation of the UN Environment Project
“Capacity Strengthening and Technical Assistance for the Implementation of
Stockholm Convention National Implementation Plans (NIPs)
in African Least Developed Countries (LCDs) of the
COMESA, SADC and ECOWAS Sub-regions”**

FINAL REPORT



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Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the COMESA, SADC and ECOWAS Sub-regions
GEF IDs 3968; 3942; 3969
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List of acronyms and abbreviations

ACP	African Caribbean and Pacific Group States Secretariat
AMCEN	African Ministerial Conference on the Environment
ASP	Africa Stockpiles Programme
BAT/BEP	Best Available Technologies/Best Environmental Practices
BCRCC	Basel Convention Regional Coordinating Centre – Nigeria
BSCR-C-Senegal	Basel and Stockholm Convention Regional Centre – Senegal
CIEN	Chemicals Information Exchange Network
CILSS	Permanent Interstate Committee for drought control in the Sahel
COMESA	Common Market for Eastern and Southern Africa
DRC	Democratic Republic of Congo
EA	Executing Agency
EAC	East African Community
EC	European Commission
ECOWAS	Economic Community of West African States
FAO	Food and Agricultural Organization of the United Nations
FSP	GEF Full Sized Project
GCCH	Green Cross Switzerland
GEF	Global Environment Facility
IM	Implementing Agency
LDCs	Least Developed Countries
KEMI	Swedish Chemicals Agency
MEAs	Multilateral Environmental Agreements
M&E	Monitoring and Evaluation
MTR	Mid-Term Review
NGOs	Non-Governmental Organizations
NCC	National Coordination Committee
NIP	National Implementation Plan
PAN-Africa	Pesticide Action Network for Africa based in Dakar, Senegal
PCB	Project Coordination Body or polychlorinated biphenyls (depending on context)
PELUM	Participatory Ecological Land Use Management (PELUM) Association
POPs	Persistent Organic Pollutants
PSC	Project Steering Committee
PSMS	FAO's Pesticide Stock Management System for recording pesticide inventories and developing prioritized safeguarding and disposal strategies
RECs	Regional Economic Communities
ROtI	Review of Outcome to Impact
SADC	Southern African Development Community
SMOC	Sustainable Management of Chemicals
TORs	Terms of Reference
UN	United Nations
UNDP	United Nations Development Programme

UNEP	United Nations Environment Programme
UNEP-ROA	United Nations Environment Programme – Regional Office for Africa
UNIDO	United Nations Industrial Development Organization
USD	United States Dollar
uPOPS	Unintentionally Produced Persistent Organic Pollutants
WHO	World Health Organization
WWF	World Wide Fund for Nature
WWF-ROA	World Wide Fund for Nature – Regional Office for Africa (formerly Eastern and Southern Africa Regional Office)

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Evaluation Consultants:

Cristóbal Vignal – Graduated from the universities of Baja California (Marine Sciences), Marseille (Oceanography) and Bordeaux (Tropical Geography). His thesis (DEA) on remote sensing applied to coastal oceanography, demonstrated the impact of paleo-climate on coastal zones. Mr Vignal acquired, as part of advanced studies in oceanography, in depth training in fluid mechanics, meteorology, earth sciences, chemistry, physics and geology. He is enjoying over 25 years of experience at senior level as manager, advisor, principal specialist, expert and evaluator both with the UN, and as independent advisor and senior consultant.

Expertise includes planning, development, coordination and management of complex, multidisciplinary projects and programmes, monitoring and evaluation of results, and organizational design in the fields of ozone layer protection (Montreal Protocol), hazardous waste management (Basel Convention), POPs controlled under the Stockholm Convention and SAICM, renewable energy and energy efficiency and also, and to a lesser degree, biodiversity, climate change (Kyoto), private sector development, trade and agro-projects.

Richard Thompson – Following graduating in Natural Sciences at Cambridge University in the UK, Richard Thompson spent twenty-eight years in technical and managerial roles in the hazardous waste management industry, which included some of the first international contracts for the safeguarding and disposal of obsolete pesticides. In 2003 he transferred to the Food and Agriculture Organization of the United Nations to support its obsolete pesticides programme. He was involved in developing, supporting and supervising projects for the prevention and disposal of POPs and obsolete pesticides in Africa, Asia, Pacific and Caribbean. Since 2017 he has been an independent evaluator.

Evaluation Team

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ABOUT THE EVALUATION¹

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluation

Brief Description: This report is a Terminal Evaluation of three UN Environment-GEF Projects designed and implemented between 2010 and 2017. The overall development goal of these Projects was to strengthen capacities for environmentally sound management of chemicals (SMOC) controlled under the Stockholm Convention (SC) in the Least Developed Countries (LDCs) and Small Island Developing States (SIDS) in the sub-regions. The evaluation 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 evaluation 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 UN Environment, the GEF and their executing partners – the WWF Regional Office for Africa based in Nairobi, the Basel and Stockholm Convention Regional Centre in Senegal (BSCRC-Senegal) and Green Cross Switzerland (GCCH), and the relevant agencies of the Project participating countries.

Key words: Sound Management of Chemicals; SMOC; Small Island Developing States; SIDS; Small Islands; Governance; Project Evaluation; Terminal Evaluation; TE; GEF; GEF Project; Persistent Organic Pollutants; POPs; POP; Africa; AFLDC; Africa Least Developed Countries; LDC; COMESA; SADC; ECOWAS

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

Project Identification Tables

Table 1: COMESA Project Summary – GEF ID 3968

UN Environment approval date:	26 July 2011	Executing Agency:	WWF Eastern and Southern Africa Programme (Kenya)	
GEF Project ID:	3968	Project type:	Full-size Project (GEF)	
GEF Operational Programme #:	GEF-4	Focal Area(s):	POPs	
GEF approval date:	14 April 2011	GEF Strategic Priority:	POPs 1	
Expected start date:	August 2011	Actual start date:	August 2011	
Planned completion date:	July 2016	Actual completion date:	Expected mid 2018	
Planned Project budget at approval:	5,079,022 USD	Actual total expenditures reported as 30 June 2017:	1,480,790.33 USD	
GEF grant allocation:	2,500,000	GEF grant expenditures reported as of 30 June 2017	1,420,790.33 USD	
Project Preparation Grant - GEF financing:	70 000 USD ²	Project Preparation Grant - co-financing:	Information not provided	
Expected Medium-Size Project/Full-Size Project co-financing:	2,579,022 USD (Total) 1,659,022 USD (in-kind) 920,000 USD (cash)	Secured Medium-Size Project/Full-Size Project co-financing:	60,000 USD (total) 60,000 USD (cash) Zero (in-kind)	
First disbursement:	5 August 2011	Date of financial closure:	Expected September 2018	
No. of revisions:	3	Date of last revision:	22 July 2016	
No. of Steering Committee meetings:	9	Date of last/next Steering Committee meeting:	Last: June 2017	Next: NA
Mid-term Review/ Evaluation (planned date):	Mid-project	Mid-term Review (actual date):	Review conducted (2016)	

² As per CEO endorsement.

Terminal Evaluation (planned date):	At project end	Terminal Evaluation (actual date):	December 2017
Coverage - Country(ies):	Burundi, Djibouti, D.R. Congo, Ethiopia, Rwanda, Sudan, Uganda, Comoros ³	Coverage - Region(s):	Africa (COMESA)
Dates of previous Project phases:	NIPs for POPs projects	Status of future Project phases:	The UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives ⁴

Table 2: ECOWAS Project Summary – GEF ID 3969

UN Environment approval date:	9 Aug 2011	Executing Agency:	Basel and Stockholm Convention Regional Centre, Senegal (BSCRC), Green Cross Switzerland (GCCH)
GEF Project ID:	3969	Project type:	Full-Size Project (GEF)
GEF Operational Programme #:	GEF 5	Focal Area(s):	POPs
GEF approval date:	13 April 2011	GEF Strategic Priority:	SP 1
Expected start date:	August 2011	Actual start date:	1 August 2011
Planned completion date:	31 July 2016	Actual completion date:	Expected mid 2018
Planned Project budget at approval:	8,858,549 USD	Actual total expenditures reported as of June 2017:	3,670,205.12 (total)
GEF grant allocation:	4,000,0000 USD	GEF grant expenditures reported as of 30 June 2017	2,264,898.12 USD
Project Preparation Grant - GEF financing:	TBC	Project Preparation Grant - co-financing:	188,400.66 USD

³ Mentioned in the ProDoc but not listed as a project country.

⁴ Although there are no direct follow-on projects planned, the UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives to reduce the risks of chemicals to the environment and public health. Together with the GEF 5 regional projects on PCB and Alternatives to DDT, it benefited from the LDC projects in terms of improved design and better supervision.

Expected Full-Size Project co-financing:	1,395,000 USD (Cash) 3,463,549 USD (in-kind)	Secured Full-Size Project co-financing:	zero USD (Cash) 1,405,307 USD (in-kind)
First disbursement:	17 August 2011	Date of financial closure:	Expected September 2018
No. of revisions:	1 ⁵	Date of last revision:	9 September 2016
No. of Steering Committee meetings:	7	Date of last/next Steering Committee meeting:	Last: June 2017 Next: NA
Mid-term Review/ Evaluation (planned date):	Mid project	Mid-term Review(actual date):	Review conducted (2016)
Terminal Evaluation (planned date):	End of project	Terminal Evaluation (actual date):	December 2017
Coverage - Country(ies):	Benin, Burkina Faso, Gambia, Cape Verde, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Senegal, Sierra Leone, Togo AND Chad, Mauritania, Sao Tome and Principe and the Central African Republic	Coverage - Region(s):	Africa (ECOWAS)
Dates of previous Project phases:	NIPs for POPs project	Status of future Project phases:	The UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives ⁶

⁵Based on UN Environment document filing as at 31 December 2017. A second revision was undertaken on 16 February 2018 after the completion of the Terminal Evaluation. The expected scope of this second revision is discussed in this report

⁶ Although there are no direct follow-on projects planned, the UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives to reduce the risks of chemicals to the environment and public health. Together with the GEF 5 regional projects on PCB and Alternatives to DDT, it benefited from the LDC projects in terms of improved design and better supervision.

Table 3: SADC Project Summary – GEF ID 3942

UN Environment approval date:	26 July 2011	Executing Agency:	WWF Eastern and Southern Africa Programme (in Kenya)	
GEF Project ID:	3942	Project type:	Full-size Project	
GEF Operational Programme #:	GEF-4	Focal Area(s):	POPs	
GEF approval date:	16 March 2011	GEF Strategic Priority:	POPs 1	
Expected start date:	August 2011	Actual start date:	August 2011	
Planned completion date:	January 2016	Actual completion date:	Expected mid 2018	
Planned Project budget at approval:	3,091,885 USD	Actual total expenditures reported as of June 2017:	1,128,489.26USD	
GEF grant allocation:	1,500,000	GEF grant expenditures reported as of June 2017:	1,098,489.26 USD	
Project Preparation Grant - GEF financing:	60,000 USD ⁷	Project Preparation Grant - co-financing:	Information not provided	
Expected Full-Size Project co-financing:	590,000 USD (Cash) 1,001,885 USD (In-kind)	Secured Full-Size Project co-financing:	30,000 USD cash Zero in-kind	
First disbursement:	5 August 2011	Date of financial closure:	Not yet closed	
No. of revisions:	3	Date of last revision:	22 July 2016	
No. of Steering Committee meetings:	9	Date of last/next Steering Committee meeting:	Last: June 2017	Next: NA
Mid-term Review/ Evaluation (planned date):	Mid-project	Mid-term Review (actual date):	Review conducted (2016)	

⁷ As per CEO endorsement.

Terminal Evaluation (planned date):	End of the project	Terminal Evaluation (actual date):	December 2017
Coverage - Country(ies):	Angola ⁸ , Lesotho, Swaziland, Tanzania, Mozambique	Coverage - Region(s):	Africa (SADC)
Dates of previous Project phases:	NIPs for POPs	Status of future Project phases:	The UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives ⁹

⁸ *ibid*

⁹ *Although there are no direct follow-on projects planned, the UN Environment GEF 6 project (ID 9080) "Chemical Observatories in Africa" has similar objectives to reduce the risks of chemicals to the environment and public health. Together with the GEF 5 regional projects on PCB and Alternatives to DDT, it benefited from the LDC projects in terms of improved design and better supervision.*

Executive Summary

1. This report presents the findings of the Terminal Evaluation of three of the UN Environment's interventions in Africa: "Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs) of the COMESA¹⁰, SADC¹¹ and ECOWAS¹² Sub-regions" developed under the Stockholm Convention and funded by the Global Environment Facility (GEF IDs 3968; 3942; 3969). It assesses the design, implementation and results of these projects from August 2011 to December 2017.
2. As the three projects were originally conceived as a programme and they share the same overall structure (main outputs, components and objective), the Terminal Evaluation was undertaken jointly. A single Theory of Changes was developed and tested during the evaluation. The three direct outcomes are: 1) National legislative and regulatory frameworks adopted; 2) Enforcement capacities built and mainstreamed; and 3) Public and vulnerable communities changed their behaviour to avoid exposure to Persistent Organic Pollutants (POPs). Outcomes 1 and 2 lead to the achievement of the objective "Enforcement of Stockholm Convention provisions undertaken in a sustainable, effective and comprehensive manner". This, together with outcome 3, lead to the achievement of project impact "Risks from POPs to public health and the Environment in COMESA, ECOWAS and SADC LDCs are reduced".
3. The projects were designed to be implemented in parallel with similar interventions by UNIDO with a common Project Coordinating Body. This approach was abandoned in 2015 when it became clear that there was limited opportunity for collaboration and coordination between the UNIDO and UN Environment projects.
4. The COMESA and SADC projects were executed by WWF Regional Office for Africa in Nairobi. The ECOWAS project was co-executed by the Basel and Stockholm Conventions Regional Centre in Dakar and Green Cross Switzerland.
5. The overall objective of the Terminal Evaluation is to assess in a systematic and objective manner the performance of the projects from August 2011 to December 2017 against the Theory of Change using the UN Environment Evaluation Office's standard evaluation criteria. It also assesses whether the projects have achieved or are likely to achieve their project objective of "strengthening and building capacities required in LDCs and SIDS in the sub-regions to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals". As well, the extent of the likelihood whether the project will contribute to reducing the effects of POPs on human health and the environment is assessed. The evaluation does not seek to assess the performance of any country or national institution as a stand-alone entity. The Evaluation aims to assist the governments, donors, counterparts, UN Environment and other stakeholders to learn from the Projects' performances.

¹⁰ Common Market for Eastern and Southern Africa

¹¹ Southern African Development Community

¹² Economic Community of West African States

6. In the final quarter of 2017, the Evaluation Team visited 11 of the 26 countries that were involved in the three projects (Burundi and Uganda in COMESA; Guinea, Liberia, Mauritania, Niger, Senegal, Sierra Leone and Sao Tome and Principe in ECOWAS; Lesotho and Mozambique in SADC) and interviewed 166 national stakeholders. In addition, face-to-face and remote interviews were undertaken with past and present staff of the Executing Agencies and UN Environment, who were involved with the project. To extend the reach of the evaluation to all countries, 298 national stakeholders and 30 regional stakeholders were invited to complete an on-line survey. Data from all these sources was triangulated with project documentation and served to establish the evaluation ratings.

Evaluation findings

7. The overall evaluation rating of each of the three projects is **Moderately Satisfactory**. The ratings for the evaluation criteria of each project are detailed in the tables in the main evaluation report: Table 27 for COMESA, Table 28 for ECOWAS, and Table 29 for SADC.
8. The strategic relevance of the project was found to be highly satisfactory; it is aligned with the mandate, Medium-Term Strategy and thematic priorities of UN Environment; with regional, sub-regional and national environmental priorities; with target group and beneficiaries' needs and priorities; with GEF Strategic priorities and is complementary to numerous existing interventions. In addition, it also shows alignment with UN Environment capacity building and South-South cooperation policies.
9. The projects were designed to respond to concerns regarding lack of capacities to implement National Implementation Plans in the region and sought to build on previous efforts and structures put in place during National Implementation Plan development. They were designed to cover the gaps identified further in a series of stakeholder/needs assessments, which were well attended by countries in the region. The project documents laid out goals and objectives in a manner consistent with their respective priorities and were developed using the appropriate standards of the time. In general, the narrative synthesis is consistent and fact based; the products are necessary to achieve the expected results. However, the Terminal Evaluation identified strengths and weaknesses; overall the quality of project design was rated as Moderately Satisfactory for the three projects.
10. As regards the nature of the external context, although very different external and country specific conditions occurred during the period of implementation of these projects in the sub-regions, in general this criteria is not considered to have had a significant negative effect on delivery of the expected outputs. Overall this was rated as Favourable in the SADC sub-region, and Moderately Favourable in the COMESA and ECOWAS sub-regions.
11. Effectiveness of the projects' three components was assessed based on the delivery of the restructured outputs, on achievement of the direct outcomes, and likelihood of impact. The Evaluation Team was able to document significant qualitative and quantitative results for all Direct Outcomes. It is however important to note that this review took into consideration the fact that, at time of writing of this Terminal Evaluation, a number of the outputs have yet to be completed. It is however important to note that this review took into consideration the fact that, at time of writing of this Terminal Evaluation, further no-cost extensions were being prepared as a number of the outputs had yet to be completed.

12. A model law was developed and was considered as useful by the countries who used it as a good starting point, or as guidance to develop their own texts. However, the fact that this was based on the Common Law system created a challenge for countries operating under the Napoleonic Code, for example. In addition, the model law did not include suggestions of mechanisms for raising funds in support of sustainable enforcement activities.
13. The targets for drafting national chemical legislation, set at the time of the projects' approval, were met or surpassed in the three sub-regions; however one output specific to each of the COMESA and SADC sub-regions has not been met, respectively drafting of pesticides regulations in Uganda, and development of model sector-specific regulations for incinerator operation, contaminated sites and bio-pesticides. While the first is likely to be completed in the future through on-going government support, the latter will not be delivered by project closure.
14. In all three projects the regional trainings of trainers of environmental officers on enforcement of the Stockholm Convention were carried out successfully in the early stages of the project. Subsequent national trainings were organised in 2016 and 2017 surpassing overall expected targets in terms of number of staff trained in each project. Evidence from the survey and interviews indicates that, in all three projects, the training increased the proportion of staff that were now aware of the Stockholm Convention, but that the depth of their knowledge and their capacity for enforcement of chemical legislation remained weak. In particular, the evaluation noted that if the legislation had been available before the capacity building exercises were undertaken, the resulting capacity for the enforcement of actual national legislation would have been stronger. As it is, much of the capacity building was more generic for the Stockholm Convention enforcement.
15. An additional output specific to COMESA and ECOWAS was agreed to by the final regional Steering Committee meeting and will lead to four students being offered bursaries to undertake the University of Cape Town's Diploma in Pesticides Management. For ECOWAS, training on obsolete pesticides was conducted, with the support of FAO. Training on inventories also took place, but results are yet to be demonstrated. As well, an output was added to help utilise unspent funds to support the inventories of polychlorinated biphenyl (PCB) wastes under the parallel ECOWAS PCB project.
16. As regards the establishment of knowledge management systems, regional trainings were undertaken, however no evidence was found for any country having established a functioning website with links to the Chemicals Information Exchange Network (CIEN). As UN Environment determined that the CIEN platform could no longer be supported, it is no longer available on-line. This said, high-level support for the establishment of a CIEN was documented during the evaluation and in particular was mentioned in the closing statements delivered by the African Group at the Conference of the Parties to the Basel, Rotterdam and Stockholm Convention in Geneva in 2017. However, it was evident that, without dedicated and committed staff and financial resources, it is unlikely that a chemicals information network will be sustainable.
17. As regards the third and last component, experiences and good practices were disseminated and shared. The SADC Project originally aimed to train national environmental staff to develop communications strategies. This was reformulated by the Steering Committee (June 2017) to train NGOs in both COMESA and SADC participating countries in the development of

communication and advocacy strategies for POPs. At the time of preparation of the evaluation, these activities had not yet been initiated; a regional training is expected to take place in March 2018 and information on this will have to be reflected in the final project reports.

18. POPs general awareness-raising campaigns were undertaken for vulnerable communities in the three projects and the activity is considered to be largely complete. The campaigns focused on men and women small scale-farmers who use or are exposed to pesticides, and aimed to raise their awareness of: 1) the risks of POPs and pesticides; and 2) to ways to mitigate those risks with safer pest control and correct application methods, including the use of personal protective equipment. Results to date show that they were completed in 3 of the countries of the COMESA sub-region; completed in the 4 targeted pilots in ECOWAS; and were 85% completed in SADC. In addition, these activities were also carried out in schools in the four pilot countries in ECOWAS. Overall, the effectiveness of Delivery of Outputs for each of COMESA, ECOWAS and SADC projects is rated Moderately Satisfactory
19. Gender data has currently not been compiled for the project activities. At the time of project formulation, inclusion of gender consideration was not a requirement under the GEF. Gender is not an important factor in components 1 and 2. Evidence indicates that in component 3, women farmers were targeted in the behaviour change initiatives.
20. As regards achievement of outcomes, for the adoption of national legislative and regulatory frameworks, evidence indicates that significant progress has been made towards its achievement. In addition, the moderately satisfactory delivery of outputs at the time of the Terminal Evaluation combined with interview and survey data confirms that it is highly likely that adoption of national legislative and regulatory frameworks will be achieved in most project countries within the next two years, with the remainder in two to five years' time.
21. For the building and mainstreaming of capacities, evidence demonstrates that significant progress has been made towards the achievement of this outcome in all projects. Progress towards mainstreaming enforcement-training capacity was evidenced during the field missions, particularly with the national Judiciary and Customs training institutions where they exist. Although the number of national and provincial environmental inspection staff with general awareness of the Stockholm Convention and sound chemicals management has increased as a result of all three projects, there remains a significant lack of capacity for its enforcement.
22. Finally, as regards changing the behaviour of the public and vulnerable communities, the Evaluation notes that there was increased awareness of the risks associated with POPs and pesticides as a result of the three projects and in conjunction with similar interventions. For example, there was evidence from the interviewed representatives of small-scale farming communities of their desire to mitigate risks from exposure to pesticides. However, the brevity of the trainings, lack of confidence in demonstrated alternatives (such as organic agriculture and integrated pest management) and lack of available and affordable personal protective equipment has, for the moment, impeded the foreseen behavioural changes.
23. Overall, the effectiveness of achievement of direct Outcomes for each of COMESA, ECOWAS and SADC projects is rated Moderately Satisfactory.

24. Summing up the findings as regards the likelihood of impact, the evaluation indicates that not all the direct outcomes were fully achieved, however partial progress has delivered some results, and indications are that some will be achieved or are likely to be achieved. As regards progress towards intermediary changes, the measures designed to move towards the sustainable, effective and comprehensive enforcement of the Stockholm Convention, provisions have started, and have produced some results. Evidence also demonstrates that there is a willingness to continue in this direction in all participating countries, however, this is affected by national realities and capacities, including availability of finance.
25. The project has at this stage not achieved “documented changes” in reducing risks from POPs to human health. However, interview data does show that as a result of the awareness raising and training interventions of the project, progress in this direction has been made and it is considered likely that progress towards these will be achieved. Overall this results in a Moderately Likely rating for impact, and overall, the projects are assessed as having Moderately Satisfactory Effectiveness.
26. As regards financial management, the Evaluation Team was not made aware of any deficiencies as regards the completeness of financial information. However, although the annual Project Implementation Reviews include some information about in-kind and cash co-finance, there is evidence that the information is outdated and incomplete and has proved challenging to obtain. This is a deficiency that Executing Agencies are aware of and it is understood that they will have to provide complete and up to date information on co-finance at project closure. This criterion is rated as moderately unsatisfactory. Communication between finance and project management staff was rated, based on available information and interview data as being satisfactory, and overall, the rating for financial management for the three projects is rated Satisfactory.
27. As regards efficiency, the Evaluation Team was not made aware of any concerns regarding cost effectiveness or costliness, and considers, that although to date the project has not delivered all of the expected results, those achieved have been delivered at a reasonable cost. Even though the project is presently facing severe delays in its implementation and did not produce results within the initial time frame available (i.e. by August 2016), the Evaluation Team considers that there are mitigating factors that partially account for this; these include a series of unforeseeable events, which effectively derailed project implementation and have contributed to a one and a half-year delay, and to relatively low operational efficiency. In light of these delays the projects were granted two no-cost extensions and are, at the time of drafting this report, struggling to complete expenditure of resources within the extended project timeframe. As regards delays, interview data was unequivocal in noting the dissatisfaction with the executing capacities of both Green Cross Switzerland and World Wide Fund for Nature – Regional Office for Africa (formerly Eastern and Southern Africa Regional Office) primarily because of the slow response times, overly-complex administrative and reporting processes, and lack of thematic expertise, to name a few.
28. As all three projects had two no-cost extensions, the delays in implementation had negative impacts on government stakeholders, and the project activities were occasionally sequenced inefficiently, the project is rated as unsatisfactory.
29. The Monitoring and Evaluation for all these three projects was designed according to both the GEF and UN Environment’s standard procedures for monitoring and evaluation in place at the

time of project design (2009-2010). The logframe included “objectively verifiable indicators of achievements, sources and means of verification for the project outcomes and outputs, and the timeframe for monitoring activities” were specified in the projects’ Monitoring and Evaluation Plans.

30. Following the appointment of the current Task Manager in 2015 and in order to address the significant delays the Projects had experienced, additional measures were put in place to improve the supervision and support provided by UN Environment to the Executing Agencies. These improvements included monthly teleconferences and quarterly forecasted work plans and budgets. These enhanced Monitoring and Evaluation systems have helped to bring the Projects back on track. These Projects have been a major driver in the development of more systematic UN Environment supervision systems.
31. Monitoring systems were put in place at the level of both Executing Agencies, in line with their own standards and evidence suggests that these allowed the persons responsible for monitoring progress against indicators to track results and progress toward project objectives.
32. Monitoring of project progress is considered to have been adequate, given most indicators were at output level and easily tracked, however monitoring of performance (in terms of achievement of project outcomes and the overall project objective) was unavailable given inadequacy of indicators.
33. As part of the monitoring mechanisms, Project Steering Committees were established. For the COMESA and SADC projects the joint Steering Committee has met 9 times, while that for ECOWAS has met 7 times. The Steering Committees were effective at reviewing project performance and making decisions for future work plans and used in particular the Steering Committee Meetings to address issues and implement solutions, as required.
34. Overall Monitoring and reporting are rated Moderately Satisfactory.
35. Sustainability was rated at the national level for each of the countries in each of the projects and averaged to produce a single sustainability rating for the project. While there were some differences between the ratings of countries within the same project, the average rating for each of the three projects was similar. Socio-political sustainability is rated as moderately likely; financial sustainability, which depends on the commitment of the countries to provide the necessary long-term resources both financial and human, is considered moderately unlikely; and, institutional sustainability, which is considered moderately likely. Overall sustainability for the projects was rated as Moderately Unlikely.

Main conclusions and recommendations¹³

Conclusion 1	Targeting Interventions to Maximize Results
	Recommendation 1:
<p>“One size fits all” regional approach is not appreciated by participating countries; the one on one approach was considered preferable</p> <p>High expectations in countries were not met</p> <p>UN Environment was described as being “mostly absent” and only seen as a distant partner appearing during Steering Committee meetings</p>	<p>UN Environment should carefully assess the benefits of regional interventions and consider whether theoretical benefits (cost effectiveness, ease of GEF approval and implementation, timeliness) outweigh the risks (complexities and inherent delays, dilution, etc.)</p>
Contributing Conclusions	Supportive recommendations:
<p>Countries at different levels of development, and with different capacities, progress at different speeds</p> <p>Different languages in one regional project entail additional challenges for Executing Agencies and adds a layer of complexity to executing/coordinating activities, meetings and trainings</p>	<p>To improve results, effectiveness and sustainability of interventions, preference should be given to country specific interventions, or limited scale regional projects; In those cases, efforts should be made to reduce the number of targeted countries to a minimum, grouping those that are developmentally similar and linguistically identical.</p> <p>However the benefits of cross fertilization (South-South Cooperation) in cases where small scale targeted regional interventions are favoured should be facilitated and supported</p>
<p>Countries are different in area, population, language, and require different budget allocations</p>	<p>Budgets should take into account the territorial extension of the target country as well as the cost of living, to ensure that country-wide results can be achieved and sustained</p>
<p>Pilot countries were perceived to have gained a comparative advantage, in particular as not all benefitted from the experience</p>	<p>Activities piloted in one country should be effectively implemented in others. Budgetary and time requirements should be factored into the project design</p>
Conclusion 2	Strengthening Implementation Capacities
	Recommendation 2:
<p>Low capacity (in some countries) and complex administrative processes resulted in delays and frustration</p>	<p>Strong actions in support of establishing and/or strengthening implementation capacities at the national level should be included in future projects</p>

¹³ Although at this time, there are no direct follow-on projects, the conclusions and recommendations are relevant to the design and implementation of future UN Environment projects

	Streamlining and mainstreaming of national capacities should be strongly encouraged and supported
Contributing Conclusions	Supportive recommendations:
<p>Focal points in some LDCs lack basic infrastructure and/or staff for effective project coordination and execution.</p> <p>Focal points often have continuing full time responsibilities for the administration and function of their normal roles. This can impair their ability to coordinate project activities.</p>	<p>Future interventions should consider options to emulate the methodology followed by UN Environment for Montreal Protocol activities (capacity building and financial support provided to National Ozone Units) and seek to replicate its demonstrated positive results</p> <p>UN environment should encourage countries to nominate project Focal Points on the basis of their ability to influence the achievement of project outcomes and to exploit synergies with other projects.</p> <p>Projects should include an induction for National Focal Points and staff in charge of project implementation and administration to include standard narrative and financial reporting, progress monitoring, proposal writing for agreements with Executing bodies</p> <p>Agreements should be established with the national implementing institutions that firmly anchor the project in the institution and ensure that the focal point is adequately resourced in terms of time and personnel to undertake project activities.</p>
<p>Countries would welcome having access to information on laboratories capable of analysing POPs and pesticides</p> <p>Countries are still keen to have access to a database on Chemical Information but lack the capacity to populate it</p>	<p>UN Environment should support and facilitate access to on-line resources, including a comprehensive database for chemicals information, and a registry of certified laboratories to promote knowledge sharing and informed decision making processes</p>
<p>There is a need for ongoing training, as well as for more in-depth training</p> <p>Long gaps between Training of Trainers and national trainings hampered execution.</p> <p>The training for “enforcement capacity” was less effective because it was undertaken before the laws had been adopted</p>	<p>Training activities, including training of trainers, should be aimed at reinforcing national systems and capacities. When they exist, training, reference or excellence centres, as well as technical training institutions (schools, universities, etc.) should be, as a matter of priority, selected to receive the trainings and supported to replicate them.</p> <p>Syllabuses of existing institutions should be updated to reflect acquired knowledge in support of mainstreaming</p> <p>In support of effective and long lasting acquisition of knowledge, trainings should be carefully designed to address the needs of</p>

	<p>targeted audiences: from general awareness raising to in-depth enforcement and more technical training</p> <p>Capacity building activities should be carefully sequenced, following on once the newly developed tools have been approved (e.g. legislation); resulting regional and national training activities should be integrated</p>
Conclusion 3	Delivering Appropriate Tools
	Recommendation 3:
<p>Model Laws are effective tools to strengthen legal and regulatory capacity</p>	<p>When model laws are developed, UN Environment should ensure that appropriate and country sensitive legal frameworks and systems are covered</p> <p>As well, potential sustainable mechanisms (e.g. funding for enforcement) should be laid out, for selection by the countries; these should include methodologies for setting penalties (at levels that discourage infractions), levies, permits, and licenses</p> <p>Any "Model" document should undergo a rigorous peer review process and ultimately be validated by UN Environment before publication</p>
Conclusion 4	Monitoring in Support of Results
	Recommendation 4:
<p>Outputs delivered so far are considered satisfactory, however, long-term sustainability is assessed as moderately unlikely</p>	<p>UN Environment should strive to ensure that appropriate supervision of both the Executing Agencies and the national executing partners, is in place throughout the period of project implementation to support achievement of results</p>
Contributing Conclusions	Supportive recommendations:
<p>Capacity of Executing Agencies is a key success factor</p>	<p>A formal due diligence process for selecting executing partners should be instituted and rigorously followed to ensure effective project delivery (including their acceptability to country partners)</p>
<p>The absence (or nominal absence) of a supervisor/Task Manager at UN Environment and the Project Manager at WWF-ROA adversely impacted project implementation</p> <p>Staff rotation hindered project implementation and in some cases lack of</p>	<p>Formal handover procedures should be instituted and enforced well in advance of anticipated staffing changes; Task Manager should be in place, and have access to sufficient resources to allow him to carry out supervisory functions effectively both at HQ and in the field</p>

formal hand-over processes compounded delays	
Pledged co-financing from many institutional partners was not forthcoming; and appears to have been highly overestimated. prior and during project implementation. In addition, there do not appear to have been concerted efforts to secure this co-finance (Executing Agencies and UN Environment did not have, or exert, the influence required)	UN Environment should take a more proactive role regarding following-up on pledged co-finance from institutional co-financers; this should include backing up Execution Agencies when required Co-financing should be rigorously tracked and disbursements of funding tranches tied to their availability
Expectations for cash co-financing from national partners were unrealistically high; in best case scenarios, LDCs should be expected to provide only minimal levels of in-kind co-finance	UN Environment should engage the GEF to try to establish more realistic co-financing ratios for projects involving LDCs – UN Environment should also directly assume responsibility for securing pledged co-finance and its accurate reporting

The main lessons learned are:

36. It is likely unreasonable to expect LDC countries to provide cash co-finance; when developing projects the capacities of countries and institutions to provide co-finance, in particular, cash co-finance, should be carefully assessed.
37. It is crucial the Executing Agencies are able to establish effective agreements and working relationships with the national institutions and their focal points. Some countries are averse to dealing with NGOs. NGOs may also lack the standing to be able to establish appropriate relationships with high-level focal points in governments and to request information and follow-up co-finance commitments. These matters should be taken into consideration by UN Environment in their due diligence processes for the selection of an Executing Agency.
38. Countries are at low levels of development and cannot provide close support for both project execution and administration. The Executing Agencies need to allocate sufficient of their resources to provide this support and the project budget should reflect this need. This needs to be taken into consideration during the design phase of projects involving LDCs.
39. Without adequate supervision by UN Environment of both the Executing Agencies and the countries, projects face severe risks of failing to deliver timely and effective results. In response, UN Environment has made significant efforts to improve its support and supervision since 2015. UN Environment should ensure that its management of the GEF fee allows it to provide appropriate support throughout the life of the project.

1 Introduction

40. This report presents the findings of the Terminal Evaluation of three of the UN Environment's interventions in Africa: "Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the COMESA, ECOWAS and SADC Sub-regions" developed under the Stockholm Convention and funded by the Global Environment Facility (GEF), with the respective GEF IDs 3968, 3969, and 3942. It assesses the implementation and results of this project from August 2011 to December 2017.
41. The Evaluation Team was comprised of Mr Cristóbal Vignal, International Evaluation Consultant, and Team Leader and, Mr Richard Thompson, International Evaluation Consultant.
42. The key question of the Terminal Evaluation is whether the project has achieved or is likely to achieve the project objective of "strengthening and building capacities required in LDCs and SIDS in the sub-regions to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals".

1.1 Institutional Context of the Project

43. The GEF Implementing Agencies for the projects were UN Environment and UNIDO (an arrangement valid only during the first 4 years of implementation¹⁴). The Executing Agency for the COMESA and SADC projects was the WWF Eastern and Southern Africa Programme Office (WWF-ROA) based in Nairobi. The Basel and Stockholm Convention Regional Centre in Senegal (BSCRC-Senegal) and Green Cross Switzerland (GCCH) were co-Executing Agencies for the ECOWAS project.
44. A Programme Coordination Body (PCB) was established to oversee and guide implementation and included representatives from UN Environment, UNIDO, the Executing Agencies, and the Regional Economic Communities, and the Basel Convention Regional Coordinating Centre (BCRCC) in Nigeria. As per project design, 2 sub-regional Project Steering Committees (PSC) were also established, responsible for project execution with one PSC covering SADC-COMESA, the other ECOWAS. Members included representatives from UN Environment, UNIDO; Executing Agency staff (WWF-ROA for SADC and COMESA, and BSCRC and GCCH for ECOWAS), POPs National Focal Point (NFP), Africa Institute and other relevant organizations. The countries that were originally expected to participate in the programme are shown in Table 4 below;

¹⁴ As this evaluation only covers UN Environment interventions, reasons for the arrangement not having been maintained will only be summarily addressed.

Table 4 Countries included in the Programme at Concept

COMESA Project countries	ECOWAS project countries	SADC project countries
Burundi, Djibouti, D.R. Congo, Eritrea ¹⁵ , Ethiopia, Rwanda, Sudan, Uganda, Comoros	ECOWAS countries: Benin, Burkina Faso, Gambia, Cape Verde, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Senegal, Sierra Leone, Togo AND Chad, Mauritania, Sao Tome and Principe and the Central African Republic	Angola, Lesotho, Mozambique. Swaziland, Tanzania,

45. It should be noted that not all these countries participated in the projects. In COMESA, Comoros, Djibouti and Eritrea were mentioned in the project document (GEF ID 3968) but eventually did not participate. In SADC, Angola was mentioned in the project document (GEF ID 3942) but eventually did not participate. For ECOWAS, Cape Verde was mentioned in the project document (GEF ID 3969) but only participated during the first phase, and subsequently did not carry any activities out.

1.2 Purpose of the Evaluation and Key Intended Audience

46. The evaluation was undertaken to verify the performance of the three above-mentioned projects, hence allowing the Evaluation Team to validate and assess actual results against the expected outputs and outcomes, and determine their likelihood of impact and their sustainability (impact level).

47. The scope of this Terminal Evaluation was from 2011 to December 2017, and the evaluation field missions took place in the last quarter of 2017. The field visits allowed the Evaluation Team to visit project sites and meet with relevant stakeholders.

48. The key intended audience for the evaluation findings includes UN Environment staff, all key project stakeholders as well as other international partners and agencies.

2 Evaluation Methods

2.1 Theory of Change at Evaluation

49. As all three projects had originally been conceived as a programme framework, they shared the same fundamental design with the same components but with a very few minor additions to reflect specific priorities of the sub-regions. The project documents were prepared in 2010 and complied with the UN Environment and GEF standards of the time, however, the project logframes are considered to be weak. At the component level, they only show the “outcome”, plus baseline, target, indicators and assumptions. A number of the “outcomes” have been

¹⁵ Eritrea is mentioned in the first paragraph of the Project Summary in the COMESA project document but was not included in the list of countries in the institutional arrangements, nor was it included in the table of countries in the TOR for the evaluation.

poorly formulated and are actually outputs. Outputs and activities are described in the narrative of the project documents and activities are amplified as part of the project work plans.

50. To facilitate a combined evaluation, it was agreed with the UN Environment Evaluation Office to prepare a single Theory of Change (ToC), hence the Evaluation Team built a generic Theory of Change (at project design) that covers all three projects, reconstructing their outputs, outcomes, intermediate states and impacts. The ToC describes the impact chains at country level; this was peer reviewed by the UN Environment Evaluation Office. The Theory of Change (at project design) was tested during the evaluation, providing the basis for the interview and survey questions.
51. This Theory of Change at project design was modified to create the Theory of Change (at Evaluation) by including changes in design of the projects that were approved throughout its duration. These changes were identified from review of the Steering Committee minutes, annual Project Implementation Reviews (PIR), interviews with staff and relevant stakeholders. The modifications also reflect the results of the tests of the project logic during the evaluation. The Theory of Change (at evaluation) is discussed in more depth in section 4, on page 48.

2.2 Data Collection

2.2.1 Description of Evaluation methods and Information Sources

52. The Terminal Evaluation was conducted in accordance with UN Environment Evaluation Policy and the UN Environment Programme Manual. It was carried out as an independent in-depth evaluation using a participatory approach whereby all key parties and stakeholders associated with the project were kept informed and regularly consulted throughout the evaluation.
53. In order to determine project achievements against the expected Outputs, Outcomes and likelihood of Impacts, the Evaluation Team used different methods to ensure that data gathering and analysis delivered evidence-based qualitative and quantitative information, based on diverse sources. These included desk studies and literature review, statistical analysis, individual interviews, surveys and direct observation. This approach not only enabled the Evaluation Team to assess causality through quantitative means but also to provide reasons for why certain results were achieved or not and to triangulate information for higher reliability of findings.
54. The methodology applied included a review of written documentation and other sources of information, interviews with Task Managers at UN Environment, Executing Agency staff and in-country stakeholders, including beneficiaries and government representatives. The documentation review was carried out during June to December of 2017 and included project related documents, available evaluations, monitoring reports, contextual documents on government policies, as well as any others considered pertinent by the Evaluation Team.
55. Initial interviews were conducted with the current UN Environment Task Manager and other relevant staff members at the last joint Regional Steering Committee meeting in June 2017, prior to the evaluation missions, and served to obtain complementary and up-to-date information on project design and implementation. These interviews were semi-structured

and focused on origins of the project, inputs from stakeholders, institutional arrangements for implementation, achieved and expected results, strengths and weaknesses, difficulties encountered and missed opportunities.

56. The UN Environment Evaluation Office contracted the International Evaluation Consultants; their tasks are specified in the job descriptions attached to the Evaluation ToRs (Annex I). The members of the Evaluation Team were not directly involved in the design and/or implementation of the project. It is to be noted, however, that from 2015 to March 2017, Mr Thompson was in the Pesticide Management Team of the Food and Agriculture Organization of the United Nations and acted as Lead Technical Officer of the GEF/FAO project “Disposal Of Obsolete Pesticides Including POPs And Strengthening Pesticide Management of the Comité Permanent Inter-Etats de Lutte contre la Sécheresse dans le Sahel (CILSS)” (GEF ID 4740)¹⁶.

2.2.2 Evaluation Missions and Interviews

57. The Evaluation Team developed criteria for selecting a representative sample of countries to be visited during the evaluation missions. The selected countries are shown in Table 5 below and represent 50% of the COMESA countries, 44% of the ECOWAS countries and 50% of the SADC countries. The selection criteria were approved by the UN Environment Evaluation Office and are listed below:

- Regional representation;
- Geographic representation (landlocked, coastal);
- Language representation (Anglophone, Francophone, Lusophone);
- Availability of Focal Points (during proposed time frame for missions);
- For ECOWAS – to maximize the number of countries that were involved in the ECOWAS PCB project¹⁷ to facilitate its evaluation; and;
- Performance representation – Implementation progress, balance between different stages of intervention.

Table 5 Countries selected for Evaluation Missions

COMESA		ECOWAS		SADC	
Country	Evaluator	Country	Evaluator	Country	Evaluator
Burundi	CV	Guinea	CV	Lesotho	RT
Ethiopia	RT	Liberia	RT	Mozambique	Team
Uganda	RT	Mauritania	CV		
		Niger	CV		
		Sao Tome and Principe	Team		
		Senegal	Team		
		Sierra Leone	RT		

¹⁶ The ECOWAS project organized a joint training of trainers on inventories of obsolete pesticides with this FAO project.

¹⁷ Overlaps with the UN Environment GEF PCB project in ECOWAS were considered in light of its concurrent evaluation.

58. Missions were conducted to the selected countries in two phases during the last quarter of 2017. At the beginning of each mission, the evaluators undertook joint missions, which helped to ensure consistency of interview techniques and refinement of the interview questions that could then be employed in the other countries where missions were conducted by a single evaluator. Best attempts were made by the Evaluation Team to visit all the selected countries and interview the widest possible range of stakeholders¹⁸.
59. The Evaluation Team identified the types of stakeholders to be interviewed (public sector, private sector, civil society organizations, academia), based on their roles. In particular, the Evaluation Team sought to interview direct beneficiaries of the project including those involved in project management, recipients of training at the regional and national level, and those with institutional responsibilities related to the project (e.g. GEF Focal Points). The interviewees for the field missions were identified with the support of the national Focal Points and the Executing Agencies. Where it was not possible to meet key national stakeholders in person, attempts were made to interview them remotely, with varying results, as this was often frustrated by the quality of internet and telephone connections.
60. The stakeholders to interview were selected purely on the basis of their role in the project, regardless of gender. The sample was not skewed to obtain a specific number of each gender. The number of male and female interviewees in each of the countries is shown in Table 6 below.

Table 6 Interviewees by country and gender

COMESA				ECOWAS				SADC			
Country	Interviewees			Country	Interviewees			Country	Interviewees		
	M	F	Total		M	F	Total		M	F	Total
Burundi	3	3	6	Guinea	12	3	15	Lesotho	8	7	15
Ethiopia ¹⁹	1		1	Liberia	4	2	6	Mozambique	10	7	17
Uganda	5	9	14	Mauritania	3	1	4				
				Niger	20	5	25				
				Sao Tome and Principe	23	11	34				
				Senegal	6	9	15				
				Sierra Leone	21	5	26				
Total	9	12	21		89	36	125		18	14	32
Percentage of female interviewees			57%	Percentage of female interviewees			30%	Percentage of female interviewees			44%

¹⁸ In the case of Ethiopia, the entry visa was not forthcoming and the mission had to be cancelled; the project focal point was interviewed remotely at a later date. In the case of Liberia, only a limited number of stakeholders were available for interviews.

¹⁹ As the mission to Ethiopia had to be cancelled, the interview was conducted by phone.

61. Past and present stakeholders at the institutional level of the projects from management teams at UN Environment (4), Green Cross Switzerland (2), Basel and Stockholm Conventions Regional Centre at Dakar (2), WWF in Nairobi (3), Africa Institute (2) were interviewed in person and/or remotely. Key stakeholders involved in the implementation and execution of the project were interviewed during the joint project Steering Committee meeting held in Nairobi in June 2017, in advance of the evaluation, and again, once the country missions had been concluded. This provided an opportunity to triangulate and further validate results. They were also invited to participate in an on-line survey, which is discussed in section 2.2.3 below.

2.2.3 Evaluation Survey

62. In addition to the field missions, the Evaluation Team conducted an on-line survey. Prior to this, the Evaluation Office requested the Evaluation Team to undertake a review of available on-line survey applications, to identify the most cost-efficient and effective option. The key criteria for selection of the application were:

- Multilingual – to allow completion and analysis of all respondent irrespective of language;
- Branching and Logic – to allow specific questions to be directed to the three different types of stakeholders;
 - National (national focal points, participants in trainings, institutional stakeholders, national consultants and NGOs)
 - Regional (Executing Agency staff, regional consultants, regional NGOs)
 - Implementation Agency (UN Environment staff);
- Analytical and reporting tools;
- Cost to the project.

63. The on-line survey tool provided by CheckMarket²⁰, Belgium was selected. The application proved easy to use and effective.

64. The Evaluation Office recommended that the survey should be designed after completion of all the field missions to the regions. This allowed the questions to be tailored to focus on the key issues for the evaluation as identified during the missions. The selection process for the software and the time for developing and uploading of questions in three languages were time-consuming, and meant that the survey could not be launched until 20 December 2017.

65. With the support of the Executing Agencies and through a review of the project reports the Evaluation Team identified a sample of 349 stakeholders to be invited to complete the survey. The sample derived from the various stakeholder types at national level from all project countries, the regional stakeholders and from UN Environment. The invitations were sent by e-mail from the director of the UN Environment Evaluation Office in the expectation that an official invitation would elicit a higher response rate. As the launch coincided with the end of year holidays, the closure date was extended until 17 January and the Evaluation Office sent three reminder e-mails. To further minimize the barriers for completing the survey, the e-mail

²⁰ <https://www.checkmarket.com/about-us/>.

invitation and preamble to the survey emphasised that responses would be kept confidential, and stakeholders were given the option to respond anonymously.

66. Of the 349 invitations sent, 21 were rejected because of errors in e-mail addresses, leaving 328 stakeholders who received invitations. 96 stakeholders responded to the survey: of which 30 had to be discounted as being insufficiently or incorrectly completed. This left 66 complete and correct responses from 48 national stakeholder, 15 regional stakeholders and 3 implementation Agency stakeholders, giving a response rate of 20%. This conforms favourably to the norm for external survey response rates, which is of 10 to 15%²¹ and is considered “good”. The number of recipients and respondents at national level are shown in Table 7 below.

Table 7 Survey recipients and respondents at national level

Project	Countries	Recipients	Respondents	Response rate
COMESA	Burundi	16	4	
	Democratic Republic of Congo	11	3	
	Ethiopia	9	1	
	Rwanda	9	4	
	Sudan	14	1	
	Uganda	21	4	
	COMESA Total		80	17
ECOWAS	Benin	12	3	
	Burkina Faso	10	2	
	Cape Verde	5		
	Central African Republic	10		
	Chad	9		
	Gambia	7	2	
	Guinea	7	1	
	Guinea-Bissau	7	1	
	Liberia	6	1	
	Mali	9		
	Mauritania	10		
	Niger	10	1	
	Sao Tome and Principe	11	5	
	Senegal	12	1	
Sierra Leone	7	2		

²¹ <https://www.benchmarkemail.com/help-FAQ/answer/what-is-a-typical-response-rate>.

Project	Countries	Recipients	Respondents	Response rate
	Togo	11	1	
	ECOWAS Total	143	20	14.0%
SADC	Lesotho	13	2	
	Mozambique	12	1	
	Swaziland	14	4	
	Tanzania	36	4	
	SADC Total	75	11	14.7%
	Grand Total	298	48	16.1%

67. The Evaluation Team considers that, by combining the information from the mission interviews and that from survey responses, there is sufficient evidence from stakeholders at national level for each of the three sub-regions for the evaluation to be representative.
68. In COMESA, the strong interview data from Burundi and Uganda is supported by survey data from respondents in the other countries, Rwanda (4) and Democratic Republic of Congo (3) and one each from Ethiopia and Sudan. It is unfortunate that more data could not be obtained from Ethiopia and Sudan, as they both experienced issues that significantly delayed project implementation. It would have been useful to explore the issues to identify how they could be avoided in future.
69. In ECOWAS, there was strong interview data from five countries, plus limited data from two others and survey data from a further five, giving coverage of 75% of the countries of the region. There are only four countries where there is neither interview nor survey data, namely Cape Verde, Central African Republic, Chad and Mali.
70. In SADC, there was strong interview evidence from two countries and strong survey data from the other two, giving good coverage of all project countries.
71. The survey did suffer from systematic limitations in the low speed and poor reliability of the Internet service in some countries that hindered national stakeholders from responding. For future surveys, it could be useful to provide a downloadable off-line version of the survey to allow such stakeholders an opportunity of contributing.

With regard to institutional stakeholders, the Evaluation Team considers that the evidence obtained from the interviews and survey is representative and statistically significant. The survey had a 60% overall response rate and interviews were undertaken with key current and past staff of UN Environment and the Executing Agencies. The number of stakeholders at institutional levels that were surveyed and interviewed are shown in Table 8.

Table 8 Survey recipients, respondents and interviewees at institutional level

Institutional Stakeholder	Survey			Interviews
	Recipients	Respondents	Response rate	interviewees
Implementing Agency Staff	6	3	50.0%	4
Executing Agency Staff	8	8	100.0%	6
Regional Consultants/Bodies	16	7	43.8%	3
Total	30	18	60.0%	12

2.2.4 Data Verification

72. The interviews were semi-formal in that they were based on standard questions established during the inception of the evaluation, but where pertinent the Evaluation Team followed other lines of questioning, particularly with regard to reconstructing the history of the project (from the stakeholders perspectives). Where and when possible, interviews were conducted in the presence of the two evaluators and notes taken and analysis were triangulated against documentary evidence. This was the case with the countries where joint missions were undertaken (Mozambique, Sao Tome and Principe, and Senegal) and with remote interviews conducted by Skype. With the other country missions there was only one evaluator for each country, and details are shown in Table 5 above. The interviews and survey were initiated with reference to the terms of reference, to clarify that the evaluation only covered the project, and was not evaluating countries, national institutions, nor individuals. It was also made clear that the interviews were confidential and that comments would not be attributed to named individuals. This helped to maintain the independence of the evaluation. The approach was participatory and open in order to facilitate cordial and constructive dialogue with all stakeholders.

2.2.5 Methods Used for Data Analysis

73. This report covers three sub-regional projects aiming to provide technical assistance and strengthen the capacities of stakeholders to implement Stockholm Convention National Implementation Plans in African Least Developed Countries. In line with the Terms of Reference for the Terminal Evaluation, one evaluation report has been produced that specifies findings and evaluation ratings for each of the three regions covered, i.e. SADC, ECOWAS and, COMESA.

74. While the Evaluation Criteria Matrix²² is directly applicable to current projects or projects designed in the recent past, this is not the case for older projects. Although the Evaluation Team made efforts to align itself with the Matrix, in some cases where the projects could not be assessed as the criteria did not correspond to the information and results generated by the project, or when results fell into more than one of the categories, a combination of

²² Provided by UN Environment (version updated 20.11.2017).

methods was used, i.e. the Terms of Reference and/or Matrix and/or interview data and/or survey results.

75. In addition, the Evaluation Team faced a particular challenge in arriving at one set of ratings for each sub-regional intervention, given the heterogeneous mix of countries participating in each of the projects. Although the ToRs preclude this report from including an assessment of the performance of each of the countries, the Evaluation Team, in order to arrive at a meaningful result, had to obtain and compile country specific data for some of the assessed criteria.

76. The Evaluation Criteria Matrix of the UN Environment Evaluation Office (version of 20.11.2017) can be divided in two main categories: criteria that can be assessed at regional level covering each project (COMESA, ECOWAS, and SADC), and criteria that must be assessed at country level. For example, while Criteria 1 on Strategic Relevance and Criteria 2 on Quality of Project Design can be assessed at the regional level, Criteria 3 on Nature of External Context and Criteria 4 on Effectiveness can only be assessed as an average of the country level. To support the transparency of the evaluation process, these are presented in the table below (coloured cells indicate the level of the assessment).

Table 9: Presentation of Evaluation Criteria and corresponding assessment level

Criteria	Regional Level Assessment	Average of Country Level Assessment
1 – Strategic Relevance		
2 – Quality of Project Design		
3 – Nature of External Context		
4 – Effectiveness		
5 – Financial management		
6 – Efficiency		
7 – Monitoring and Reporting		
8 – Sustainability		
9 – Factors Affecting Project Performance		

77. One of the challenges of attempting to arrive at a regional and representative rating, without compromising the confidentiality of the information obtained and analysed at country level, has been resolved by the Evaluation Team in the following manner:

- Country specific data has been compiled in tabular form and rated according to the Evaluation Criteria Matrix. This will not be presented in the report but will be delivered as a separate Annex to the Evaluation Office;
- Based on the above, the country specific ratings for the assessed Criteria for each country will be attributed a “score” from 1 to 6 as set out in Table 10 below. Where there is insufficient evidence for a country, it will not be rated or scored;

- The rating for the regional projects will be based on the average of the scores of its countries that have been rated. Table 10 below also shows how the average scores are linked to the ratings for the projects.

Table 10: Point equivalent and corresponding rating

Rating scale HF - HU	Rating scale HS - HU	Rating scale HL - HU	Country Score	Regional Average
Highly Favourable	Highly Satisfactory	Highly Likely	6	>5.5
Favourable	Satisfactory	Likely	5	>4.5 <5.5
Moderately Favourable	Moderately Satisfactory	Moderately Likely	4	>3.5 <4.5
Moderately Unfavourable	Moderately Unsatisfactory	Moderately Unlikely	3	>2.5 <3.5
Unfavourable	Unsatisfactory	Unlikely	2	>1.5 <2.5
Highly Unfavourable	Highly Unsatisfactory	Highly Unlikely	1	<1.5

78. The Evaluation Team also faced the challenge that, during the evaluation, all three projects received no cost extensions for three months with the new closing date set for 31 March 2018. This extension was to allow the national projects to complete some activities and to undertake new regional activities to allow all project funds to be fully utilised. This limitation to the evaluation was mitigated by using information from the latest official GEF Project Implementation Reviews to 30 June 2017, for the financial data. The outputs in the reconstructed Theory of Change include any new outputs that were agreed in the last extension such as the funding of bursaries for participation in the University of Cape Town distance-learning Diploma in Pesticides Capacity Building Programme.

3 The Project

3.1 Context

79. As described in the projects' documents, the Least Developed Countries (LDCs) and Small Island Developing States (SIDS) in the three sub-regions covered are among the poorest in the world, with large portions of the population living on less than 1 US dollar per day. It is also generally accepted that clear links have been established between poverty and increased risk of exposure to hazardous chemicals and waste, with low-income neighbourhoods exposing the poor to the detrimental effects of environmental externalities²³.

80. It is also recognized that although the countries in the region have completed their Stockholm Convention National Implementation Plans (NIPs), their capacity both in terms of financial and human resources is simply not in place to maintain the momentum and ensure that they continue to actively engage in the elimination of POPs. In other words, without outside support, it is highly unlikely that the structures and mechanisms that resulted from the NIP development process will continue to support actions seeking to build capacities to facilitate

²³ UNEP, 2010.

the mainstreaming of chemical related issues, and in particular sound management of chemicals, into governmental and/or regional priorities.

81. A barrier analysis carried out during the project preparation phase reportedly included "intense consultation" with country representatives, Basel Convention Regional Coordinating Centres, academics, and NGOs representatives. This facilitated a review of progress in implementing NIPs and identified priority assistance in the areas of legislation and regulatory frameworks, administration and enforcement capacity as well as information sharing and dissemination.
82. These consultations in 2010 evidenced that lack of adequate legislative and regulatory frameworks in the sub-regions was due to weak institutional capacity for planning, guiding and enforcement for the Convention compliance through national policy; lack of financing; and insufficient human resources and expertise.
83. As regards the reasons for the apparent inadequate enforcement and administrative capacity, the following were identified: deficiency of expertise in the monitoring of POPs and in sampling techniques; lack of inter-ministerial coordination; insufficient local management experience for obsolete pesticides, chemical wastes, dioxins and furans and contaminated sites; lack of laboratory equipment and associated analytical capacity to analyse for POPs; and lack of understanding of POPs in the judiciary system and other law enforcement agencies.
84. Finally, the current lack of adequate dissemination and sharing of experiences on POPs was assessed as stemming from the lack of an interactive and structured database on POPs; and the lack of resources to train teachers, school students and NGO representatives on the dangers of POPs.
85. In addition, and although the Stockholm Convention Conference of the Parties and the Global Environment Facility view NIP development as an "enabling" activity, evidence indicates that this was largely limited to the development of a NIP (considering it as a discrete activity).
86. In the review of the NIPs, the consultation process and the needs assessment indicated that countries in the sub-regions have been generally unable to move from NIP development to NIP implementation. This situation was also evidenced by the lack of project proposals received by GEF during this period to address POPs and from most of these countries.
87. In order to support mainstreaming work on implementing the Convention into the work of the national governments, and taking into account the common barriers cited (including lack of money to fund activities, technical and human capacity, as well the issue of chemicals management not being a national development priority), these projects were proposed to build capacity in the development of legislative and regulatory frameworks, and to enhance enforcement and administrative capacity. The project would also develop a platform for sub-regional information sharing to ensure the adequate dissemination of information on POPs, their management and best practice in the chemicals arena. The countries that were involved in the projects at their start in August 2011 are shown in table 11 below.

Table 11 Countries included in the Programme at inception

COMESA	ECOWAS	SADC
Burundi, D.R. Congo, Ethiopia, Rwanda, Sudan, Uganda,	ECOWAS countries: Benin, Burkina Faso, Gambia, Cape Verde, Guinea, Guinea-Bissau, Liberia, Mali, Niger, Senegal, Sierra Leone, Togo AND Chad, Mauritania, Sao Tome and Principe and the Central African Republic	Lesotho, Mozambique. Swaziland, Tanzania,

3.2 Objectives and Components

88. The Objective of each of the three interventions was to strengthen and build the capacities of Least Developed Countries (LDCs) and Small Island Developing States (SIDS) in the sub-regions, contributing to the implementation of their Stockholm Convention National Implementation Plans (NIPs) in a sustainable, effective and comprehensive manner. These sought to build on and contribute to strengthening countries' established capacities for the sound management of chemicals and are expected to maintain the momentum of national coordinating mechanisms established during the NIP development process. The Goal of the project is to improve the management of chemicals in participating countries. This aligns to the GEF goal in chemicals management, which is "to promote the sound management of chemicals throughout their life-cycle in ways that lead to the minimization of significant adverse effects on human health and the global environment."

89. Though these projects ultimately aimed to achieve improved legislative and regulatory mechanisms in participating countries, and more effective enforcement, they were in essence capacity building projects. Capacity would be forged within national governments and provincial governments, as well as NGOs and civil society groups involved in the management of chemicals or impacted by chemical use.

90. The following overarching components outline the regional programmatic approach taken²⁴:

- Component 1: Legislative and regulatory framework development – to develop a model comprehensive chemical regulatory framework for use of the countries in the three sub-regions. In addition, the targets in the logframes indicate that the projects also intended that countries would draft new legislation on chemicals.
- Component 2: Sustainable enforcement and administrative capacity – to build sustainable enforcement and administrative capacity in participating countries. This aimed to strengthen the knowledge and skills of national environmental staff and other ministries involved in inspection, for example customs and police, to implement the Stockholm Convention, by understanding, identifying and controlling POPs chemicals. All three projects aimed to build awareness in the countries' judiciary to improve their ability to try cases involving infringements of

²⁴ There are regional context specific variations for some activities under these components.

the Stockholm Convention and national chemicals legislation. Only the SADC project included capacity building for environmental and legal drafting staff in economic instruments, which aimed to improve the financial sustainability of enforcement activities.

- Component 3: Coordinated information dissemination and awareness raising system – to be built based on a revitalized version of the Chemical Exchange Information Network (CIEN) by transforming it into a knowledge management system for the whole programme in all three sub-regions. The component also included raising awareness of communities vulnerable to POPs and at high level, within Government Ministries and at the level of the Regional Economic Communities. The ECOWAS project also included raising awareness on risks of POPs and other chemicals.
- Component 4: Project Monitoring and Evaluation.

91. The outputs of each of the three projects include common elements as well as elements that address specific priorities of each of the sub-regions. The comparison of the outputs in each of the three projects is shown in Table 19 in section 4 on the Theory of Change. The technical components (1, 2 and 3) provide the basis for the direct outcomes in the reconstructed Theory of Change.

3.3 Stakeholders

92. The stakeholder identification and analysis in the project documents focused mainly on institutional stakeholders who are the primary beneficiaries and actors in the project. The national stakeholders include staff from National Focal Point, NIP implementation committee, Government Ministries (at various levels), national Civil Society Organizations, Private Sector, Media, Education, users of hazardous chemicals, and the Public.

93. Gender and marginalized groups were not a specific focus of the project although risk of exposure to POPs is high in vulnerable communities i.e. for farmers and other pesticide handlers, with risks to the health of children, females and unborn infants being higher than they are to the health of males.

Table 12 Stakeholder Analysis

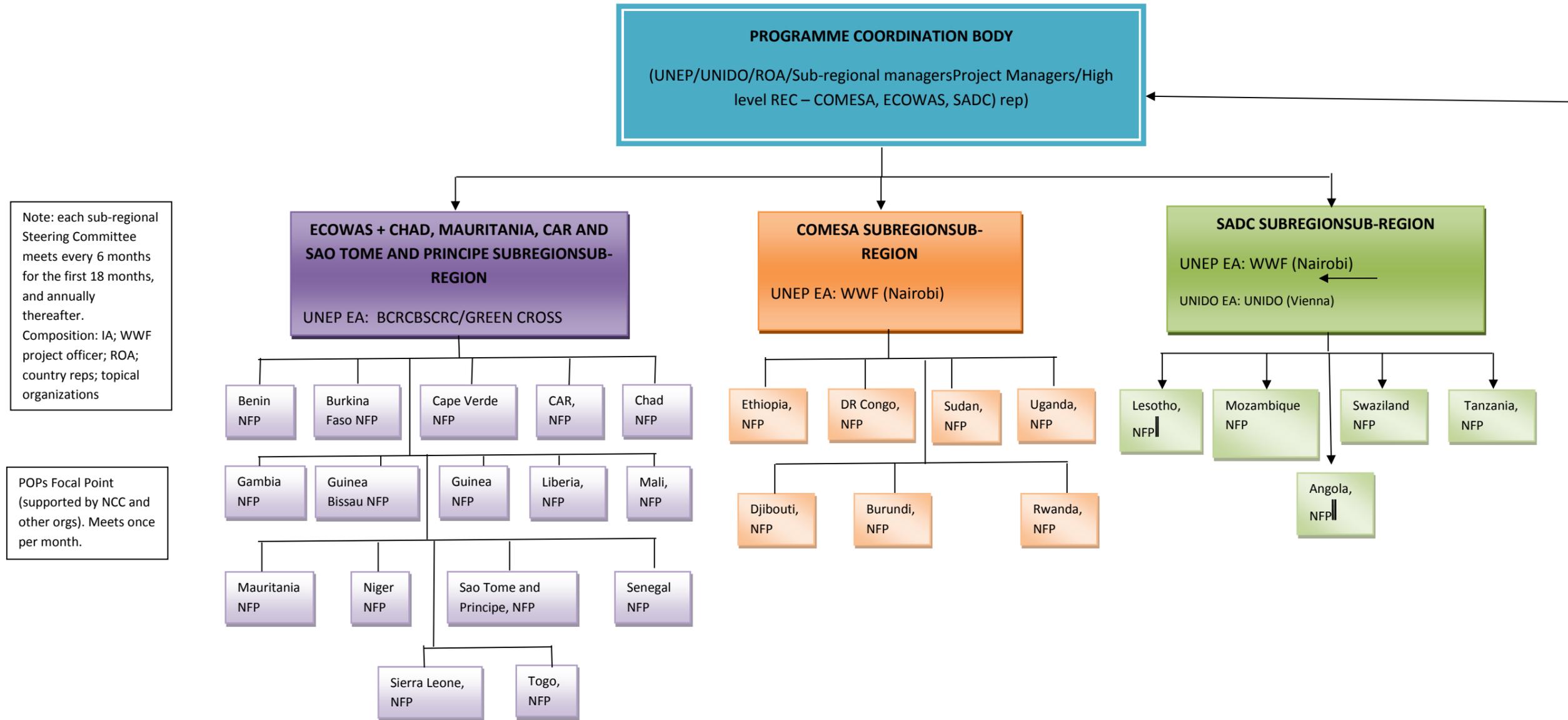
Stakeholder	Level of Interest	Level of Influence
Government		
POPs focal points	H	H
Members of NIP coordinating committee	M	M
Ministry of Environment		
Minister	M	H
Enforcement Staff	H	M
Ministry of Justice	M	H
Ministry of Finance	M	M
Customs	M	M
Ministry of Agriculture	M	M
Ministry of Health	M	M
Ministry of Education	M	M
National Civil Society Organizations		
Representatives of vulnerable communities	L	L
Private Sector		
Holders of POPs	M	L
Electrical Industry (PCB)	M	L
Waste industry	M	L
Suppliers of alternatives to POPs	M	L
Disease vector control organizations	M	L
Pesticide suppliers	M	L
Media Channels		
Press, radio and TV	M	M
Education Sector		
Teachers	M	L
Schools Children (boys and girls separately)	M	L
Public		
Farmers (Male)	M	L
Farmers (Female)	M	L

3.4 Project Implementation Structure and Partners in COMESA, ECOWAS and SADC

94. The overall programme (covering GEF IDs 3968, 3969, and 3942), focusing on LDCs in the COMESA, ECOWAS and SADC sub-regions was to be jointly implemented by UN Environment and UNIDO (as previously pointed out, this arrangement was only valid for the first 4 years of the project). UN Environment would implement the three components described in the UN Environment project document (covered by this Terminal Evaluation), and UNIDO would implement the components described in the UNIDO project document. The three UNIDO projects shared the same overall goal as the UN Environment projects but their focus was to “create an enabling environment in each Sub-region by establishing/amending laws, regulations, policies and standards; strengthening institutions for the remediation of contaminated sites; introducing BAT/BEP to industrial processes; managing municipal wastes, health-care wastes; supporting the phasing out of agricultural use of POP pesticides through the promotion of best agricultural practices including the use of bio-botanical pesticides; and, promoting locally designed technologies development”.

95. UN Environment, as the *GEF Implementing Agency (IA)*, was responsible for overall project supervision to ensure consistency with GEF and UN Environment policies and procedures, and to provide guidance on linkages with related UN Environment, and GEF-funded activities. In addition to its role within the Programme Coordination Body, UN Environment was to ensure timeliness, quality and fiduciary standards in project delivery.
96. WWF Eastern and Southern Africa Programme Office, later renamed as Regional Office for Africa (WWF-ROA) was the Executing Agency of the COMESA and SADC projects. The Basel and Stockholm Convention Regional Centre in Senegal and Green Cross Switzerland co-executed the ECOWAS project. The COMESA, ECOWAS and SADC projects also had their specific arrangements as per the GEF requirements.
97. The programmatic structure was designed to include a *Programme Coordination Body (PCB)*, comprised of representatives from UN Environment, UNIDO, Executing Agencies, Regional Economic Communities and the Basel and Stockholm Convention Regional Centre (BSCRC). *Sub-regional Steering Committees* for each of the three projects were responsible for execution. Steering Committees included representatives from UN Environment, UNIDO, Executing Agency staff, POPs National Focal Point (NFP), the BSCRC and relevant organizations relating to project execution.
98. The three sub-regional Steering Committees would approve annual work plans, agree terms of reference for external consultants and oversee project activities, providing guidance to the Executing Agency. These would meet once every six months for the first 18 months, and annually thereafter. Key responsibilities of the Steering Committee included: ensuring the project's outputs, meet the programme objectives; monitoring and review of the project; ensuring that scope aligned with the agreed portfolio requirements; fostering positive communication outside of the focal points regarding the project's progress and outcomes; advocating for programme objectives and approaches; advocating for exchanges of good practices between countries; and reporting on project progress. An inception meeting would be convened for each sub-regional Steering Committee at the beginning of the project. At this meeting, the project logframes and work plans would be reviewed and finalized.
99. National project teams, coordinated by the POPs National Focal Points (NFP) were responsible for executing activities at the national level. National project teams were to include members of the NIP national coordinating committee and other relevant stakeholders and would meet once every three months to plan upcoming project activities and evaluate recently completed ongoing activities.
100. The BCRCC Nigeria was to be responsible for programme monitoring and evaluation but this appears to not have occurred and the function was reassigned to the African Institute in South Africa (the Monitoring and Evaluation Plan is discussed in section 6).

Figure 1 Project Implementation Structure and Partners at project design



Note: each sub-regional Steering Committee meets every 6 months for the first 18 months, and annually thereafter.
Composition: IA; WWF project officer; ROA; country reps; topical organizations

POPs Focal Point (supported by NCC and other orgs). Meets once per month.

This organogramme was used in each of the three project documents and includes countries that were considered at the time of the original concept for the “programme”, but that eventually did not take part. These include Djibouti in COMESA and Angola in SADC

3.5 Changes in Design During Implementation

101. All three projects underwent changes in design in 2014 and 2015. This coincided with the appointment of Task Managers at UN Environment following an absence of supervision since the redeployment of the original Task Manager in 2012. The revisions addressed weaknesses in the original project design. Some changes affected all three projects such as the cancelling of the output 2.4 to develop a database of laboratories, when UN Environment confirmed that such a database already existed and could be made available to the countries.
102. All three projects had a one and a half year no cost extension to 31 December 2017. It is understood that, during the period of the evaluation, the three projects have been further extended until 31 March 2018 to allow some activities to complete and to expend all project funds. This has included new capacity building outputs such as funding bursaries for enforcement staff to participate in the University of Cape Town distance-learning Diploma in Pesticides Capacity Building Programme.

COMESA

103. The project was revised in January 2015 when it was agreed to link output 2.2 (training of environment, quarantine and customs staff on inspection and illegal traffic) with the training of the Judiciary under output 2.3. (Training judiciary and Ministry of Finance staff on the Conventions).

ECOWAS

104. In ECOWAS, the revisions allowed resources for capacity building components at national level to be focused on a fewer number of “faster moving” countries to act as “pilot countries” for the sub-region. This was particularly the case with the outputs for the judiciary and Ministry of Finance trainings as well as the awareness raising with vulnerable communities which was undertaken in four pilot countries (Burkina Faso, Mali, Senegal and Togo). Instead, output 1.2 on BAT/BEP in the informal sector (to be managed under the UNIDO project) was cancelled. The lessons learnt from the pilots were to be shared with the other project countries on the revitalized Chemical Information Exchange Network (CIEN).
105. In late 2017, it was decided that, as UN Environment was no longer hosting the Chemical Information Exchange Network (CIEN), it would be more sustainable for it to be hosted on the website of the BSCRC in Senegal.

SADC

106. Apart from the no-cost extensions described above and the cancellation of the output on the laboratory database, the design of the SADC project was not modified.

3.6 Project Financing

107. At the time of evaluation as the projects were still being implemented, the Evaluation Team did not have access to complete financial information regarding expenditure or co-finance. In addition, the UN Environment's financial reporting system that was in place at the start of the project did not have the capacity to track expenditure at the component level. As such, UN Environment did not require the Executing Agencies to report expenditure by component nor to confirm the sources of co-finance. The data in this section derives from the latest official information that was provided to the Evaluation Team.

3.6.1 COMESA Project Finance

108. The latest project expenditure information figures provided to the Evaluation Team (2017 PIR) show that only 56.8% of the GEF resources have been spent. The PIR does not show any co-finance expenditure, however UN Environment has provided the most recent co-finance report from WWF (2012), which shows that USD 60,000 cash co-finance has been received, but unfortunately this does not detail from which organization.

Table 13 Budgets by Component at Design and Total Expenditure – COMESA

Component	GEF subtotal (USD)	Percentage of GEF co-financing	Co-finance subtotal (USD)	Percentage of co-financing
Component 1: Legislative and regulatory frameworks	750,000	67%	376,846	33%
Component 2: Enforcement and administrative capacity	1,000,000	46%	1,174,921	54%
Component 3: Information sharing and dissemination	300,000	43%	393,816	57%
Component 4: Project Management	250,000	28%	633,439	72%
Component 5: Monitoring and Evaluation	200,000	100%		
Total Budget at design	2,500,000	49%	2,579,022	51%
Total expenditures at evaluation as of 30 June 2017²⁵	1,420,790		60,000	
Percentage of expenditure/budget	56.8%		2.3%	

²⁵ The PIR to 30 June 2017 was the most recent source of official expenditure and co-finance information.

Table 14 Planned and Actual Sources of Co-Financing – COMESA

Source of co-finance	Planned US\$	%	Actual US
Cash			
African Union Commission ACP-MEAs	20,000	0	
National co-finance	300,000	12	
UNEP DTIE	600,000	23	
WWF co-finance report of 2012 ²⁶			60,000
Cash Sub-total	920,000	35	60,000
In-kind			
UNEP Regional Office for Africa	300,000	12	
Stockholm Secretariat	150,000	6	
UNEP DTIE	50,000	2	
National co-finance and SAICM	1,159,022	45	
In-kind subtotal	1,659,022	65	
Total co-finance	2,579,022	100	60,000

3.6.2 ECOWAS Project Finance

109. The latest project expenditure information provided to the Evaluation Team is taken from the 2017 PIR. This shows that only 56.6% of the GEF resources have been spent. The co-finance in the PIR matches the most recent report provided by UN Environment, which is dated 2015. Green Cross Switzerland's co-finance report is detailed and includes their estimate of national co-finance based on the nominal employment costs of participants to regional trainings at USD 100/day.

110. The main in-kind co-financers are FAO and Green Cross Switzerland, itself.

Table 15 Budget by Component at Design and Total Expenditure – ECOWAS

Component	GEF subtotal (USD)	Percentage of GEF co-financing	co-finance subtotal (USD)	Percentage of co-financing
Component 1: Legislative and regulatory frameworks	1,180,000	63%	702,444	37%
Component 2: Enforcement and administrative capacity	1,560,000	47%	1,771,976	53%
Component 3: Information sharing and dissemination	620,000	26%	1,748,235	74%
Component 4: Project Management	400,000	39%	635,894	61%

²⁶ The co-finance report for 2012 does not specify the origin of the co-finance other than the reference "RFB CAP OF 12 05 02".

Component 5: Monitoring and Evaluation	240,000	100%		0%
Total	4,000,000	45%	4,858,549	55%
Total expenditures at evaluation as of 30 June 2017²⁷	2,264,898		1,405,307	
Percentage of expenditure/budget	56.6%		28.9%	

Table 16 Planned and Actual Sources of Funding/co-Financing – ECOWAS

Source of co-finance	Planned US\$	%	Actual USD
Cash Co-Finance			
African Union Commission ACP-MEAs	20,000	1	
National co-finance and SAICM	600,000	12	
ECOWAS Community	375,000	8	
UNEP DTIE	400,000	8	
Sub-total	1,395,000	29	0
In-kind Co-finance			
UNEP Regional Office for Africa	300,000	6	3,738
Stockholm Secretariat	150,000	3	0
UNEP DTIE	56,097	1	0
National co-finance and SAICM Secretariat	2,298,452	48	²⁸ 82,266
FAO	354,000	7	674,378
Green Cross Switzerland	155,000	3	631,725
WWF	0		3,900
ECOWAS Community	150,000	3	9,300
In kind subtotal	3,463,549	71	1,405,307
Total co-finance	4,858,549	100	1,405,307

²⁷ The PIR to 30 June 2017 was the most recent source of official expenditure and co-finance information.

²⁸ In-kind co-finance from countries calculated by Green Cross Switzerland based on the estimate of daily employment cost of for attendees to regional trainings (USD 100 per day). There is no co-finance from SAICM.

3.6.3 SADC Project Finance

111. The expenditure of GEF resources as per the PIR 2017 is USD 1,098,489, which is 73.2% of the Budget.

Table 17 Budget by Component at Design and Total Expenditure – SADC

Component	GEF subtotal (USD)	Percentage of GEF co-financing	co-finance subtotal (USD)	Percentage of co-financing
Component 1: Legislative and regulatory frameworks	390,000	76	123,079	24
Component 2: Enforcement and administrative capacity	600,000	45	738,475	55
Component 3: Information sharing and dissemination	240,000	43	315,456	57
Component 4: Project Management	150,000	27	414,875	73
Component 5: Monitoring and Evaluation	120,000	100	0	0
Total	1,500,000	49	1,591,885	51
Total expenditures at 30 June 2017²⁹	1,098,489		30,000	
Percentage of expenditure/budget	73.2%		1.9%	

Table 18 Planned and Actual Sources of Funding/Co-Financing – SADC

Source of co-finance	Planned US\$	%	Actual USD
Cash			
African Union Commission ACP-MEAs	20,000	1	
National co-finance and SAICM	200,000	13	
UNEP DTIE	370,000	23	

²⁹ The PIR to 30 June 2017 was the most recent source of official expenditure and co-finance information.

Source of co-finance	Planned US\$	%	Actual USD
WWF co-finance report for 2012 ³⁰			30,000
Sub-total cash co-finance	590,000	37	30,000
In-kind			
UNEP Regional Office for Africa	300,000	19	
Stockholm Secretariat	100,000	6	
UNEP DTIE	50,000	3	
National co-finance and SAICM	551,885	35	
Sub-total in-kind co-finance	1,001,885	63	0
Total co-finance	1,591,885	100	30,000

4 Theory of Change at Evaluation

4.1 Reconstruction of a Combined Theory of Change

112. As stated previously, the three projects shared very similar designs as they were developed from a single GEF Programme Framework Document. To facilitate the combined Terminal Evaluation of these three projects, it was necessary to reconstruct a single Theory of Change (shown in Figure 2, page 58). This was initially developed during the inception phase of the evaluation by reviewing the logical frameworks, narratives and work plans in the three project documents, to identify a combined set of reconstructed outputs. It was modified during the Terminal Evaluation to reflect the changes made in the project design during execution and evidence from interviews and field missions.

113. Although conforming to the standards of the time, the original logical frameworks in the original project documents were weak. At the component level, they only show the “outcome”, plus “baseline”, “target”, “indicators” and “assumptions”. The three technical components in the original project documents correspond to the three reconstructed direct outcomes.

114. The original “outcomes” had been poorly formulated and were actually outputs. Outputs and activities were described in the narrative of the project documents and activities were amplified as part of the project work plans. Some of the targets were outputs but were excluded from the component descriptions and work plans. Sequencing of activities was also identified from the work plans. For the purpose of the combined Theory of Change, the outputs had to be reconstructed.

³⁰ The co-finance report for 2012 does not specify the origin of the co-finance other than the reference “RFB CAP OF 12 05 02”.

115. Where the three projects shared common/similar outputs, these were represented by a single reconstructed output. Where there were outputs specific to one of the projects, these are designated as such.
116. The three "Direct outcome" statements were formulated based on the original logframe component statements (3 technical components and 2 managerial) and based on the project logic described in the project document.
117. The original project document "outcomes", reconstructed outputs at design, changes during execution and the reconstructed outputs at evaluation are shown in Table 19 below. The labelling and numbering of the Outputs links them to the Direct Outcome to which they contribute and whether they are common to all three projects (ALL) or are specific to only one or two of the Sub-regions.

Table 19: Original Project Logframe “Outcomes” and Reconstructed Outputs at Design and Evaluation

Component	COMESA	ECOWAS	SADC	Reconstructed TOC Output at Design	Changes during project execution	Reconstructed TOC Output at Evaluation
Component 1: Legislative and regulatory framework development	Outcome 1.1: Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	Outcome 1.1: Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	Outcome 1.1: Model comprehensive chemicals regulatory system, including legislation, regulation, guidelines for implementation, sectoral guidelines and standard setting developed.	Output ALL 1.1: Comprehensive chemical regulatory system available for use and adaptation to specific national requirements;	No change	Output ALL 1.1: Comprehensive chemical regulatory system available for use and adaptation to specific national requirements;
	Target: 4 countries developed and drafted chemicals regulation	Target: 5 countries have developed and drafted chemicals regulation	Target: countries have developed and drafted chemicals regulation	Intermediate State: National Legislative and regulatory framework developed	The Steering Committees of all three projects in 2015 included the development of National Legislative and Regulatory Framework as an output of the projects	Intermediate state is reclassified as: Output All 1.1.1: National Legislative and regulatory framework developed
	Outcome 1.2: Pesticide Act reviewed against FAO Code of Conduct and amendments made to comply with the FAO code of conduct			Output COMESA 1.2: Representatives of the participating countries are provided with skills to review and revise Pesticides Acts against International Code of Conduct on Pesticide Management	In the Steering Committee in 2015 it was agreed that this activity would be limited one country, Uganda.	Output COMESA 1.2: In Uganda the Pesticide Act are reviewed and revised and supporting regulations drafted in accordance with FAO/WHO International Code of Conduct on Pesticide Management.
			Outcome 1.2 Model sector-specific regulations developed for incinerator operation, contaminated sites, and biopesticides thereby enabling sectors to comply with the Stockholm Convention.	Output SADC 1.2 Model sector-specific regulations developed for incinerator operation, contaminated sites and bio-pesticides	No change	Output SADC 1.2 Model sector-specific regulations developed for incinerator operation, contaminated sites and bio-pesticides
		Outcome 1.2: Guidelines for controlling BAT/BEP in the informal sector developed and adopted		Output ECOWAS 1.2: Guidelines developed for instituting BAT/BEP in the informal sector	In the Project Revision 1 in July 2016 it was agreed to remove this output and incorporate into Component 3 awareness raising	Removed
Component 2: Sustainable enforcement and administrative capacity	Outcome 2.1: Train-the-trainer for national level environment staff and provincial level environmental level inspectors on the Stockholm Convention builds capacity of provincial staff and staff from other sectors to effectively enforce the convention	Outcome 2.1: Train-the-trainer for national level environment staff and provincial level environmental level inspectors, port workers and police, on the Stockholm Convention and hazardous wastes creates a cadre of trained personnel able to train others on the Stockholm convention	Outcome 2.1: Train-the-trainer for national level environment staff, provincial level environmental staff, and private sector stakeholders, on the Stockholm Convention and hazardous wastes creates a cadre of trained personnel able to train others on the Stockholm convention.	Output ALL 2.1: Trainers on enforcement of Stockholm convention established at national and provincial level at Ministry of Environment	No change	Output ALL 2.1: Trainers on enforcement of Stockholm convention are established at national and provincial level at Ministry of Environment

Component	COMESA	ECOWAS	SADC	Reconstructed TOC Output at Design	Changes during project execution	Reconstructed TOC Output at Evaluation
	Outcome 2.2: Development of guidelines, and (train the trainer) training for Environment, Customs and Quarantine staff, on inspection/monitoring and illegal traffic			Output COMESA 2.2: Environmental, Customs and Quarantine staff provided with guidelines and trainings on inspection, monitoring and control of illegal traffic	In January 2015 it was agreed with UN Environment to link this output with the training of the Judiciary (Output All 2.3)	Output COMESA 2.2: Environmental, Customs and Quarantine staff provided with guidelines and trainings on inspection, monitoring and control of illegal traffic (linked with Output All 2.3)
	Outcome 2.3: Development of tool kit, and training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions	Outcome 2.2: Development of tool kit, and training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads to increased support for implementation and active and enforcement of the convention by these sectors	Outcome 2.2: Training in use for economic instruments for environment and legal drafting staff enhances their ability to use these instruments to develop national enforcement measures. Outcome 2.3: Training of judiciary and Ministry of Finance staff on the Stockholm and other chemicals conventions leads to increased support for implementation and active and enforcement of the convention by these sectors	Output ALL 2.3: Judiciary and relevant ministries provided with toolkits and trainings on enforcement (including funding mechanisms) of the Stockholm convention	COMESA – At the Steering Committee in February 2015 it was agreed that Judicial training would only be done in four countries; Customs training will be done in all 6 countries. SADC – Focus on training on economic instruments – no change.	Output ALL 2.3: Judiciary and relevant ministries provided with toolkits and trainings on enforcement (in SADC only including funding mechanisms) of the Stockholm convention
					At the June 2017 Steering committee it was agreed that unspent funds in ECOWAS and COMESA would finance bursaries for students from the sub-regions to undertake the University of Cape Town Diploma in Pesticides Capacity Building Programme. ECOWAS additionally is funding UCT's updating Conventions Elective Course, Public Elective Course and developing chemical risk communication materials	Output COMESA & ECOWAS 2.3.1: three students funded to undertake the University of Cape Town Diploma in Pesticides Capacity Building Programme, and for ECOWAS chemical courses updated and chemical risk communication materials developed
		Outcome 2.3: Training of environmental specialists in POPs inventory making and in the FAO Pesticide Stocks Management System (PSMS) enables better management of pesticide stocks		Output ECOWAS 2.4: Environmental and agricultural specialists trained in POPs inventory making and in the use of the FAO Pesticide Stock Management System	No change	Output ECOWAS 2.4: Environmental and agricultural specialists trained in POPs inventory making and in the use of the FAO Pesticide Stock Management System.
					In the June 2017 Steering Committee meeting it was agreed that the ECOWAS project would support the preparation of PCB inventories in 8 of the ECOWAS PCB project countries, with expected completion mid-2018.	Output ECOWAS 2.4.1 Inventories of PCB wastes compiled in 8 ECOWAS countries

Component	COMESA	ECOWAS	SADC	Reconstructed TOC Output at Design	Changes during project execution	Reconstructed TOC Output at Evaluation
	Outcome 2.4: Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis.	Outcome 2.4: Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis	Outcome 2.4: Comprehensive, accurate and accessible database and network on laboratories exists and is used by countries to identify options for sample analysis	Output ALL 2.5: Network and database of sub- regional laboratories instituted.	At the Steering Committees (COMESA/SADC in Durban Feb 2015; ECOWAS in Lomé in June 2015) it was agreed to drop this output because laboratory capacity in Africa was weak and, under other interventions, UN Environment had already established a database of accredited laboratories.	Output removed and combined with Output ALL 2.5
Component 3: Coordinated information dissemination system and awareness raising	Outcome 3.1: Platform reactivated as an appreciated knowledge management system and actively utilized by participating countries.	Outcome 3.1: Platform reactivated as a knowledge management system and actively utilized by participating countries.	Outcome 3.1: Platform reactivated as a knowledge management system and actively utilized by participating countries	Output ALL 3.1: CIEN Platform reactivated as a knowledge management system and participating Countries trained in its use.	The CIEN is a tool that facilitates the sharing of knowledge about chemicals between staff involved in the enforcement of chemicals regulations. As such, it contributes to the achievement of direct outcome 2, so its identification number was changed from All 3.1 to All 2.5 ECOWAS: As UN Environment is no longer supporting CIEN, it was agreed at the Steering Committee meeting in Nairobi in June 2017 that BSCRC would host the knowledge management/information exchange on their website.	Output ALL 2.5: Knowledge Management Systems established based on CIEN Platform (to be hosted on the BSCRC website) and participating countries trained in their use; and UN Environment's database of accredited analytical laboratories made available;
			Outcome 3.2: Communication strategy developed (or updated in the case of Tanzania) in each participating country	Output SADC 3.2: National environment staff trained in the development of communication strategies for POPs	At the 2017 Steering Committee it was determined that it would be more effective if the capacity for developing communications strategies were built at the national or regional NGO level. As there were funds available in the COMESA project, the output was extended to cover COMESA as well.	COMESA & SADC 3.1: NGOs trained in the development of communication and advocacy strategies for POPs
	Outcome 3.2: Two pilot communities trained in each participating country and enabled to address POPs issues in their localities	Outcome 3.2: Two pilot communities trained in each participating country. NGO's are identified and gain experience in working on this issue ³¹	Outcome 3.3: Development of POPs education materials (including on 9 new POPs), and pilot community training, working with local NGOs and focusing on vulnerable communities leads to increased awareness of communities on the dangers posed by POPs	Output ALL 3.3: POPs awareness raising undertaken (ECOWAS only) with vulnerable communities	COMESA and SADC: no change ECOWAS: Enhanced with training and awareness documentation but no change to the wording of the output. In 2014, it was agreed that awareness raising of vulnerable groups should be focused on four pilot countries (Burkina	Output ALL 3.2: POPs awareness-raising campaigns undertaken in Schools (ECOWAS only) and with vulnerable communities in targeted countries.

³¹ The logframe baseline and target indicate that this "outcome" refers to building awareness and capacity in vulnerable communities to reduce risks from POPs.

Component	COMESA	ECOWAS	SADC	Reconstructed TOC Output at Design	Changes during project execution	Reconstructed TOC Output at Evaluation
		Outcome 3.3: Development of a POPs-focused environmental education program on POPs (including teacher training) creates awareness of POPs issues to a wide population and entrenches the issue in the education system			Faso, Mali, Senegal and Togo) rather than all participating countries. The learning from these pilot countries would be shared with the other countries.	
	Outcome 3.3: COMESA countries make a declaration committing to be able implement the Stockholm Convention, and that if required resources will be made available	Outcome 3.4: ECOWAS countries make a declaration committing to implement the Stockholm Convention, and, if required, provide resources.	Outcome 3.4: SADC countries make a declaration committing to implement the Stockholm Convention, and, if required, to make resources available.	Output ALL 3.4: Advocacy undertaken at high level in RECs and Participating Countries to encourage participating countries to implement the Stockholm convention	During the evaluation, this "output" was identified as being an activity to influence the driver # 1 "Pressure on government at the international level (e.g. Basel Secretariat, RECs,) to fulfil their Stockholm Convention obligations". As such the output has been removed.	Removed as output and considered an activity to influence driver #1.

4.2 Causal Linkages

118. As the objective of the three projects was that of strengthening technical capacities of LDCs, the Theory of Change presents the project logic considering the results and changes at country level. The identical causal logic is applied to each of the countries within the same project. The only difference was where some outputs were only applied to a single or limited number of countries, such as development of pesticide regulation in Uganda in the COMESA project and in the ECOWAS project, the POPs awareness raising in vulnerable communities and in the education sector were only undertaken in the four pilot countries (Burkina Faso, Mali, Senegal, and Togo).

119. The Theory of Change includes one Pre-Condition that needs to be in place in each country before the projects can start³²:

- PC.1 Strong Government ownership and commitment at highest national level; (strong Ministry of Environment commitment is required but is not a sufficient pre-condition), e.g. leadership for approval of regulations and mainstreaming chemicals in regional/national development agenda.

Outputs to Direct Outcomes

120. The delivery of each of the fourteen Outputs leads to the achievement of one of the following three Direct Outcomes:

- National legislative and regulatory frameworks endorsed for eventual adoption in participating countries;
- Enforcement capacities built and mainstreamed in participating countries;
- Public and vulnerable communities in targeted participating countries change their behaviour to avoid exposure to POPs.

121. The effectiveness of the Outputs to achieve the Direct Outcomes is influenced by the Assumptions and Drivers, which are discussed in paragraphs 134 and 135 below.

122. The delivery of the four reconstructed Outputs starting with serial number “1” all contribute to the achievement of Direct Outcome # 1, “**National legislative and regulatory framework adopted in participating countries**”, where national legislative bodies enact the legislation and regulations that have been drafted under the project. **National chemicals legislation and regulations** are drafted or improved (Output ALL 1.1.1) based on **the model chemicals legislative framework** (Output ALL 1.1). The model law supports the broader sound management of chemicals, in addition to the implementation of the Stockholm Convention. In COMESA, Uganda also would draft **2 new regulations on pesticides** (Output COMESA 1.2) and in SADC **sector-specific regulations on Incineration operation, contaminated sites and biopesticides** (Output SADC 1.2) would be drafted.

123. The delivery of reconstructed Outputs starting with serial number “2” all contribute to the achievement of the Direct Outcome # 2, “**Enforcement capacities built and mainstreamed in participating countries**”, where the technical capacity of the national bodies that are involved

³² Pre-conditions can either be “in place”, or “partly in place” or “not in place”.

in the enforcement of chemicals legislation and regulations and the implementation of the Stockholm Convention NIP would be raised and mainstreamed. This relates to the capacity of staff involved in control and inspection (environment officers, customs and police) to identify infractions against the Stockholm Convention and national chemicals legislation and to present a case for prosecution; and prosecutors and the judiciary to successfully prosecute and try cases of infractions against the Stockholm Convention and national chemicals legislation. It also relates to the capacity being routinely transferred to new staff through systematic training mechanisms.

124. Outputs ALL 2.1, COMESA 2.2 and ALL 2.3 involved regional training of trainers for staff of the Environmental Ministries, Customs, Ministry of Finance, Ministry of Agriculture and the Judiciary in enforcement of the Stockholm Convention and chemicals regulations. These trainings were followed up with national trainings. Where possible, the trainings were undertaken through the adaption of the curricula of national training institutes, which supported the mainstreaming of the training capacity. Output COMESA & ECOWAS 2.3.1 would establish bursaries for four students (from ministries involved in enforcement) to undertake the University of Cape Town's two-year distance learning Diploma Course in the Pesticides Capacity Building Programme, as well as updating chemical courses and developing chemical risk communication materials (for ECOWAS). All these outputs contribute to building capacity for enforcement of the Stockholm Convention and subsequently, the national chemicals legislation, once approved.
125. In SADC only, under output 2.3 there was also training in economic instruments for environmental officers and legal drafters which would contribute to provide sustainable funding mechanisms for national enforcement activities. This would contribute to Assumption #5 holding true (countries include sustainable funding mechanisms for enforcement in their national legislation or continue to commit sufficient national budget resources for enforcement activities).
126. Outputs ECOWAS 2.4, 2.4.1 and 2.4.2 contributed to the implementation of the Stockholm Convention NIP with inventories of POPs and other obsolete pesticides, and PCBs. The approach involved the regional trainings of trainers (inventory and PSMS) followed by national inventories.
127. Output ALL 2.5 aimed to provide knowledge management systems at country level which would link to sub-regional and regional information sharing systems. This was based on the UN Environment's Chemicals Information Exchange Network (CIEN) and the database of accredited analytical laboratories for sharing relevant information on POPs and chemicals between the countries. This would help to maintain and update enforcement capacity beyond the life of the project.
128. The delivery of reconstructed Outputs starting with serial number "3" all contribute to the achievement of Direct Outcome # 3, "**Public and vulnerable communities in targeted participating countries change their behaviour to avoid exposure to POPs**". Output COMESA & SADC 3.1 delivered training to NGOs in the development of communication and advocacy strategies for POPs. This output aimed to improve the effectiveness of NGOs to deliver Output ALL 3.2 by raising awareness and changing the behaviours of the public in relation to their practices with hazardous chemicals. It also contributed Driver # 2 **Pressure from civil society, media and public to address sound management of chemicals and Persistent Organic**

Pollutants (POPs), which is explained below in paragraph 135. The NGO contracted to deliver Output ALL 3.2 in ECOWAS was already sufficiently experienced in POPs and pesticides communications, advocacy and behaviour change. In ECOWAS, Output ALL 3.2 also included the capacity building in the education sector that would promote Sound Chemicals Management through teachers to young adults.

Direct Outcomes to Intermediate state

129. There is some linkage between Direct Outcome # 1, National legislative and regulatory frameworks adopted by the participating countries and Direct Outcome # 2 Enforcement capacities built and mainstreamed in the participating countries. Depending on the timing of the drafting and adopting of the new national chemicals legislation, if the legislation is available, the capacity building can be specific in the actual enforcement of the new regulations. The design of the projects did not include any sequencing between the achievement of outcome # 1 before the commencement of delivery of outputs leading to outcome # 2.

130. When combined, the two Direct Outcomes lead to the achievement of the Intermediate State “Enforcement of Stockholm Convention provisions undertaken in a sustainable, effective and comprehensive manner in support of the Sound Management of Chemicals”. This was derived from the original objective statement of the three project documents. This would mean that at the country level, inspection staff (environmental officers, customs, police, agricultural officers) have the knowledge, equipment, resources and funds to undertake inspections at border points and throughout the country to identify infractions against the chemicals legislation and to provide evidence that can lead to successful prosecutions. Prosecutors have the capacity to present a case in court that leads to successful prosecution. The judiciary has the capacity to try infraction cases in an informed and transparent manner and where infractions have been committed to hand down sentences that are commensurate with the level of the infraction. This will discourage further infractions by the transgressor and be an example to others. This capacity will be maintained through the mainstreamed training. The achievement of this Intermediate State is critically predicated on Assumption # 5 holding true, namely: “Countries include sustainable funding mechanisms for enforcement in their national legislation or continue to commit sufficient national budget resources for enforcement activities”.

131. Drivers # 1, 2, and 3 also influence the effectiveness of the achievement of the Intermediate State.

Impact

132. There is a single Impact that links to the GEF Global Environmental Benefit: **“Risks from POPs to public health and the Environment in COMESA, ECOWAS and SADC LDCs are reduced”**. This impact will eventually be realised when the Intermediate State has had time to reduce the number and nature of hazardous chemicals in the country and to reduce the risks of their use through appropriate enforcement measures. Its realisation will also be directly influenced by Direct Outcome # 3 **“Public and vulnerable communities change their behaviour to avoid exposure to POPs”**. The behaviour changes expected in the vulnerable communities, such as farmers, are that they will adopt alternatives to POPs and hazardous pesticides for the control of pests (including organic agriculture and integrated pest

management); when they are forced to use pesticides, they will select the ones least harmful to human health and the environment and will protect themselves by using reliable equipment and appropriate protective clothing. They will understand the risks from wastes contaminated by pesticides, such as empty containers, and they will manage them in a way that protects the environment and public health (e.g. by triple rinsing and puncturing).

Assumptions and Drivers

133. The Theory of Change also includes the following assumptions and drivers:

134. **Assumptions** – An important element in any Theory of Change; if these are wrong, then the theory may not work or collapse entirely³³. The AFLDC ToC is based on the following fundamental assumptions:

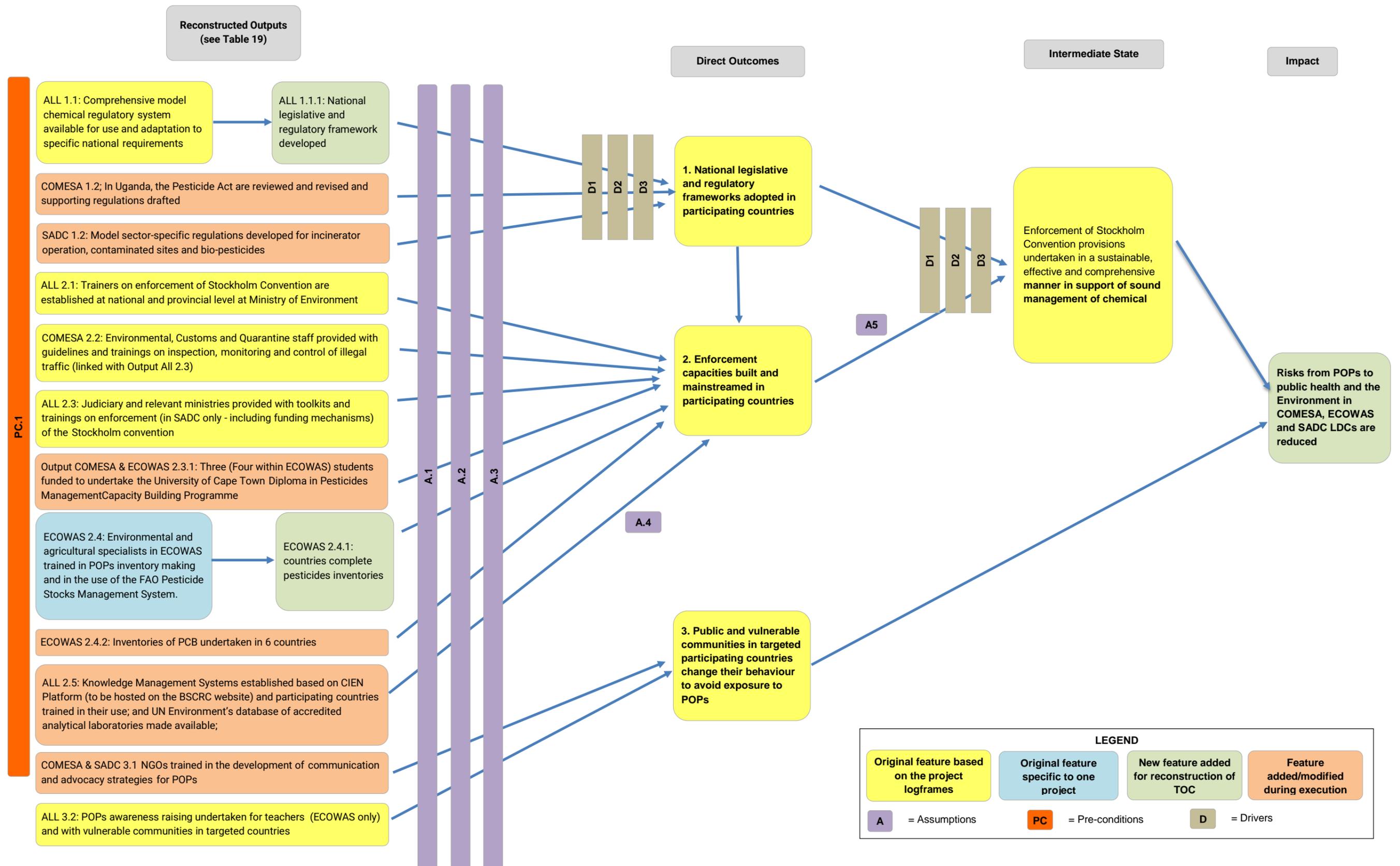
- A.1 Governments are committed and consider this intervention a national and regional priority. Underlying Assumption: Support is demonstrated from senior management at national level (human and financial resources are made available);
- A.2 UN Environment has the capacity and resources to supervise the delivery of the expected results at regional and national level;
- A.3 Executing Agencies have the capacity to contract, manage and deliver the expected results;
- A.4 Solid knowledge management systems in place, which can be built upon, for example UN Environment's Chemical Information Exchange Network (CIEN) and its database of accredited laboratories for chemical analysis
- A.5 Countries include sustainable funding mechanisms for enforcement in their national legislation or continue to commit sufficient national budget resources for enforcement activities.

135. **Main drivers.** These are external conditions over which the project has some level of control, and can influence the achievement of the next level results.

- D.1 Pressure on government at the international level (e.g. Basel Secretariat and RECs) to fulfil their Stockholm Convention obligations. The project document in Component 3 in all three projects identified that resources would be used for advocacy related interventions to focus on ministerial support for POPs issues,
- D.2 Pressure from civil society, media and public to address sound management of chemicals and Persistent Organic Pollutants (POPs)
- D.3 Pressure from active communities as a result of awareness raising activities carried out by active communities, advocacy groups (teachers, NGOs)

³³ Assumptions can either be "accurate", or "inaccurate" or "uncertain".

Figure 2 Theory of Change at Evaluation



5 Evaluation Findings

5.1 Strategic Relevance

5.1.1 Alignment to UN Environment Mandate, Medium Term Strategy and Thematic Priorities

136. These interventions contribute to the results framework of the UN Environment Programme of Work 2010-2011 (PoW 2010-2011) under Sub-programme 4 – Environmental Governance and, 5 – Harmful Substances and Hazardous Waste. Under Sub-programme 4, these projects are directly in-line with Expected Accomplishments A (achieving synergies and demonstrating increasing coherence in international decision-making processes) and B (strengthened capacity of States to implement environmental obligations, including integration of Gender equity principles). Under Sub-programme 5 these interventions address Expected Accomplishments A (mainstreaming sound management of chemicals into development policies, primarily in LDCs); B (support in setting the international environmental chemical and waste agenda) and, C (support implementation of multilateral environmental agreements at the national and regional levels).

137. These interventions contribute to the results framework of the UN Environment Programme of Work 2016-2017 (PoW 2016-2017) under the Chemicals and Waste Sub-programme and corresponding Expected Accomplishment B (Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement the sound management of chemicals management and the related multilateral environmental agreements). Respective PoW Output 4 – Scientific and technical services delivered through multi-stakeholder partnerships, to build the capacities of governments, the private sector and civil society to take action on the risks posed by chemicals including those listed in relevant MEAs.

138. As regards the UN Environment Medium Term Strategy, the projects directly contributed to the delivery of 2 of its cross cutting thematic priorities^{34, 35}: d) Environmental governance (supporting States to increasingly implement environmental obligations and achievement of priority goals); and, e) Harmful substances and hazardous waste (to minimize impact on the environment and human beings).

139. Work under the Environmental Governance priority aimed to improve coherence and cooperation among environment related mechanisms in order to strengthen environmental governance at country, regional and global levels to address environmental priorities. This included supporting governments to “establish, implement and strengthen processes, institutions, laws, policies and programmes, as well as working with UN entities, international

³⁴ *Medium-term Strategy for 2010-2013, UNEP (DEPI)/RS.10 /3.*

³⁵ *To implement its Medium Term Strategy, UN Environment was to actively reach out to “Governments, other United Nations entities, international institutions, secretariats of multilateral environmental agreements, civil society, the private sector and other relevant partners”.*

institutions, regional environmental bodies” and others “to increase mainstreaming of environment into other sectoral processes and policies, including at the country level”.

140. Work under the Harmful Substances and Hazardous Waste priority aimed to support the development and evolution of internationally agreed chemical management regimes, and assisting countries in increasing capacities for sound management of chemicals, including supporting initiatives, targeting chemicals covered by multilateral environmental agreements. UN Environment aimed to increase capacities and financing in support of reduced risks to human health and the environment and, for development of policy and control systems, in line with States’ international obligations.

5.1.2 Alignment to Regional, Sub-regional or National Environmental Priorities

141. The common stated Goal of the three projects was to strengthen capacities for environmentally sound management of chemicals (SMOC), controlled under the Stockholm Convention (SC) in the Least Developed Countries (LDCs) and Small Island Developing States (SIDS) in the sub-regions. They thus contributed to the implementation of their SC National Implementation Plans (NIPs).

142. The projects are fully aligned with national priorities supporting NIP implementation. They all built on the momentum of national coordinating mechanisms established during the NIP development process and, contributed to strengthening countries’ established capacities for the sound management of chemicals. (see also paragraphs 144-145 on national priorities).

143. The ECOWAS project is aligned with ECOWAS’ goal to harmonize pesticide registration and regulation within its members. As members of the East African Community (EAC), the project activities in Burundi, Rwanda, Tanzania and Uganda are in alignment with the EAC’s policy of harmonised pesticide registration.

5.1.3 Alignment to Target Group and Beneficiary Needs and Priorities

144. These projects contributed to achieving improved legislative and regulatory mechanisms in participating countries as well as more effective enforcement. They were in essence capacity building projects that targeted national and provincial governments as well as NGOs and civil society involved in the management of chemicals, or that were impacted by chemical use, including POPs.

145. The project executed activities on several levels from grassroots community groups, agricultural workers and farmers, provincial level environment staff, national level environment officers and the ministerial level. Differing strategies were used to communicate with each of these groups. To increase public awareness, the project worked through the POPs NFPs to communicate with the general public and relevant NGOs, and to identify potentially vulnerable community groups.

146. The Evaluation Team met with stakeholders in 11 countries and in addition met with a number of others in the margins of the last Steering Committee meeting (Nairobi, June 2017). Relevance to target groups was made clear and the interviews provided ample evidence that stakeholder groups had not only been reached, but demonstrated a good to very good understanding of the issues at hand. Interviews provided ample opportunity for the Evaluation

Team to confirm that, without exception, stakeholders considered the project to be of high relevance.

147. As well, outputs were considered indispensable to deliver the expected results and stakeholders demonstrated a desire and confirmed the need for a follow-on project.

5.1.4 Alignment to GEF and Donor Strategic Priorities

148. These interventions were aligned with GEFs goal “to promote the sound management of chemicals throughout their life-cycle in ways that lead to the minimization of significant adverse effects on human health and the global environment.” Specifically, the projects were aligned with POPs Strategic Program 1 (SP1), strengthening capacities for NIP development and implementation, and Strategic Program 2 (SP2), partnering in investments for NIP implementation. In addition, the project contributed to sound chemicals management and POPs use and release reduction objectives.

149. The ECOWAS project was aligned to FAO’s and the Government of Japan’s priorities to reduce the risks from pesticides as evidenced by the FAO co-finance from the Japanese funded project in Benin to eliminate 400 tonnes of Endosulfan and to promote safer alternatives in pest management.

5.1.5 Complementarity with Existing Interventions

150. The intervention was designed to be complementary to a number of other recent or ongoing or planned interventions by UN Environment and others including, in particular: the UN Environment/WHO programme for identification and introduction of alternatives to DDT in disease vector control; the GEF funded World Bank/FAO African Stockpiles Programme; the GEF/UN Environment West Africa PCB management project; UN Environment/KEMI Legal and Institutional work on Sustainable Chemicals Management; UN Environment/UNDP Sustainable Chemicals Management Partnership Initiative; Strategic Approach to International Chemicals Management (SAICM) Quick Start Programme in the regions; European Union funded UN Environment and FAO executed programme in support of implementation of Multilateral Environmental Agreements in Africa, Caribbean and Pacific (ACP/MEAs Programme); FAO executed projects to strengthen capacity for pesticide management which includes the GEF-funded programme for disposal of obsolete pesticides and strengthening pesticide management capacity in the CILSS countries of West Africa; Basel Convention Africa e-waste project; WWF pesticide training; and the activities of Civil Society Organizations to promote sustainable agricultural practices less reliant on pesticides such as PAN Africa and PELUM.

151. Although these programmes were ongoing during the execution of the LDC projects and their activities were in similar fields, the only evidence of actual collaboration was in the following:

- The Africa Stockpiles Programme in which WWF had participated and the knowledge transfer to WWF staff was benefit until the staff member moved to UN Environment in 2013;
- The GEF-funded FAO project in the CILSS where there was direct collaboration with a joint training in ECOWAS countries for undertaking inventories of obsolete

pesticides. The ECOWAS LDC project funded participants from 6 countries while the FAO project covered another eight countries. The training was undertaken in Mali with the support and facilitation of staff of the Ministry of Environment who were in the process of executing their own national GEF project for the elimination of POPs and other obsolete pesticides that had been inventoried under the Africa Stockpiles Programme;

- The Japanese funded FAO project in Benin supported inventory and disposal of 400 tonnes of Endosulfan and the promotion of alternatives. The capacity built during this project was reutilised and its national coordinator was hired by Green Cross to support the preparation of inventories in ECOWAS LDC project countries;
- Countries that had SAICM Quick Start projects cited them as being complimentary, e.g. Uganda;
- PAN Africa was also engaged in the Africa Stockpiles Programme from which they developed communications and awareness raising materials on reducing risks from pesticides. These tools were used in their interventions in the output to raise awareness in the education sector and vulnerable communities;
- PELUM was engaged to raise awareness with vulnerable communities in Lesotho.

152. In addition, the UNIDO Project Document describes that it will seek to complement the work of the Stockholm Convention Secretariat's Global Monitoring Plan for POPs; and GEF/UNDP health care waste work, however, the evaluation did not find any evidence to support this.

153. The evaluation found that the interventions in project countries were often complemented by other bilateral interventions. An example of this is the Norwegian funded project in Uganda for the oil and gas sector that will support the finalization and approval of the revised environmental law after the COMESA LDC project closes.

5.1.6 UN Environment Capacity Building and South-South Cooperation Policies

154. Alignment with the Bali Strategic Plan for Technology Support and Capacity Building (BSP) is considered to have been strong as these interventions were essentially enabling and capacity building activities geared towards facilitating implementation of the Stockholm Convention. In particular, this included steps towards the revitalization of a web-based information exchange platform, the Chemical Information Exchange Network – Environmentally Sound Technologies Information System (CIEN/ESTIS); countries received training to support its use and further development. In this sense, the projects are considered relevant and consistent with the Bali Strategic Plan for Technological Support and Capacity Building as they supported a more coherent and effective delivery of capacity building and technical support.

155. Finally, for South-South Cooperation, the project was designed to assist LDCs in Africa and included a number of inter-regional and sub-regional networking and training activities. Evidence suggests that these activities have facilitated South-South cooperation and interview data confirms that the meetings were highly appreciated by participants and allowed for cross-fertilization and sharing of experiences. As such, it is considered that the project is aligned with UN Environment South-South cooperation policies.

156. Considering all the above and the Evaluation Criteria Matrix, all three projects are rated Highly Satisfactory.

Strategic Relevance of COMESA, ECOWAS, and SADC projects is rated 'Highly Satisfactory'

5.2 Quality of Project Design

157. Evidence indicates that the project originated from discussions between the GEF Secretariat, Basel Convention Secretariat, UNIDO and UN Environment, where there were concerns that African LDCs were not able to implement their NIPs. This led to the development of a GEF programme framework document with components for both UN Environment and UNIDO responding to their respective comparative advantages. There is limited evidence about the role/involvement of the countries at the programme framework development stage, but it would appear that some bilateral discussions took place that helped to identify the needs of the countries.

158. Evidence suggests that the Executing Agencies for the UN Environment Projects were identified by the agency at the time of the development of the Programme Framework Document, with minimal consultation with the other project partners and countries. World Wide Fund for Nature – Regional Office for Africa (WWF-ROA) was chosen on the basis of their experience in the GEF's Africa Stockpiles Programme to act as the Executing Agency in the COMESA and SADC projects. The identification of an Executing Agency for the ECOWAS sub-region was more complex as there were no regional bodies with experience of GEF project execution. UN Environment encouraged the use of the Basel Convention Regional Centre in Dakar, which had applied to also become a Stockholm Convention Regional Centre. Given the BSCRC's lack of previous experience in executing GEF projects, Green Cross Switzerland was selected as co-Executing Agency to provide support on financial aspects³⁶.

159. Following the GEF's approval of the programme framework document and the Project Preparation Grant, stakeholder/needs assessment workshops for the three sub-regions were convened in early 2010. These workshops were attended by a majority³⁷ of the countries to be involved in the Projects. WWF-ROA was contracted by UN Environment to execute the PPG for UN Environment aspects of the programme, which includes the formulation of the three sub-regional GEF Full Sized Projects (FSP).

160. The three projects were originally designed before the principles of the Theory of Change were incorporated in UN Environment's project design process. The project documents laid out goals and objectives in a manner consistent with their respective priorities and were developed using the appropriate standards of the time. In general, the narrative synthesis is consistent and fact based; the products are necessary to achieve the expected results. Baselines and targets are on the whole clear and indicators are suitable, although in some cases not SMART³⁸. The verification sources are accessible, and the risks and assumptions identified are external critical factors beyond the direct control of the project. The thematically

³⁶ Green Cross Switzerland had previous experience as a GEF Executing Agency for a number of UN agencies.

³⁷ All countries apart from Sao Tome and Principe and Cape Verde.

³⁸ Specific, Measurable, Achievable, Results-Oriented, Time-Bound.

focused design is adequate and lays out the intentions and objectives of the project in a manner that is consistent with and supports addressing the problems at hand; it also is fully aligned with the goals identified in the preparatory phase.

Strengths and Weaknesses

161. The Assessment of Project Design Quality identified some significant strengths and weaknesses.

162. The main areas of strengths were in: Nature of External Context; Strategic Relevance; Governance and Supervision Arrangements; Learning, Communication and Outreach; Financial Planning / Budgeting; Efficiency; and Identified Project Design Weaknesses/Gaps, all of which scored Satisfactory.

163. The main areas of weakness were in: Project Preparation; Intended results and Causality; Logical Framework and Monitoring; Partnerships; and Sustainability/Replication and Catalytic Effects, all of which scored Moderately Unsatisfactory. The main reasons for the weaknesses are shown in the Table 20 below.

Table 20 Weaknesses in Project Design

Assessment area	Main issues
Project Preparation	The stakeholder analysis and consultation was narrowly concentrated on institutional stakeholders at a high level, primarily with participating governments and some civil society organizations. It did not identify the vulnerable groups whose attitudes and behaviours the project was intending to influence.
Intended results and Causality	The outcomes in the logical framework were confused with many being outputs and others being higher level intermediate states (see section 4.1 page 48). In addition, the scheduling of the implementation of project components had a direct effect on overall project results. Capacities should have been built to support enforcement of national legal frameworks, once these had been established or adopted, rather than in parallel.
Logical Framework and Monitoring	The objectives were not always SMART. The indicators were not time-bound or achievable as they were outside the control of the project.
Partnerships	Preliminary review of project reports and interviews indicate that partnership analysis in the project design was not sufficient.
Sustainability / Replication and Catalytic Effects	The information exchange mechanism CIEN required the RECs to identify funding sources to finance the network after the project closes. There was a high risk that this funding would not become available.

164. The overall rating for quality of project design for all three Projects is derived using the UN Environment “Project Design Quality Assessment Table”.

Quality of Project Design of the COMESA, ECOWAS, and SADC projects are each rated ‘Moderately Satisfactory’

5.3 Nature of External Context

All projects

165. Although very different external and country-specific conditions occurred during the period of implementation of these projects in the sub-regions, in general, this Criteria is not considered to have had a significant negative effect on delivery of the expected Outputs.
166. Some countries were impacted at different times by external events, which included political unrest and security related concerns, however, overall during project implementation, this was considered to be mostly predictable and was, in general, only occasionally a minor to moderate threat to project implementation. As regards climatic events, in general the three sub-regions are considered to be subject to largely predictable disasters or changes, however in some cases these had intermittent or partial effects on project operations.
167. Regarding the security situation, social or economic issues or changes, these occasionally challenged project implementation but mitigation strategies were in general successfully developed. This also includes the fact that, in general, capacity is very low at all levels and partners reportedly required constant support and technical assistance during project implementation.

COMESA

168. The only country to have experienced a significant adverse impact was Sudan that was subject to UN Sanctions. The sanctions impacted the ability of WWF-ROA to transfer funds to the country to undertake national activities.

ECOWAS

169. The only countries to have experienced significant adverse impacts were Guinea, Liberia and Sierra Leone where there were outbreaks of Ebola virus in 2014 and 2015. Travel restrictions and avoidance of meetings did cause significant delays. The civil unrest and the resultant heightened security in the Central African Republic (CAR) and the north of Mali impacted implementation between 2012 and 2015

SADC

170. There were no specific significant external events.
171. Using the methodology outlined in section 2.2.5, and UN Environment's Evaluation Criteria Rating Matrix³⁹, countries where information was available were rated and the averages computed for each sub-region.

³⁹ UN Environment's Criteria Ratings Matrix version dated 20 November 2017.

5.4 Effectiveness

172. Effectiveness was assessed based on the delivery of the restructured outputs as at 31 December 2017 (section 5.4.1), achievement of the direct outcomes (section 5.4.2) and the likelihood of impact (section 5.4.3). A summary of the status of the delivery of the projects' outputs is presented in Table 21 on page 67. The assessments are summarized and aggregated at the regional level as per the evaluation data analysis methodology presented in Methods Used for Data Analysis in section 2.2.5 on page 34. Delivery of key outputs, or progress towards delivering these by project closure, are presented below the table.
173. The Evaluation Team was able to document significant qualitative and quantitative results for all Direct Outcomes and, although the progress under each of these headings was reviewed in detail, only a summary of findings per COMESA, ECOWAS and SADC is presented in this chapter. It is, however, important to note that this review takes into consideration the fact that, at time of writing of this Terminal Evaluation, a number of the outputs have yet to be completed.

Table 21: Summary of the Delivery of the Projects' outputs (compiled from various sources⁴⁰)

Component	Direct Outcome	Outputs	Status at Project Evaluation
Component 1 – Legislative and Regulatory Framework in Place	1. National Legislative and regulatory frameworks adopted in participating countries	ALL 1.1: Comprehensive Model chemical regulatory system available for use and adaptation to specific national requirements.	Output delivered in all projects: Draft model comprehensive legislation framework developed and translated into French and Portuguese. (paras 175 to 177)
		ALL 1.1.1: National legislative and regulatory framework developed.	Output delivered in all projects: COMESA: 5 countries (target 4) ECOWAS: 10 countries (target 5) SADC: 2 countries (target 2) (paras 179 to 181)
		COMESA 1.2; In Uganda, the Pesticide Act are reviewed and revised and supporting regulations drafted.	Output partially delivered: (para 182)
		SADC 1.2: Model sector-specific regulations developed for incinerator operation, contaminated sites and bio-pesticides.	Output not delivered: External support was reportedly requested from FAO and the EU who had model regulations in these areas. It was planned to adapt these regulations for the region. This support was not forthcoming. No further activity has taken place. (para 183)
Component 2 - Sustainable enforcement and administrative capacity established, and enforcement of Stockholm Convention	2. Sustainable enforcement and administrative capacity established in participating countries	ALL 2.1: Trainers on enforcement of Stockholm Convention are established at national and provincial level. COMESA 2.2: Environmental, Customs and Quarantine staff provided with guidelines and trainings on inspection, monitoring and control of illegal traffic ALL 2.3: Judiciary and relevant ministries provided with toolkits and trainings on enforcement (in SADC only including funding mechanisms) of the Stockholm Convention.	Output delivered in all 3 sub-regions. All regional training-of-trainers have been completed in each of the 3 sub-regions; national trainings have been undertaken. Overall, all project targets have been surpassed. (paras 184 to 191)
		Output COMESA & ECOWAS 2.3.1: Four students funded to undertake the University of Cape Town Diploma in Pesticides Capacity Building Programme.	Output expected to be delivered: Bursaries procured for participation in 2018-2019 course. (para 192)

⁴⁰ The sources supporting this table include documentary evidence (PIRs, Steering Committee reports, etc.) as well as interview data.

Component	Direct Outcome	Outputs	Status at Project Evaluation
provisions undertaken		ECOWAS 2.4: Environmental and agricultural specialists trained in POPs inventory making and in the use of the FAO Pesticide Stock Management System. ECOWAS 2.4.1: Countries complete pesticides inventories.	Output partially delivered: Regional inventory training took place in February 2017 for 3 participants from 14 of the participating countries (6 funded by the project and 8 by FAO CILSS project). Inventories undertaken in 6 ECOWAS countries (funded by the project) A regional training on the Pesticide Stock Management System (PSMS) is planned. (paras 193 to 195)
		ECOWAS 2.4.2: Inventories of PCB undertaken in 6 countries	Output expected to be delivered in 2018. Samples taken in 6 of the 8 countries, analysis ongoing, expected completion date for all 8 countries May 2018. (paras 196)
		ALL 2.5: Knowledge Management Systems established based on CIEN platform (to be hosted on the BSCRC website) and participating countries trained in their use; and UN Environment's database of accredited analytical laboratories made available;	Output partially delivered: Trainings on CIEN undertaken in all sub-regions and countries. Platform not yet functioning. Proposal that BSCRC will host the CIEN website. Laboratory Database has not yet been made available to countries. (paras 197 to 202)
Component 3 - Experiences and good practices disseminated and shared ⁴¹	3. Public and vulnerable communities in targeted participating countries change their behaviour to avoid exposure to POPs	COMESA & SADC 3.1 NGOs trained in the development of communication and advocacy strategies for POPs	Output not yet delivered (para 203)
		ALL 3.2: POPs awareness-raising campaigns undertaken in schools (ECOWAS only) and with vulnerable communities	Output largely delivered in all three projects. COMESA: Completed in Burundi, Uganda and Rwanda ECOWAS: Completed in the 4 targeted pilot countries (Burkina Faso, Mali, Senegal and Togo). Additional activities ongoing. SADC: 85% complete as at June 2017 – Activities complete in Lesotho and Mozambique. (para 204)

⁴¹ Component 3 in the project documents included the output to revitalize the CIEN platform as a knowledge management system. As this output contributes to direct outcome 2, it has been renumbered All 2.5 and its effectiveness is summarized in the text above this footnote.

5.4.1 Delivery of Outputs

Component 1 – Legislative and Regulatory Framework in Place

174. The purpose of this component was to assist countries in all three projects to draft new (or to improve existing) chemicals legislation and regulations. This would be delivered by the development of a model law that would subsequently be used by all countries as the basis for the drafting of their national law on chemicals. Additionally, in the COMESA and SADC projects, there were outputs to strengthen other specific legislative aspects.

Model Law (Output 1.1)

175. The Model legislation and regulatory framework, which aimed to be suitable for all three sub-regions, was developed by a consultant, engaged by the WWF-ROA in collaboration with Green Cross Switzerland. In the survey, respondents were asked to rate the usefulness/helpfulness of the model law in drafting their national law (from highly helpful to highly unhelpful). The results (Table 22) show that all responding countries found the guidance helpful or very helpful. The evidence from the evaluation missions also confirmed a high degree of satisfaction with the model law and noted some comments to help improve it, which are expanded on in paragraphs 176 and 177.

Table 22 Survey rating for helpfulness of Guidance on Model Law

	Number of Countries ⁴²	
	Highly Helpful	Helpful
COMESA	2	4
ECOWAS	4	4
SADC	1	3

176. It is to be noted that this model law was developed based on the British legal system (Common Law). Although interview data confirmed that this document was useful for countries by providing either a good starting point, or guidance, it also appeared that for countries operating under other legal systems (Napoleonic Code, etc.), this created an additional challenge.

177. Although not specifically identified at the time of approval of the projects, the model law did not include suggestions of mechanisms for raising funds in support of sustainable enforcement activities. Should a country's legal system support this, routine enforcement could be funded from permits and licensing. Evidence also indicates that the suggested penalties in the model law are set at levels too low to effectively discourage transgression. The Evaluation Team considers that this was an oversight and should be rectified before any other similar model laws are distributed.

⁴² Each country rating is a summary of the individual survey responses from that country.

National chemical legislation (Output 1.1.1)

178. The survey asked respondents to specify the status of the drafting of the national chemicals legislation. One assessment of the status in each country was based on the average/mode responses of the respondents from that country. Where there was no evidence from a country, it was not rated. The results were correlated with evidence from the interviews and documentation and are shown in Table 23 below

Table 23 Status of drafting of national chemicals legislation

Status	COMESA	ECOWAS	SADC
Pre-existing	1	2	1
Not drafted		1	
Partially drafted		1	1
Drafted	5	7	2
Grand Total	6	11	4

179. COMESA – The target at time of project approval was that four countries would have developed and drafted chemicals regulation. At the time of the Terminal Evaluation, data shows that five out of six countries have drafted national regulatory documents, which are at different stages of the national approval processes. One country confirmed that appropriate legislation was in place prior to the project commencing.

180. ECOWAS – The target at time of project approval was that five countries would have developed and drafted chemicals regulation. Although at the time of the Terminal Evaluation data was not available for all countries in the sub-region, evidence indicates that the target has been reached with seven countries confirming the legislation has been drafted. It is expected that at least a further five (and ideally eight) countries will be able to provide drafted national legislation prior to project completion.

181. SADC – The target at time of project approval was that two countries would have developed and drafted chemicals regulation. At the time of the Terminal Evaluation data shows that the target has been reached with two countries having drafted national regulatory documents, and currently at different stages of the national approval processes. A third country is in the process of finalization (expected early 2018).

National Sector specific legislation (COMESA 1.2; and SADC 1.2)

182. COMESA – This output (drafting of pesticide regulations under the Ministry of Agriculture, Animal Industry, and Fisheries) was only being delivered in Uganda. Internal issues delayed establishment of the contract for the drafting of the two new pesticides regulations. Some drafting has taken place, but it will not be completed before the project closes. The line Ministry has confirmed the importance of the output and its commitment to complete its drafting and adoption. At the next opportunity in the government’s budgeting process, funds allocation will be requested to complete the regulations.

183. SADC – The output to develop model sector-specific regulations for incinerator operation, contaminated sites and bio-pesticides has not been delivered. External support was reportedly requested from FAO and the EU who it was understood had model regulations in these areas. It was planned to adapt these regulations for the region. This support was not forthcoming; no progress has been made to date and the Evaluation Team understands that this output will not be delivered by project closure.

Component 2 – Sustainable enforcement and administrative capacity established, and enforcement of Stockholm Convention provisions undertaken.

Output All 2.1 Trainers on enforcement of Stockholm Convention are established at national and provincial level at Ministry of Environment.

184. In all three projects, the regional trainings of trainers of environmental officers on enforcement of the Stockholm Convention were carried out successfully in the early stages of the project. Subsequent national trainings were organised in 2016 and 2017 surpassing overall expected targets in terms of number of staff trained in each project.

185. Evidence from the survey and interviews indicates that, in all three projects, the training increased the proportion of staff that were now aware of the Stockholm Convention, but that the depth of their knowledge and their capacity for enforcement of chemical legislation remained weak.

Output COMESA 2.2 and All 2.3 capacity building of Judiciary, Customs and border control

186. COMESA – the combined sub-regional training for trainers for outputs 2.2 and 2.3 for the judiciary, customs, environment and agriculture inspection staff took place in January 2016 (Mombasa, Kenya). Interviews indicate that subsequent national trainings took place within the national institutions.

187. ECOWAS – Training for trainers in the judiciary took place in August 2016 (Dakar, Senegal). This was followed by training of trainers for customs officers in September 2016 (Bamako, Mali). As at July 2017, 56 national trainings on the Stockholm Convention had taken place for 1,856 trainees (port workers, customs, police, judges, magistrates, civil society, private sector and other major stakeholders). Evidence indicates that in at least one country the training has been embedded in the curricula of the national Customs Training Institute for the benefit of future national training.

188. SADC – Sub-regional training of trainers for judiciary and customs from all four countries was undertaken in Swaziland in November 2016. Evidence supports that the participants found the trainings useful and indicates the trainings have been replicated at national level. In the case of at least one country, the training is being adopted into the curricula of the national Judiciary Training Institute.

189. COMESA and SADC countries also participated in a regional finance training of trainers in Nairobi in September 2013. The focus was on introducing the issues of sound management of chemicals, and implementation of POPs NIPs in particular, and building awareness and commitment towards allocating sufficient political and financial resources for this purpose.

There is no evidence that the SADC project undertook detailed training for Finance Ministry and legal drafters on economic instruments, which could, in theory, improve the sustainability of project results by helping countries to develop mechanisms for raising the funds necessary to support enforcement activities. The Terminal Evaluation evidenced that in at least one country, technical capacity remained unutilized for enforcement through lack of funding to cover inspection related activities.

190. In addition, interview data also confirmed that penalties, when included in the laws, must be sufficiently high to discourage transgressions. Model laws that aim to facilitate effective and sustainable enforcement mechanisms should at the very least include considerations for sustainable funding for enforcement; this needs to go beyond penalties and permitting, licensing systems, and extended producer responsibilities should also be included in future model laws and guidance documents.

191. Finally, if the legislation had been available before the capacity building exercises were undertaken, the resulting capacity for the enforcement of actual national legislation would have been stronger. As it was, much of the capacity building was more generic for the Stockholm Convention enforcement.

Output COMESA & ECOWAS 2.3.1: Students funded to undertake the University of Cape Town Diploma in Pesticides Capacity Building Programme

192. This output was agreed at the regional Steering Committee in June 2017 and WWF-ROA has confirmed that they are at time of the writing of this report, in the process of providing bursaries for four students.

Output ECOWAS 2.4: Environmental and agricultural specialists in ECOWAS trained in POPs inventory making and in the use of the FAO Pesticide Stocks Management System (PSMS).

193. Output ECOWAS 2.4 – A regional training workshop on inventories of obsolete pesticides was conducted jointly with FAO in February 2017. The training covered all of the ECOWAS project countries, apart from Mali and Benin, which had already undertaken their inventories under other projects. The ECOWAS LDC project covered for 3 participants from six countries (Central African Republic, Guinea, Liberia, São Tomé and Príncipe, Sierra Leone and Togo) and FAO funded two participants from eight LDC countries (Burkina Faso, Cape Verde, Chad, Gambia, Guinea Bissau, Mauritania, Niger, and Senegal). The countries funded by the ECOWAS LDC project nominated 1 participant from the Ministry of Environment and 2 from the Ministry of Agriculture, whilst the FAO CILSS project funded 1 participant from each ministry. The trainings were facilitated by technical staff of FAO and from the Malian Ministry of Environment who had more than 10 years working experience with inventories of obsolete pesticides.

194. Output ECOWAS 2.4.1 - Green Cross Burkina Faso organized the trainings at national level for the six LDC project countries. An international consultant, who had coordinated the inventory in Benin, mentored the trainees to undertake their national inventories. At time of the Terminal Evaluation, no inventory reports were provided as they had yet to be finalized and approved by national authorities. In addition, timing and coordination with other interventions in one of the countries appeared poor, given that UNIDO had already undertaken an inventory and embarked on a tender process for the destruction of obsolete pesticides.

195. The project had planned to include training on FAO's Pesticide Stock Management System (PSMS) to all the national teams to upload their inventory data to the system. The system would allow national teams to develop their safeguarding and disposal strategies. The regional PSMS training had not been completed but was planned for March 2018. The accumulated delays mean that although the project has reportedly progressed in this direction, it will likely not be able to support the national teams in all countries to use the system to upload inventory data and to develop their strategies.
196. Output ECOWAS 2.4.2 – This output was added in June 2017 to help utilise unspent funds to support the inventories of polychlorinated biphenyl (PCB) wastes under the parallel ECOWAS PCB project. This output is expected to be delivered in 2018. Samples have been taken in 6 of the 8 countries, analysis is ongoing and the expected completion date for all 8 countries is May 2018.

Output All 2.5 - Knowledge Management System established based on the CIEN platform

197. COMESA – The CIEN regional training was undertaken in Nairobi in July 2015 with 25 participants from the 6 countries.
198. ECOWAS – CIEN training took place in December 2013 (Dakar, Senegal). Follow-on training was undertaken in December 2016 (Abuja, Nigeria). National trainings took place in Benin, Burkina Faso, and Senegal, with a total of 176 participants from ministries, agencies, academia, industry and civil society.
199. SADC – CIEN webmaster regional trainings took place in Tanzania in October 2015 for all four countries and again in Swaziland in January 2016 for Lesotho, Swaziland and Tanzania. Separately, webmaster trainings were undertaken in Mozambique in August 2014 and in Tanzania in January 2015. In all, 75 staff were trained on the CIEN platform.
200. No evidence was found for any country having established a functioning website with links to CIEN. UN Environment then determined that the CIEN platform could no longer be supported, and it is no longer available on-line.
201. Evidence from field missions and surveys indicated that enforcement staff would find a chemical information system useful for their work (survey responses of 31 out of 48 confirmed the usefulness). However, ensuring the sustainability of such a system would be difficult as there was a lack of commitment in maintaining such a system up to date. In the survey only 11 out of 48 respondents indicated that their institution had the time and resources to upload data.
202. High-level support for the establishment of a Chemicals Information Exchange Network (CIEN) was documented during the evaluation and in particular was mentioned in the closing statements delivered by the African Group at the BRS COP in Geneva in 2017. However, it was evident that, without dedicated and committed staff and financial resources, it is unlikely that a chemicals information network will be sustainable.

Component 3 – Experiences and good practices disseminated and shared

Output COMESA and SADC 3.1: NGOs trained in the development of communication and advocacy strategies for POPs

203. The SADC project originally aimed to train national environmental staff to develop communications strategies. This was reformulated by the Steering Committee (June 2017) to train NGOs in both COMESA and SADC participating countries in the development of communication and advocacy strategies for POPs. At time of preparation of the evaluation, these activities had not yet been initiated; a regional training is expected to take place in March 2018 and information on this will have to be reflected in the final project reports.

Output All 3.2 POPs awareness raising undertaken in schools (ECOWAS only) and with vulnerable communities in targeted countries

204. POPs general awareness raising was undertaken for vulnerable communities in the three projects and the activity is considered to be largely complete. The activities focused on men and women small scale-farmers who use or are exposed to pesticides, and aimed to raise their awareness of 1) the risks of POPs and pesticides; and 2) to ways to mitigate those risks with safer pest control (including demonstration of alternatives – ECOWAS only) and correct application methods, including the use of personal protective equipment. Results to date show that they were completed in 3 of the countries of the COMESA sub-region; completed in the 4 targeted pilots in ECOWAS; and were 85% completed in SADC (as at June 2017, completed in 2 countries). In addition, these activities were also carried out by including teacher trainings in the four pilot countries in ECOWAS. The aim was to raise awareness of young adults so that they can protect themselves when working on the family farm, and as an influence on their parents to change their behaviours in relation to pesticides. Finally, the high-level advocacy related activities are considered as completed and were carried out through participation/side-events in regional conferences, culminating at the BSC COP in April 2017 where the Africa Group made a statement (as mentioned above) in support of full enforcement of Stockholm Convention provisions.

205. Gender data has currently not been compiled for the project activities. At the time of project formulation, inclusion of gender consideration was not a requirement under the GEF. Gender is not an important factor in components 1 and 2. Evidence indicates that in component 3, women farmers were targeted in the behaviour change initiatives.

206. Effectiveness of **Delivery of Outputs** for each of COMESA, ECOWAS, and SADC projects is rated **Moderately Satisfactory**

5.4.2 Achievement of Direct Outcomes⁴³

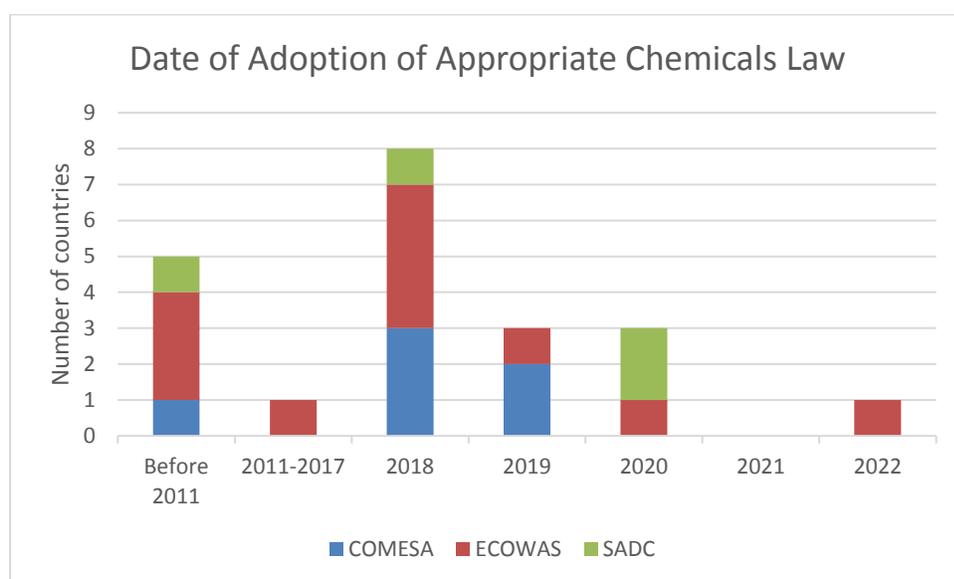
National legislative and regulatory frameworks adopted

207. The Evidence indicates that significant progress has been made towards the achievement of this outcome. In addition, the moderately satisfactory delivery of outputs at the time of the

⁴³ The evaluation assesses the achievement of the reconstructed outcomes from the TOC at evaluation

Terminal Evaluation combined with interview and survey data confirms that it is highly likely that adoption of national legislative and regulatory frameworks will be achieved in most project countries within the next two years, with the remainder in two to five years' time. The national processes for adopting a draft regulation vary significantly. In some countries, having prepared the technical draft, it often has to go through a final consultation, ministerial approval and the Ministry of Justice or Attorney general may have to do a formal legal drafting that may go through a number of iterations. There is then a further process for the draft to be reviewed and voted on by the legislative body before becoming law. The survey asked respondents to confirm when they expected an appropriate chemicals legislation to be adopted. Responses were received from all COMESA and SADC countries and 11 of the 16 ECOWAS countries. These are shown in Figure 3 below:

Figure 3 Expected year of adoption of appropriate Chemicals Law



208. Survey and field data also confirm that it is highly unlikely that this outcome would have been achieved within this time frame without the direct support of the GEF funded projects implemented by UN Environment.

Enforcement capacities built and mainstreamed in participating countries

209. Evidence indicates that significant progress has been made towards the achievement of this outcome in all projects. Progress towards mainstreaming enforcement training capacity was evidenced during the field missions, particularly with the national Judiciary and Customs Training Institutions where they exist.

210. Overall, evidence indicates (see para 211) that the number of national and provincial environmental inspection staff with general awareness of the Stockholm Convention and sound chemicals management has increased as a result of all three projects; however, there remains a significant lack of capacity for its enforcement. This relates to the laws not yet being in place, the brevity of the trainings, the long gaps between the regional training of trainers and the national trainings, lack of permanent training institutions for environmental staff, and lack of sufficient and sustainable finance for enforcement.

211. The survey included two questions on the capacity of environmental inspection staff for enforcement and asked the respondents to pick the sentences that best described the status 2010 and 2017. The aim of the questions was to assess capacity improvements delivered by the project against a baseline before the project had commenced. The sentences varied to cover the proportion of officers with capacity (*some* or *most*), their capacity (*detailed knowledge* or *general awareness*) and whether they had the equipment and resources necessary for enforcement. The mode response for all sub-regions for 2010 was that “**Some** staff had a **general awareness** of the **chemical conventions** and **principles of sound chemicals management**”. Only 2 respondents (out of 39) thought that *most* staff had a general awareness. The responses for 2017 showed that the trainings had increased the number of staff with 19 (out of 43) indicating that **most** staff had a **general awareness**. 11 still considered that **some** had **general awareness**. Only 8 of the respondents considered that the depth of the capacity had improved with **some** staff had **detailed knowledge of the regulations** of which 4 also considered they had the **necessary equipment and resources for enforcement**. The responses were similar across all sub-regions. These findings were borne out with similar evidence from the field missions and indicate that there still remains a lack of capacity and resources for detailed enforcement of the conventions.
212. The Survey also asked respondents to assess to what extent the funds expected to be received from levies and licence fees under their new laws would be sufficient to cover their costs for appropriate enforcement. There is a wide degree of uncertainty and no detailed conclusions can be drawn other than it is expected that a significant proportion of the costs of enforcement will have to be found from other sources of funds, most likely the government’s national budget, where there will be competition from other national priorities. (see also sustainability section 5.8.2) This confirms that there is a high risk that underfunding will compromise the effective enforcement of chemicals legislation.
213. Survey and field data also confirm that it is highly unlikely that this outcome would have achieved the advances that it made within this time-frame without the direct support of the GEF funded projects implemented by UN Environment.

Public and vulnerable communities change their behaviour to avoid exposure to POPs

214. Field data confirm that there was increased awareness of the risks associated with POPs and pesticides as a result of the three projects and in conjunction with similar interventions. There was evidence from the interviewed representatives of small-scale farming communities of their desire to mitigate risks from exposure to pesticides. However, the brevity of the trainings, lack of confidence in demonstrated alternatives (such as organic agriculture and integrated pest management) and lack of available and affordable personal protective equipment has, for the moment, impeded the foreseen behavioural changes.
215. Effectiveness of **Achievement of direct Outcomes** for each of COMESA, ECOWAS, and SADC projects is rated **Moderately Satisfactory**

5.4.3 Likelihood of Impact

216. The adapted ROtl approach was used to assess the likelihood of impact. This relies on evidence and documentation covering the lifespan of the projects and reflecting its status as at end of 2017, when the main outputs were not yet completed, and the outcomes were in the

process of being realized, whilst the process of converting these into impact was in its infancy (adapted from GEF ROTI Handbook).

217. This ROTI builds on the ToC and reviews the causal pathways required to arrive at the intended impact. There is one intermediate state (see para 130) beyond the projects outcomes in the causal pathway that needs to be achieved, before the desired impact can be substantially reached. In particular, national governments must prioritise the enforcement of the new chemicals law and enforcement officers must have the support and resources to control chemicals throughout their life-cycle (import, storage, distribution, sale and use) and to bring cases of transgression to court. The prosecutors should present cases of transgression such that judiciary hands down appropriate sentences that discourage further transgression. However, some progress towards impact can be achieved by influencing change in behaviour of targeted small-scale farming communities. There are also a number of assumptions and drivers that can affect the eventual achievement of the projects' impact.

218. The main assumptions are that:

- There must be a strong level of political support and commitment from governments and this is only possible if the intervention is considered as a national, and preferably also a regional priority. This would in turn facilitate the mobilization of support from senior management at national level. However, this requires human and financial resources to be made available, which poses, to differing degrees, a challenge for LDCs and can significantly hamper delivery of results. This is unlikely to be solved without additional international support and as a result, implementation progress is currently directly proportional to the capacities of the countries to secure funds from their own national budgets;
- Another assumption is that countries include sustainable funding mechanisms for enforcement in their national legislation or commit sufficient national budget resources for enforcement activities. The project has sought to influence this through the model legislation, but this requires UN Environment to put in place a process to ensure that clear guidance is included in any model texts that it prepares to assist countries with their international obligations. Although this assumption is expected to partially hold, effective sustainable enforcement will not occur at the same pace or to the same extent in all LDCs;
- Strong capacity and resources at UN Environment are required to support delivery of the expected results through supervision from HQ and at country level. As well, strong capacity of Executing Agencies has to be in place to contract, manage and deliver the expected results. The project has sought to influence this since about 2014, however results have been inconclusive; and,
- The presence of sufficient capacity to implement and maintain solid knowledge management systems, which can be built upon, is also a requirement for the ongoing success of the project. This has been positively affected by the project, although to be fully effective, it also requires the political support of UN Environment in particular to encourage and track co-financing related information.

219. An important driver supporting project implementation and mainstreaming is that of pressuring governments at the international level to fulfil their Stockholm Convention obligations. The projects have successfully managed to support this by undertaking advocacy-related interventions at the ministerial level, including, for example, during the

Stockholm Convention Conference of the Parties (COP8 – Geneva, April 2017) where the African Group expressed support in favour of POPs related intervention (highlighting, reportedly, the CIEN platform’s usefulness).

220. Pressure from civil society, media and public to address Sound Management of Chemicals and Persistent Organic Pollutants (POPs) and, pressure from active communities, as a result of the awareness raising activities carried out by active communities, and advocacy groups (teachers, NGOs) is also considered to be an important driver. The projects have successfully mobilized this, as has been noted in this report.

221. The ROtI approach requires ratings for the outcomes achieved by the projects, and progress made towards the intermediate state to be based on the criteria presented in Table 24 below. It is, however, understood that, at this stage, the intermediate state is not expected to have been delivered.

Table 24 Rating Scale for Outcomes and Progress towards Intermediary Changes

Outcome Rating	Rating on Progress towards Intermediary States	Impact Rating
D: The project’s intended outcomes were not delivered	D: The conditions necessary to achieve intermediate states are unlikely to be met.	Rating –+I: Measurable impacts or threat reduction achieved and documented within the project life-span
C: The outcomes delivered were not designed to feed into a continuing process after GEF funding	C: The conditions necessary to achieve intermediate states are in place, but are not likely to lead to impact.	
B: The outcomes delivered were designed to feed into a continuing process, but with no prior allocation of responsibilities after GEF funding.	B: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with moderate likelihood that they will progress toward the intended Global Environment Benefit.	
A: The outcomes delivered were designed to feed into a continuing process, with specific allocation of responsibilities after GEF funding.	A: The conditions necessary to achieve intermediate states are in place and have produced secondary outcomes or impacts, with high likelihood that they will progress toward the intended Global Environment Benefit.	

222. To sum up, and as per the above:

223. Not all the direct outcomes were fully achieved, however, partial progress has delivered some results, and indications are that some will be achieved or are likely to be achieved. This was due to the shortcomings discussed in para 228 to 230 below. However, as there is no rating for partial achievement of outcomes, the final rating for outcome would be somewhere

between D and C. As a result, the rating has been determined to be more akin to a delivery than to a failure to deliver, hence this has been rated C.

224. The rating on progress towards intermediary changes considers the fact that the measures designed to move towards the sustainable, effective and comprehensive enforcement of Stockholm Convention provisions have started, and have produced some results. Evidence also demonstrates that there is a willingness to continue in this direction in all participating countries, however, this is affected by national realities and capacities. The rating for progress towards intermediary states therefore does not fall under one category, but rather under a combination of A, B and C and has therefore been averaged as “B”.

225. The project has, at this stage, not achieved “documented changes” in reducing risks from POPs to human health. However, interview data does show that, as a result of the awareness raising and training interventions of the project, progress in this direction has been made and it is considered likely that progress towards these will be achieved. As a result, the projects receive a final rating of “BC” (See Table 25 below).

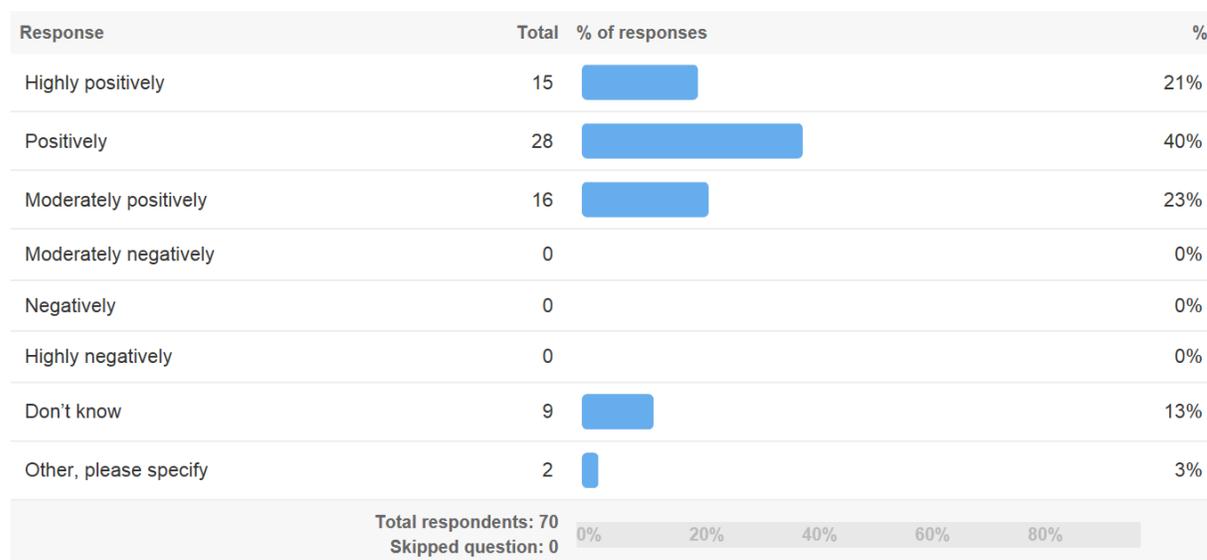
Table 25 Overall Likelihood of Impact Achievement on a six-point scale

Highly likely	Likely	Moderately likely	Moderately unlikely	Unlikely	Highly unlikely
AA BA AB	BB CB DA	AC BC	CC DC	AD BD	CD DD
CA	DB	CC+ DC+	AD+ BD+	CD+ DD+	
BB+ CB+	AC+ BC+				
DA+ DB+					

226. Overall, the projects, with an aggregated rating of “BC” receive a rating of “Moderately Likely”. This rating is confirmed by the results of the survey where respondents were asked to assess the impact of the projects as shown in Figure 4.

Figure 4 Survey – Respondents' Assessment of Impact⁴⁴

75. When considering the WHOLE project, to what extent do you consider that it will impact on the reduction of risks from POPs to public health and the environment?



Effectiveness of the COMESA, ECOWAS, and SADC projects is each rated 'Moderately Satisfactory'

Key Factors affecting Project Performance

227. Overall, UN Environment as Implementing Agency acted quickly in August 2011 to put in place the necessary contracts with the Executing Agencies and to effect the first disbursements. Similarly, Green Cross Switzerland also contracted the BSCRC-Dakar in August 2011. However, evidence indicates that it took the Executing Agencies over one year to deliver the first activity. The activities to develop the model law under Component 1 commenced in July 2012. The first training activities under Component 2, Training of trainers on the Stockholm Convention, were delivered in November 2012 for COMESA and SADC and February 2013 for ECOWAS.

228. In addition to this, a series of unforeseeable events further hindered the implementation of the early stages of the projects of which the most notable were:

- There were four UN Environment Task Managers during the life of the projects. Each needed to be inducted into the workings of the projects (estimated to have required a minimum of three months each). In addition, the reorganization of UN

⁴⁴ There "other, please specify" were comments from two survey respondents from UN Environment who indicated that "Every effort made for Chemicals Management is a plus. In that sense, this project contributed moderately to it, but it could have done more..." and "the project will not significantly impact the risks of chemicals."

Environment management and programmatic structure effectively led to a period of two years (2012 and 2013) during which the projects were only superficially monitored. This hindered the efforts of the Executing Agencies, which essentially functioned without supervision or appropriate levels of support. It is estimated that these changes affected projects' efficiency by delaying them by one year;

- As regards the COMESA and SADC projects, changes at WWF-ROA had adverse effect on delivery. Early in the execution, WWF underwent a reorganization, which defocused chemicals as a priority for the institution, and which in turn left the Project Manager with limited financial and administrative support. Interview data indicates that there were internal discussions on whether WWF should give up its Executing Agency role for the project. In the end it was agreed that WWF should honour its commitment to the end of the project;
- In 2013, the designated Project Manager who had previous experience with the Africa Stockpiles Programme left the WWF. The Executive Director acted as temporary Manager until a replacement was appointed in 2014. This effectively led to the project only being monitored at high level for a period of one year. This is further compounded by evidence indicating that the organization did not have the financial and administrative capacity to effectively act as an Executing Agency; to date, reporting at all levels is at best incomplete;
- As regards the ECOWAS project, the complex executing arrangements with two co-Executing Agencies quickly broke down. There is evidence that the BSCRC were disappointed that the organization had not been considered sufficiently financially competent to act as sole Executing Agency. However, despite its contractual commitments to Green Cross Switzerland, the BSCRC did not allocate any dedicated staff resources for project management and instead relied on the Director to undertake the tasks within his already busy schedule. This impacted the timeliness and quality of the project management (review of proposals, terms of reference, reports and budgets). As a response, rather than enforcing the conditions of the contract, Green Cross Switzerland assumed greater responsibility for project management. Despite its increased workload, Green Cross Switzerland too did not increase its staffing but instead attempted to manage the extra workload within its existing resources. This effectively resulted in a slowdown of activities, which further exacerbated the working relationship with the BSCRC and with the countries, although these reportedly improved in the later part of the Project.

229. In light of the achievements to date, it is evident that although project objectives and components were clear, practical and achievable within the expected time frame, external factors which could not have been anticipated (as discussed above) severely affected efficient delivery and required the project to be extended on two occasions.

5.5 Financial Management

5.5.1 Completeness of Financial Information

230. The criteria for assessing completeness of financial information are set in the Evaluation Criteria Matrix and include 11 elements. For the purpose of this evaluation, consideration is only given to the financial information at the project level provided by the Executing Agencies to UN Environment.

231. The Evaluation Team was not made aware of any deficiencies as regards the completeness of financial information. As can be seen in section 3.6, high level project budgets by funding source were available for secured and unsecured funds sub-criteria (a) and (b); as well as disbursement documents (c); detailed project budgets for secured funds (d); project expenditure sheets were made available to the Evaluation Team up to 2017. It is expected that final project expenditure sheets will be made available to UN Environment upon project closure by the Executing Agencies to ensure the release of their last instalment (e).
232. Proof/report of delivery of in-kind contributions: Although the annual Project Implementation Reviews include some information about in-kind and cash co-finance, there is evidence that the information is outdated and incomplete (f). COMESA and SADC co-finance data consists of a single report of co-finance that originated from the Africa Union in 2012. The Executing Agency has commented in the 2017 PIR that it has been a continuous challenge to obtain documentation from partners and countries regarding quantified co-financing. However, during the field missions the Evaluation Team were shown an in-kind co-finance report prepared by the focal point, which at this stage, does not appear to have been taken into consideration by WWF. Green Cross Switzerland, however, has prepared detailed in-kind and cash co-financing reports to December 2015 which includes information on in-kind contributions from international partners but does not include any co-finance reported directly by countries. Instead, Green Cross Switzerland has made estimates of national in-kind co-finance for participants' time at regional trainings. In the ECOWAS Project PIR 2017, they too remark that, despite frequent reminders of the countries commitments and obligations to report, no information has been forthcoming.
233. Green Cross Switzerland has recently prepared a spreadsheet of national in-kind co-finance associated with recent in-country trainings. Executing Agencies are aware of this deficiency and understand that they will have to provide complete and up to date-information on co-finance at project closure.
234. The projects were extended (no cost) and revised project work plans and budgets were submitted by the Executing Agencies and approved by UN Environment (g); partner legal agreements and amendments have been provided to the Evaluation Team (h); disbursement (funds transfer) documents (cash statement) from UN Environment to partners have been made available to the Evaluation Team (i); some audit reports have been made available to the Evaluation Team but they are not all complete for each year as required under the contractual agreements between UN Environment and the Executing Agencies (j); and no information about management responses to audit reports was available (k).
235. Based on the above, and as per the Evaluation Criteria Matrix, as 50 to 99% of these criteria hold, the rating for completeness of financial information for all three projects is moderately unsatisfactory.
236. The format of the Executing Agencies' financial reports, stipulated by UN Environment, does not break down expenditure by component. The Evaluation Team understands that UN Environment's financial management system does not support results-orientated budget and expense management. This does not satisfy the evaluations requirement for reporting by project component.

237. With regard to in-kind co-financing, at time of the Terminal Evaluation, no complete information was available, although interview data clearly documents the fact that countries have funded the time of their own staff to manage and implement the project activities, participate in workshops, review reports, etc. This also includes providing space and equipment (although very limited in some instances due mostly to the fact that as LDCs, the expendable resources available are low to non-existent).
238. Evidence indicates that, in addition to difficulties in obtaining information on co-financing, the Executing Agencies lacked the influence to be able to persuade institutional co-financers to honour their commitments. The Evaluation Team considers that, as UN Environment secured the original co-finance commitments, they could be more effective than the Executing Agencies in following-up.
239. There is no evidence of any of the countries having provided cash co-finance. Based on the evidence, and considering that the countries are LDCs, the Evaluation Team considers that the expectation for cash co-finance was unrealistic, notwithstanding whether or not signed co-financing pledges had been obtained from the participating countries.
240. Overall, and given the fact that the project has been extended twice, which has obliged these countries to maintain their in-kind co-financing, this could very well end up representing a significant investment. The Evaluation Team can only hope that no effort will be spared to ensure that the figures yet to be provided in the final reports of the Executing Agencies accurately reflect this.
241. Similarly, the in-kind contribution of UN Environment from personnel (oversight, meetings, financial) is likely to have been more than originally expected, given the two no cost extensions. This information was not captured in the reports provided to the Evaluation Team.

5.5.2 Communication between Finance and Project Management Staff

242. Evidence suggests that, at least since 2015, with the appointment of the current Task Manager the Task Manager has *strong awareness* of the current financial status of project; the FMO has *strong awareness* of overall project progress when financial disbursements are made; and there is *regular / frequent* contact between Task Manager and FMO.
243. Evidence also suggests that, although prior to 2015 financial issues might only have been addressed retrospectively, when identified by senior management/staff external to the project team, thereafter they were raised and resolved proactively.
244. No evidence was provided to assess whether all narrative and financial reports were reviewed by *both* finance and project staff members prior to submission. Notwithstanding this, the Evaluation Team rates communication between finance and project management staff as satisfactory.

Financial Management for COMESA, ECOWAS, and SADC are each rated 'Satisfactory'

5.6 Efficiency

245. The Evaluation Team was not made aware of any concerns regarding cost effectiveness or costliness, and considers that although to date the project has not delivered all of the expected results, those achieved have been delivered at a reasonable cost.
246. Although the project is presently facing severe delays in its implementation and did not produce results within the time initial frame available (i.e. by August 2016), the Evaluation Team considers that there are mitigating factors that partially account for this; these include a series of unforeseeable events, which effectively derailed project implementation and have contributed to a one and a half-year delay, and to relatively low operational efficiency (see above paragraph 228).
247. The projects were granted two no-cost extensions and are, at the time of drafting this report, struggling to complete expenditure of resources within the extended project timeframe. In order to accomplish this, a number of “creative” decisions were taken at the final Project Steering Committee meeting in June 2017, including bursaries for students (for the University of Cape Town’s distance learning Diploma in Pesticides Capacity Building Programme as well as further activities with UCT), regional training course for NGOs in communications and advocacy, as well as additional PAN Africa activities and supplementary funding for the completion of inventories under the parallel regional PCB project (ECOWAS only).
248. The interview data was unequivocal in noting the dissatisfaction with the executing capacities of both GCCH and WWF-ROA, primarily because of the slow response times, overly-complex administrative and reporting processes, and lack of thematic expertise, to name a few. It is paradoxical to note that in the ECOWAS project, as a corollary of the strict and time-consuming negotiations between the EA and national focal points with regard to proposals for activities in the countries (which delayed implementation), funds were saved which were eventually used to increase the scope of implementation in the countries, and in a parallel project.
249. The Projects as designed were to be implemented in 5 years, and outputs were sequenced to rely upon completion of others; delays in one area had an impact on others. The development of the model law was required prior to the development of national legislation, and logically was to be followed by trainings. These delays in project implementation have had negative impacts on at least one group of stakeholders, i.e. government, – and contributed to a loss of enthusiasm, drive and momentum. Expectations were very high, and many, if not most, of the interviewees expressed a high sense of disappointment.
250. At the time of the Terminal Evaluation, however, and even taking into consideration that there have been two no cost extensions, most of the activities have resulted in the intended outputs, even though this did not occur within the initially planned timeframes. As already mentioned, this is not a consequence of project design, but rather the cascading effect of a series of unplanned and impossible to predict events. This said, if the activities related to the development of the national framework had been sequenced efficiently, the training could have been more directly relevant to build actual enforcement capacity rather than general awareness about the Stockholm Convention.

251. The survey asked respondents to rank eleven factors that could have adversely impacted performance. These factors included one relating to UN Environment, four related to the Executing Agencies and six national. The summation across all three projects is shown in Figure 5 below and indicates that issues with Executing Agency procedures was the most significant.

252. There was a high degree of commonality between the three projects as is shown in Table 26 below where in all three projects the national issues impacted the project most, with the Executing Agency issues second and UN Environment third.

253. However, there is a marked difference between the COMESA and SADC project which both had the same Executing Agency. Respondents from the COMESA project ranked adverse impacts of Executing Agency performance much higher than those in SADC, where national issues were more important.

Figure 5 Ranking of Factors that Adversely Impacted Project Performance for the Programme

44. If the project activities experienced delays which of the following contributed. Select only those that you consider significant and rank them in order of impact. (1 having the largest impact)

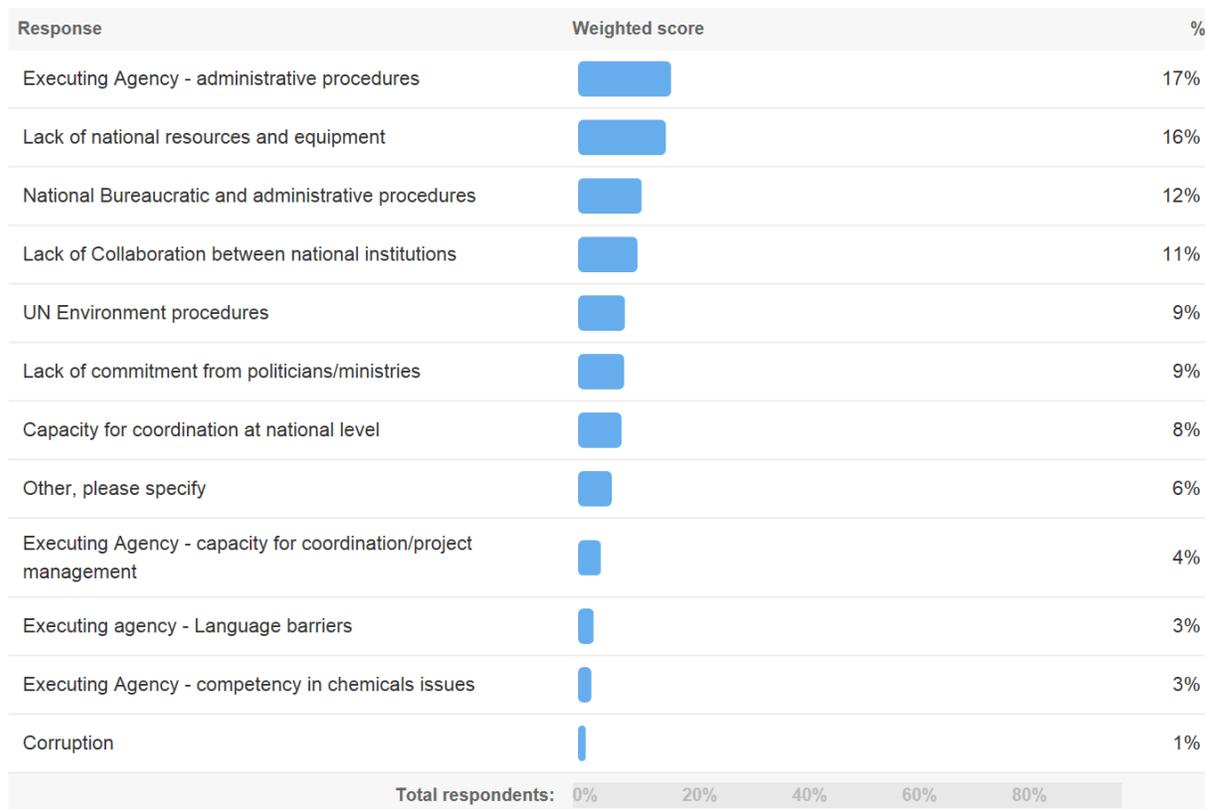


Table 26 Origin of Adverse Impact

Origin of adverse impact	COMESA	ECOWAS	SADC
UN Environment	14.8%	7.5%	7.7%
Executing Agency	35.2%	19.2%	14.1%
National	50.0%	73.3%	78.2%

254. The most significant six negative factors for each of the three projects are shown in Figure 6. Lack of national resources impacted all three projects and Executing Agency administrative procedures impacted COMESA and ECOWAS.

Figure 6 main adverse impact factors by sub-region

COMESA	Weighted %	ECOWAS	Weighted %	SADC	Weighted %
3) Executing Agency - administrative procedure	31.5%	11) Lack of national resources and equipment	23.6%	8) Lack of commitment from politicians/ministries	18.4%
11) Lack of national resources and equipment	18.5%	3) Executing Agency - administrative procedures	15.2%	11) Lack of national resources and equipment	16.8%
6) National Bureaucratic and administrative procedures	17.1%	8) Lack of commitment from politicians/ministries	15.2%	9) Lack of Collaboration between national institutions	16.2%
1) UN Environment procedures	14.8%	6) National Bureaucratic and administrative procedures	11.5%	7) Capacity for coordination at national level	13.3%
9) Lack of Collaboration between national institutions	14.4%	9) Lack of Collaboration between national institutions	10.6%	6) National Bureaucratic and administrative procedures	10.1%
2) Executing Agency - Language barriers	3.7%	7) Capacity for coordination at national level	10.2%	5) Executing Agency - capacity for coordination/project management	8.2%

255. As all three Projects had two no-cost extensions, the delays in implementation had negative impacts on government stakeholders, and the project activities were occasionally sequenced inefficiently, the project is rated as unsatisfactory as per the Evaluation Criteria Matrix.

Efficiency of COMESA, ECOWAS, and SADC projects are each rated 'Unsatisfactory'

5.7 Monitoring and Reporting

5.7.1 Monitoring Design and Budgeting

256. The M&E for all these three projects was designed according to both the GEF and UN Environment's standard procedures for Monitoring and Evaluation in place at the time of project design (2009-2010). The logframe included "objectively verifiable indicators of achievements, sources and means of verification for the project outcomes and outputs, and the timeframe for monitoring activities" were specified in the projects' Monitoring and Evaluation Plans.
257. The organisational arrangements, responsibilities and structures for monitoring and reviewing/adapting progress of project implementation were specified in project documents. The projects also identified a specific budget for M&E. This dedicated budget for monitoring covered monitoring activities, indicated data collection methods and frequency, and included funds for a mid-term and a Terminal Evaluation. The original budgets were: COMESA USD 200 000; ECOWAS USD 240 000; and SADC USD 120 000. However, as discussed in para. 236, as the UN Environment financial system does not have the capability to track expenditures by project component, expenditure for Monitoring and Evaluation cannot be monitored against its budget.
258. Although the Evaluation Team does not consider, given the requirements in place at time of design of the project, that there are any significant weaknesses in monitoring design or budgeting, as pointed out in section 5.2 above, the indicators were reviewed and are not considered to be SMART enough to accurately track progress towards the achievement of project outputs, nor its outcomes.

5.7.2 Monitoring of Project Implementation and Reporting

259. Monitoring systems were put in place at the level of both Executing Agencies, in line with their own standards and evidence suggests that these allowed the persons responsible for monitoring progress against indicators to track results and progress toward project objectives.
260. Monitoring of project progress is considered to have been adequate, given most indicators were at output level and easily tracked, however, monitoring of performance (in terms of achievement of project outcomes and the overall project objective) was unavailable, given inadequacy of indicators.
261. As mentioned above, the budget is considered to have been sufficient to carry out M&E activities as presented in the project documents and reporting requirements were largely fulfilled throughout the projects' life (it is yet to be determined if these will be fully completed as projects are still in process of being completed). Quarterly expenditure reports and cash advance requests, 6-monthly progress reports and annual Project Implementation Reviews (PIRs) made available to the Evaluation Team appear to largely have been submitted as planned (although there are serious underreporting concerns at the level of realized co-

financing, which are, however, not due to lack of effort towards obtaining these by Executing Agencies).

262. Following the appointment of the current Task Manager in 2015 and in order to address the significant delays the Projects had experienced, additional measures were put in place to improve the supervision and support provided by UN Environment to the Executing Agencies. These improvements included monthly teleconferences and quarterly forecasted work plans and budgets. These enhanced M&E systems have helped to bring the Projects back on track and have been a major driver in the development of more systematic UN Environment supervision systems.
263. Overall PIRs provided adequate reporting to track progress, but were overall incomplete. This is a missed opportunity to raise concerns at the level of the Implementing Agency. Information regarding achievement of outcomes and project objective is not included, and this is a result of the inadequacy of the logframes' indicators, and generally confused nature (outputs confused).
264. The Mid-Term Review was undertaken in 2016 but the report not released until June 2017. This timing was too late for its recommendations to be implemented let alone have any impact on project delivery.
265. As part of the supervision function for the Projects, Project Steering Committees were established. For the COMESA and SADC projects, the joint Steering Committee has met 9 times, while that for ECOWAS has met 7 times. The Steering Committees were effective at reviewing project performance and making decisions for future work plans, and used in particular the Steering Committee meetings to address issues and implement solutions, as required.

Monitoring and Reporting for the COMESA, ECOWAS and SADC projects are rated 'Moderately Satisfactory'

5.8 Sustainability

266. Sustainability of the projects was evaluated using the methodology described in section 2.2.5 on page 34. Sustainability was rated at the national level for each of the countries in each of the projects and averaged to produce a single sustainability rating for the project. While there were some differences between the ratings of countries within the same project, the average rating for each of the three projects was similar.

5.8.1 Socio-Political Sustainability

267. For component 1 the direct outcome is "National legislative and regulatory frameworks adopted", and the Evaluation Team considers that socio-political sustainability in this case is highly likely. This is based on the fact that once the laws have been adopted there is no dependency as regards this criterion. During the immediate period following project closure, before all laws have been adopted, there is a need for socio-political support, but given the evidence of high degree of ownership and direct alignment with national and international

priorities, the Evaluation Team considers this to be Highly Likely (moderate dependency and 100% mitigation).

268. For component 2 the direct outcome is “Enforcement capacities built and mainstreamed”. This is considered to be Moderately Unlikely, as the enforcement capacities have only been partially mainstreamed, and this requires on-going socio-political sustainability.
269. For Component 3 the direct outcome is “Public and vulnerable communities change their behaviour to avoid exposure to POPs”. This is considered to be Moderately Unlikely, given that there is low dependency on socio-political sustainability and there is also low mitigation, with few to no relevant social norms in place to protect vulnerable communities. Although there is a low risk, for example, of reuse of empty containers, there is a high risk of regression e.g. pressure from agro-dealers to continue to use pesticides.
270. Overall, this averages as moderately likely for each of the three projects.

5.8.2 Financial Sustainability

271. The continuity of the projects depends on the commitment of the countries to provide the necessary long-term resources both financial and human. In strict financial terms, sustainability, after GEF involvement ceases, will depend on the importance attached to any future actions related to the implementation of the countries’ NIPs and related to Stockholm Convention obligations.
272. In the course of the interviews with government officials of a limited number of countries the Evaluation Team documented clear expressions of interest and support in favour of continuity of the projects results and interest in pursuing other similar initiatives, and noted that steps have either been taken or are on-going to ensure the inclusion of funding in the countries national budgets. However, in general financial instruments (mitigating measures) are not in place to ensure the access to sustainable resource flows; this affects components in a different manner.
273. Component 1 has low dependency on financial resources, as once the laws have been adopted countries have demonstrated that they have sufficient resources and motivation to fund the final steps to support the adoption process. Therefore, there is a low dependency and at this stage, a minimum 75% mitigation, which would rate this as Highly Likely.
274. Component 2 – Is highly dependent on future funding, which is going to be required to support continued mainstreaming of the trainings. For example, replicating the training of trainers activities requires funding, and although it has occurred more on an ad hoc basis than because of a concerted effort to internalize processes throughout the three regions, will not be mainstreamed without additional support. As in addition no future funding has been secured, this is rated Highly Unlikely.
275. Component 3 – Awareness has been raised, at different levels and for all stakeholder groups, however, to avoid regression there is a moderate dependency on future funding. This said, civil society organizations and Ministry outreach activities (in some countries) have the potential to support limited mitigation measures. This is therefore rated Moderately Unlikely.

276. The overall rating average is therefore Moderately Unlikely for each of the three projects.

5.8.3 Institutional Sustainability

277. Component 1 has low dependency on institutions; once the laws have been adopted countries have demonstrated that they have sufficient motivation to support the adoption process. This would indicate, at this stage where all laws are not in place yet (but have a likely possibility of being in place in the near future) a moderate dependency and as the countries have mobilized resources to ensure that the approval processes do take place, 75% mitigation. Overall this indicates that it is Highly Likely that this will occur.

278. Component 2 – Is assessed as being highly dependent on institutional sustainability, given in particular that priorities do tend to change with changed regimes. In addition, as it is only estimated that there is 50 to 75% mitigation in place, i.e. weak mechanisms in place to support institutionalization of trainings; some capacity leading to new skills being practised; and, no exist strategy. This combination places this criterion in Moderately Unlikely.

279. Component 3 – This shows a low dependency, as sustainability of acquired knowledge, i.e. raised awareness is not directly linked to institutional support. However, given that no exit strategies have been put in place, nor have any mechanisms been developed to guarantee the institutionalization of raised awareness, the rating for this sub-criterion is Moderately Likely.

280. The overall rating for this criterion is Moderately likely for each of the three projects.

281. Another important element for the overall sustainability of the projects rests on the participation of civil society organizations. Although there is always the risk that the tight government budgets may limit participation, it is likely that these CSOs will continue to maintain interest in the project results. This support from social pressure would favour the long-term continuity of results. For this, the dissemination of project results as a whole would be a catalyst to encourage civil society to appropriate itself of the project, supporting sustainability.

Sustainability for the COMESA, ECOWAS and SADC projects are each rated 'Moderately Unlikely'

6 Conclusions and Recommendations

Conclusions and Recommendations	
Conclusion 1	Targeting Interventions to Maximize Results
	Recommendation 1:
<p>“One size fits all” regional approach is not appreciated by participating countries; the one on one approach was considered preferable</p> <p>High expectations in countries were not met</p> <p>UN Environment was described as being “mostly absent” and only seen as a distant partner appearing during Steering Committee meetings</p>	<p>UN Environment should carefully assess the benefits of regional interventions and consider whether theoretical benefits (cost effectiveness, ease of GEF approval and implementation, timeliness) outweigh the risks (complexities and inherent delays, dilution, etc.)</p>
Contributing Conclusions	Supportive recommendations:
<p>Countries at different levels of development, and with different capacities, progress at different speeds</p> <p>Different languages in one regional project entail additional challenges for Executing Agencies and adds a layer of complexity to executing/coordinating activities, meetings and trainings</p>	<p>To improve results, effectiveness and sustainability of interventions, preference should be given to country specific interventions, or limited scale regional projects; in those cases, efforts should be made to reduce the number of targeted countries to a minimum, grouping those that are developmentally similar and linguistically identical</p> <p>However, the benefits of cross fertilization (South-South Cooperation), in cases where small scale targeted regional interventions are favoured, should be facilitated and supported</p>
<p>Countries are different in area, population, language, and require different budget allocations</p>	<p>Budgets should take into account the territorial extension of the target country as well as the cost of living, to ensure that country-wide results can be achieved and sustained</p>
<p>Pilot countries were perceived to have gained a comparative advantage, in particular as not all benefitted from the experience</p>	<p>Activities piloted in one country should be effectively implemented in others. Budgetary and time requirements should be factored into the project design</p>
Conclusion 2	Strengthening Implementation Capacities
	Recommendation 2:
<p>Low capacity (in some countries) and complex administrative processes resulted in delays and frustration</p>	<p>Strong actions in support of establishing and/or strengthening implementation capacities at the national level should be included in future projects</p> <p>Streamlining and mainstreaming of national capacities should be strongly encouraged and supported</p>

Conclusions and Recommendations	
Contributing Conclusions	Supportive recommendations:
<p>Focal points in some LDC's lack basic infrastructure and/or staff for effective project coordination and execution</p> <p>Focal points often have continuing full time responsibilities for the administration and function of their normal roles. This can impair their ability to coordinate project activities.</p>	<p>Future interventions should consider options to emulate the methodology followed by UN Environment for Montreal Protocol activities (capacity building and financial support provided to National Ozone Units) and seek to replicate its demonstrated positive results</p> <p>UN environment should encourage countries to nominate project focal points on the basis of their ability to influence the achievement of project outcomes and to exploit synergies with other projects.</p> <p>Projects should include an induction for national focal points and staff in charge of project implementation and administration to include standard narrative and financial reporting, progress monitoring, proposal writing for agreements with Executing bodies</p> <p>Agreements should be established with the national implementing institutions that firmly anchor the project in the institution and ensure that the focal point is adequately resourced in terms of time and personnel to undertake project activities</p>
<p>Countries would welcome having access to information on laboratories capable of analysing POPs and pesticides</p> <p>Countries still keen to have access to a database on Chemical Information but lack capacity to populate it</p>	<p>UN Environment should support and facilitate access to on-line resources, including a comprehensive database for chemicals information, and a registry of certified laboratories to promote knowledge sharing and informed decision making processes</p>
<p>There is a need for ongoing training, as well as for more in depth training</p> <p>Long gaps between training of trainers and national trainings hampered execution</p> <p>The training for "enforcement capacity" was less effective because it was undertaken before the laws had been adopted</p>	<p>Training activities, including training of trainers, should be aimed at reinforcing national systems and capacities. When they exist, training, reference or excellence centres, as well as technical training institutions (schools, universities, etc.) should be, as a matter of priority, selected to receive the trainings and supported to replicate them</p> <p>Syllabuses of existing institutions should be updated to reflect acquired knowledge in support of mainstreaming</p> <p>In support of effective and long lasting acquisition of knowledge, trainings should be carefully designed to address the needs of</p>

Conclusions and Recommendations	
	<p>targeted audiences: from general awareness raising to in-depth enforcement and more technical training</p> <p>Capacity building activities should be carefully sequenced, following on, once the newly developed tools have been approved (e.g. legislation); resulting regional and national training activities should be integrated</p>
Conclusion 3	Delivering Appropriate Tools
	Recommendation 3:
<p>Model laws are effective tools to strengthen legal and regulatory capacity</p>	<p>When model laws are developed, UN Environment should ensure that appropriate and country-sensitive legal frameworks and systems are covered</p> <p>As well, potential sustainable mechanisms (e.g. funding for enforcement) should be laid out, for selection by the countries; these should include methodologies for setting penalties (at levels that discourage infractions), levies, permits, and licenses</p> <p>Any "Model" document should undergo a rigorous peer review process and ultimately be validated by UN Environment before publication</p>
Conclusion 4	Monitoring in Support of Results
	Recommendation 4:
<p>Outputs delivered so far are considered satisfactory, however, long term sustainability is assessed as moderately unlikely</p>	<p>UN Environment should strive to ensure that appropriate supervision of both the Executing Agencies and the national executing partners, is in place throughout the period of project implementation to support achievement of results</p>
Contributing Conclusions	Supportive recommendations:
<p>Capacity of Executing Agencies is a key success factor</p>	<p>A formal due diligence process for selecting executing partners should be instituted and rigorously followed to ensure effective project delivery (including their acceptability to country partners)</p>
<p>The absence (or nominal absence) of a supervisor/Task Manager at UN Environment and the project manager at WWF-ROA adversely impacted project implementation</p>	<p>Formal handover procedures should be instituted and enforced well in advance of anticipated staffing changes;</p> <p>Task Manager should be in place, and have access to sufficient resources to allow him to</p>

Conclusions and Recommendations	
Staff rotation hindered project implementation and, in some cases, lack of formal handover processes compounded delays	carry out supervisory functions effectively both at HQ and in the field
<p>Pledged co-financing from many institutional partners was not forthcoming; and appears to have been highly overestimated. In addition, there do not appear to have been concerted efforts to secure this co-finance (Executing Agencies and UN Environment did not have, or exert, the influence required)</p> <p>Expectations for cash co-financing from national partners were unrealistically high; in best case scenarios LDCs should be expected to provide only minimal levels of in-kind co-finance</p>	<p>UN Environment should take a more proactive role regarding following-up on pledged co-finance from institutional co-financers; this should include backing up Execution Agencies, and taking the lead if/when required</p> <p>Co-financing should be rigorously tracked and disbursements of funding tranches tied to their availability</p> <p>UN Environment should engage the GEF to try to establish more realistic co-financing ratios for projects involving LDCs – UN Environment should also directly assume responsibility for securing pledged co-finance and its accurate reporting</p>

Ratings table

282. Separate tables of the Evaluation Criteria Ratings have been prepared for each project: Table 27 for COMESA, Table 28 for ECOWAS and Table 29 for SADC.

283. Most criteria are rated on a six-point scale as follows: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Likelihood of Impact are rated from Highly Likely (HL) down to Highly Unlikely (HU) and Nature of External Context is rated from Highly Favourable (HF) to Highly Unfavourable (HU).

Table 27: Ratings Table for COMESA

Criterion	Summary Assessment	Rating
A. Strategic Relevance	Considered highly relevant by all sectors	HS
<i>1. Alignment to MTS and POW</i>	Yes, there is demonstrated alignment (Section 5.1.1)	HS
<i>2. Alignment to UN Environment /Donor/GEF strategic priorities</i>	Yes, there is demonstrated alignment (Section 5.1.4 and 5.1.6)	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	Yes, there is demonstrated relevance (Sections 5.1.2 and 5.1.3)	HS
<i>4. Complementarity with existing interventions</i>	Yes, designed to be complementary, in particular with the Africa Stockpiles Programme which supported capacity transfer to staff of WWF; the national SAICM quick start programme activities and, in Uganda, with the legislation component of the Norwegian funded project in the oil and gas sector (Section 5.1.5)	HS
B. Quality of Project Design	As per the standards of the time, however weaknesses identified (Section 5.2)	MS

Criterion	Summary Assessment	Rating
C. Nature of External Context	Not considered to have had a significant impact on project implementation. Some countries were impacted at different times by external events, which included political unrest and security related concerns, however, overall during project implementation, this was considered to be mostly predictable and was, in general, only occasionally a minor to moderate threat to project implementation. The only participating country to suffer significant adverse impact was Sudan due to UN sanctions (Section 5.3).	MF
D. Effectiveness	Internal and external factors affected this (Section 5.4)	MS
<i>1. Delivery of outputs</i>	Most outputs were delivered (Table 21 and Section 5.4.1)	MS
<i>2. Achievement of direct outcomes</i>	Would not have occurred without projects' support, however, there are shortfalls (Section 5.4.2)	MS
<i>3. Likelihood of impact</i>	No documented changes, however, significant progress noted (Section 5.4.3)	ML
E. Financial Management	No major shortfalls	S
<i>1. Completeness of project financial information</i>	Latest financial reports from WWF to UN Environment are complete apart from co-finance and breakdown by component (Section 5.5.1)	MU
<i>2. Communication between finance and project management staff</i>	Strong awareness of financial status of the Project at UN Environment and WWF (Section 5.5.2)	S
F. Efficiency	No major concerns, however two no cost extensions and	U

Criterion	Summary Assessment	Rating
	administrative procedures between countries and WWF delayed national execution (Section 5.6)	
G. Monitoring and Reporting	Data available, but incomplete (Section 5.7)	MS
<i>1. Monitoring design and budgeting</i>	No significant weaknesses apart from poor direct outcome monitoring (Section 5.7.1)	MS
<i>2. Monitoring of project implementation</i>	Effectively monitored since 2015 (Section 5.7.2)	MS
<i>3. Project reporting</i>	No major shortfall (Section 5.7.2)	MS
H. Sustainability	Overall a concern primarily due to uncertain financial sustainability (Section 5.8.1)	MU
<i>1. Socio-political sustainability</i>	No major concerns noted (Section 5.8.1)	ML
<i>2. Financial sustainability</i>	Highly dependent on as of yet unsecured future funding (Section 5.8.2)	MU
<i>3. Institutional sustainability</i>	Knowledge has been internalized and is likely to remain (Section 5.8.3)	ML
I. Factors Affecting Performance		S
<i>1. Preparation and readiness</i>	All elements were in place	S
<i>2. Quality of project management and supervision⁴⁵</i>	Concerns regarding project management relating to capacities of WWF; concerns over supervision by UN Environment prior to 2015	MU
<i>3. Stakeholders participation and cooperation</i>	No major concerns	S
<i>4. Responsiveness to human rights and gender equity</i>	Attempts were made at implementation	S

⁴⁵ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

Criterion	Summary Assessment	Rating
5. <i>Country ownership and driven-ness</i>	No major concerns	S
6. <i>Communication and public awareness</i>	No major concerns	S
Overall Project Rating		MS

Table 28: Ratings Table for ECOWAS

Criterion	Summary Assessment	Rating
A. Strategic Relevance	Considered highly relevant by all sectors	HS
1. <i>Alignment to MTS and POW</i>	Yes, there is demonstrated alignment (Section 5.1.1)	HS
2. <i>Alignment to UN Environment /Donor/GEF strategic priorities</i>	Yes, there is demonstrated alignment (Section 5.1.4 and 5.1.6)	HS
3. <i>Relevance to regional, sub-regional and national environmental priorities</i>	Yes, there is demonstrated relevance (Sections 5.1.2 and 5.1.3)	HS
4. <i>Complementarity with existing interventions</i>	Yes, designed to be complementary, in particular with the Africa Stockpiles Programme in which PAN Africa executed the outreach activities, FAO's pesticide management projects in CILSS and Benin which collaborated with the capacity building in inventories of obsolete pesticides (Section 5.1.5)	HS
B. Quality of Project Design	As per the standards of the time, however weaknesses identified (Section 5.2)	MS

Criterion	Summary Assessment	Rating
C. Nature of External Context	Not considered to have had a significant impact on project implementation. Some countries were impacted at different times by external events, which included political unrest and security related concerns, however, overall during project implementation, this was considered to be mostly predictable and was, in general, only occasionally a minor to moderate threat to project implementation. The only countries to have experienced significant adverse impacts were Guinea, Liberia and Sierra Leone where there were outbreaks of Ebola virus in 2014 and 2015.	MF
D. Effectiveness	Internal and external factors affected this (Section 5.4)	MS
<i>1. Delivery of outputs</i>	Most outputs were delivered (Table 21 and Section 5.4.1)	MS
<i>2. Achievement of direct outcomes</i>	Would not have occurred without projects' support, however, there are shortfalls (Section 5.4.2)	MS
<i>3. Likelihood of impact</i>	No documented changes, however, significant progress noted (Section 5.4.3)	ML
E. Financial Management	No major shortfalls	S
<i>1. Completeness of project financial information</i>	Latest financial reports from Green Cross Switzerland to UN Environment are complete apart from breakdown by component (Section 5.5.1)	MU
<i>2. Communication between finance and project management staff</i>	Strong awareness of financial status of the Project at UN Environment and Green Cross Switzerland (Section 5.5.2)	S

Criterion	Summary Assessment	Rating
F. Efficiency	No major concerns, however two no cost extensions and administrative procedures between countries and Green Cross Switzerland delayed national execution (Section 5.6)	U
G. Monitoring and Reporting	Data available, but incomplete (Section 5.7)	MS
<i>1. Monitoring design and budgeting</i>	No significant weaknesses apart from poor direct outcome monitoring (Section 5.7.1)	MS
<i>2. Monitoring of project implementation</i>	Effectively monitored since 2015 (Section 5.7.2)	MS
<i>3. Project reporting</i>	No major shortfall (Section 5.7.2)	MS
H. Sustainability	Overall a concern primarily due to uncertain financial sustainability (Section 5.8)	MU
<i>1. Socio-political sustainability</i>	No major concerns noted (Section 5.8.1)	ML
<i>2. Financial sustainability</i>	Highly dependent on as of yet unsecured future funding (Section 5.8.2)	MU
<i>3. Institutional sustainability</i>	Knowledge has been internalized and is likely to remain (Section 5.8.3)	ML
I. Factors Affecting Performance		S
<i>1. Preparation and readiness</i>	All elements were in place	S
<i>2. Quality of project management and supervision⁴⁶</i>	Concerns regarding project management relating to capacities and working relationship between the two co-executing agencies; concerns over supervision by UN Environment prior to 2015	MU

⁴⁶ refers to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

Criterion	Summary Assessment	Rating
<i>3. Stakeholders participation and cooperation</i>	No major concerns	S
<i>4. Responsiveness to human rights and gender equity</i>	Attempts were made at implementation	S
<i>5. Country ownership and driven-ness</i>	No major concerns	S
<i>6. Communication and public awareness</i>	No major concerns	S
Overall Project Rating		MS

Table 29: Ratings Table for SADC

Criterion	Summary Assessment	Rating
A. Strategic Relevance	Considered highly relevant by all sectors	HS
<i>1. Alignment to MTS and POW</i>	Yes, there is demonstrated alignment (Section 5.1.1)	HS
<i>2. Alignment to UN Environment /Donor/GEF strategic priorities</i>	Yes, there is demonstrated alignment (Section 5.1.4 and 5.1.6)	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	Yes, there is demonstrated relevance (Sections 5.1.2 and 5.1.3)	HS
<i>4. Complementarity with existing interventions</i>	Yes, designed to be complementary, in particular with the Africa Stockpiles Programme which supported capacity transfer to staff of WWF, and with PELUM which was building capacity in sustainable agricultural practices (Section 5.1.5)	HS
B. Quality of Project Design	As per the standards of the time, however weaknesses identified (Section 5.2)	MS

Criterion	Summary Assessment	Rating
C. Nature of External Context	Considered to have had only minimal impact on project implementation. Some countries were impacted at different times by external events, which included political unrest and security related concerns, however, overall during project implementation, this was considered to be mostly predictable and was, in general, only occasionally a minor to moderate threat to project implementation (Section 5.3).	F
D. Effectiveness	Internal and external factors affected this (Section 5.4)	MS
<i>1. Delivery of outputs</i>	Most outputs were delivered (Table 21 and Section 5.4.1)	MS
<i>2. Achievement of direct outcomes</i>	Would not have occurred without projects' support, however, there are shortfalls (Section 5.4.2)	MS
<i>3. Likelihood of impact</i>	No documented changes, however, significant progress noted (Section 5.4.3)	ML
E. Financial Management	No major shortfalls	S
<i>1. Completeness of project financial information</i>	Latest financial reports from WWF to UN Environment are complete apart from co-finance and breakdown by component (Section 5.5.1)	MU
<i>2. Communication between finance and project management staff</i>	Strong awareness of financial status of the Project at UN Environment and WWF (Section 5.5.2)	S
F. Efficiency	No major concerns, however two no cost extensions and administrative procedures between countries and WWF delayed national execution (Section 5.6)	U

Criterion	Summary Assessment	Rating
G. Monitoring and Reporting	Data available, but incomplete (Section 5.7)	MS
<i>1. Monitoring design and budgeting</i>	No significant weaknesses apart from poor direct outcome monitoring (Section 5.7.1)	MS
<i>2. Monitoring of project implementation</i>	Effectively monitored since 2015 (Section 5.7.2)	MS
<i>3. Project reporting</i>	No major shortfall (Section 5.7.2)	MS
H. Sustainability	Overall a concern primarily due to uncertain financial sustainability (Section 5.8)	MU
<i>1. Socio-political sustainability</i>	No major concerns noted (Section 5.8.1)	ML
<i>2. Financial sustainability</i>	Highly dependent on as of yet unsecured future funding (Section 5.8.2)	MU
<i>3. Institutional sustainability</i>	Knowledge has been internalized and is likely to remain (Section 5.8.3)	ML
I. Factors Affecting Performance		S
<i>1. Preparation and readiness</i>	All elements were in place	S
<i>2. Quality of project management and supervision⁴⁷</i>	Concerns regarding project management relating to capacities of WWF; concerns over supervision by UN Environment prior to 2015	MU
<i>3. Stakeholders participation and cooperation</i>	No major concerns	S
<i>4. Responsiveness to human rights and gender equity</i>	Attempts were made at implementation	S
<i>5. Country ownership and driven-ness</i>	No major concerns	S
<i>6. Communication and public awareness</i>	No major concerns	S
Overall Project Rating		MS

⁴⁷ refers to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

6.1 Lessons Learned

284. It is likely unreasonable to expect LDC countries to provide cash co-finance; when developing projects the capacities of countries and institutions to provide co-finance, in particular, cash co-finance, should be carefully assessed.
285. It is crucial the Executing Agencies are able to establish effective agreements and working relationships with the national institutions and their focal points. Some countries are averse to dealing with NGOs. NGOs may also lack the standing to be able to establish appropriate relationships with high level focal points in governments and to request information and follow-up co-finance commitments. These matters should be taken into consideration by UN Environment in their due diligence processes for the selection of an Executing Agency.
286. Countries are at low levels of development and cannot provide close support for both project execution and administration. The Executing Agencies need to allocate sufficient of their resources to provide this support and the project budget should reflect this need. This needs to be taken into consideration during the design phase of projects involving LDCs.
287. Without adequate supervision by UN Environment of both the Executing Agencies and the countries, projects face severe risks of failing to deliver timely and effective results. In response, UN Environment has made significant efforts to improve its support and supervision since 2015. UN Environment should ensure that its management of the GEF fee allows it to provide appropriate support throughout the life of the project.

TERMS OF REFERENCE (TOR)

Terminal Evaluation of the UN Environment/Global Environment Facility projects:

Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the COMESA Sub region (GEF ID 3968)

AND

Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region (GEF ID 3942)

AND

Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the ECOWAS Sub region (GEF ID 3969)

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Preamble

1. These are the Terms of Reference for a Terminal Evaluation covering three UN Environment/Global Environment Facility projects implemented under GEF IDs 3968, 3942, and 3969. These projects are aiming to provide technical assistance and strengthen the capacity of stakeholders to implement Stockholm Convention National Implementation Plans in African Least Developed Counties (LDCs). These projects will be evaluated by a selected evaluation team. One evaluation report will be produced and it will specify findings and evaluation ratings for each project as per these TORs.

Table 30. Project countries

COMESA Project countries	SADC project countries	ECOWAS project countries
Burundi, Djibouti, D.R. Congo, Ethiopia, Rwanda, Sudan, Uganda, Comoros	Angola, Lesotho, Swaziland, Tanzania, Mozambique	ECOWAS countries: Benin, Burkina Faso, Gambia, Cape Verde, Guinea, Guinea Bissau, Liberia, Mali, Senegal, Sierra Leone, Togo AND Chad, Mauritania, Sao Tome and Principe and the Central African Republic

1. Section 1: BACKGROUND INFORMATION AND PROJECT RATIONALE

1. Project Context

2. Clear links have been established between poverty and increased risks of exposure to hazardous chemicals and waste, as it is predominantly the poor who routinely face unacceptably high risks because of their occupation, living situation and lack of knowledge about the detrimental impacts of exposure to these chemicals and wastes. Poor neighbourhoods are often located around industrial areas and waste dumps; this makes the poor the first to suffer from accidents or the adverse environmental impacts of factories' operations (or environmental 'externalities') (UNEP, 2010). Despite the direct relationship between the sound management of chemicals and the protection of human health and the environment, and the prevention of poverty, these links are often overlooked in development planning and prioritizing.
3. The Stockholm Convention on Persistent Organic Pollutants (POPs) is one global treaty (adopted in 2001 and entered into force in 2004) established to protect human health and the environment from chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of humans and wildlife, and have harmful impacts on human health or on the environment. Exposure to POPs can lead to serious health effects. Given their long range transport, no one government acting alone can protect its citizens or its environment from POPs. In response to this global problem, the Stockholm Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment.⁴⁸
4. Despite many countries in the project regions (COMESA⁴⁹, ECOWAS⁵⁰ and SADC⁵¹) are part of the Stockholm Convention and have completed their National Implementation Plans (NIPs) on POPs, these LDCs and SIDS lack the financial capacity to match the GEF potential funds and the administrative capacity to design activities and attract co-finance to sustain their global role in the elimination and reduction of POPs. Therefore a regional programmatic approach is seen as way to maintain the momentum of the national coordination mechanism built during and by the NIP development process, to support a collective action, build national capacity, and enhance mainstreaming of chemicals issues into the work of national governments.
5. UN environment and United Nations Industrial Development Organization (UNIDO) developed an Africa-wide programme that was to address the above mentioned concern in LDCs. The programme: "Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LDCs)" (also known as AFLDC project/programme) was to be implemented on a sub-regional basis with projects developed for the COMESA, SADC and ECOWAS sub-regions respectively. In each sub-region UN Environment and UNIDO had their separate but complimentary projects based on thematic areas of comparative advantage. The subjects of this Terminal Evaluation are the UN Environment implemented projects.
6. The least developed countries (LDCs) and Small Island Developing States (SIDS) in the target regions (COMESA, SADC and ECOWAS) are among the poorest in the world with several competing priorities for scarce national budgets. The ProDoc identifies that one root cause for the limited progress in implementing the Stockholm Convention in these sub-regions is the fact that some LDCs and SIDS treat the National Implementation Plan development process as a discrete project, as opposed to an activity to lead to mainstreaming work on implementing the Convention, into the work of the national government. Few of the participating countries have managed to move from implementation planning,

⁴⁸ <http://chm.pops.int/TheConvention/Overview/tabid/3351/>

⁴⁹ Common Market for Eastern and Southern Africa, COMESA

⁵⁰ Economic Community of West African States, ECOWAS

⁵¹ Southern African Development Community, SADC

to implementation of the Stockholm Convention, through the implementation of the activities defined in their NIPs. Other common barriers cited are also lack of technical and financial capacity and more precisely the development of adequate legislative and regulatory frameworks, enforcement and administrative capacity, and information sharing and dissemination.

2. Project Goals and Components

7. The Goal of each of these projects *is to improve the management of chemicals in participating countries*. This aligns to the GEF goal in chemicals management which is “to promote the sound management of chemicals throughout their life-cycle in ways that lead to the minimization of significant adverse effects on human health and the global environment.”
8. The Objective of each of these projects *is to strengthen and build the capacity required in LDCs and SIDS in the sub-regions to implement their Stockholm Convention NIPs in a sustainable, effective and comprehensive manner, while building upon and contributing to strengthening a country's foundational capacities for the sound management of chemicals*. The following components describe the general approach applied in the projects. Each project has their specific project activities varying by the contexts..
9. Component 1: Legislative and regulatory framework development. This component was to be achieved by recruiting a legal consultant to conduct a literature review of available model legislation related to chemicals, as well as regional agreements on regulatory harmonization, to develop a model comprehensive chemical regulatory framework for use of the three sub-regions included in the programme. The legal consultant was to be recruited in the first few months of the project by the programme coordination body.
10. Component 2: Sustainable enforcement and administrative capacity. This component was to be achieved by initiating the recruitment of suitable trainers within in the first few months of activities. Most outputs and activities in Component 2 were geared towards the development of training documents and train-the-trainer activities in order to build sustainable enforcement and administrative capacity in participating countries. While training of key staff is an important element of building capacity, the ability of national level staff to train provincial level and inter-departmental colleagues was also seen essential to the on-going sustainability of national capacity.
11. Component 3: Includes a coordinated information dissemination and awareness raising system. It was intended that the platform used for this will be a revitalized version of the Chemical Exchange Information Network (CIEN). The CIEN was to be transformed into a knowledge management system, for the entire programme. The CIEN will contain all project documents, training documents, and project outputs. This Component will also include community training focused on POPs-vulnerable communities, as well as high level work at the Ministerial level, with the COMESA Secretariat.
12. Component 4: Project Management. The project managers must organize the implementation, reporting and monitoring of process and conservation results in coordination with numerous stakeholders.

3. Summary of the COMESA Project: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the COMESA Sub region (GEF ID 3968)

Table 31 AFLDC COMESA Project Summary – GEF ID 3968

UN Environment approval date:	26 July 2011	Executing Agency:	WWF Eastern and Southern Africa Programme (in Kenya)	
GEF project ID:	3968	Project type:	Full-size project (GEF)	
GEF Operational Programme #:	GEF-4	Focal Area(s):	POPs	
GEF approval date:	14 April 2011	GEF Strategic Priority:	POPs 1	
Expected start date:	August 2011	Actual start date:	TBC	
Planned completion date:	July 2016	Actual completion date:	December 2017	
Planned project budget at approval:	5,079,022 USD	Actual total expenditures reported as of [date]:	To be established during the evaluation	
GEF grant allocation:	2,500,000	GEF grant expenditures reported as of Dec 2016:	1,222,239.72 USD	
Project Preparation Grant - GEF financing:	70 000 USD ⁵²	Project Preparation Grant - co-financing:	TBC	
Expected Medium-Size Project/Full-Size Project co-financing:	2,579,022 USD (Cash) 1,659,022 USD (in-kind)	Secured Medium-Size Project/Full-Size Project co-financing:	To be established during the evaluation	
First disbursement:	5 Aug 2011	Date of financial closure:	-	
No. of revisions:	3	Date of last revision:	Feb 2016	
No. of Steering Committee meetings:	TBC	Date of last/next Steering Committee meeting:	Last: TBC	Next: June 2017
Mid-term Review/ Evaluation (planned date):	Mid-project	Mid-term Review (actual date):	Review conducted (2016)	

⁵² As per CEO endorsement

Terminal Evaluation (planned date):	In the end of the proeject	Terminal Evaluation (actual date):	Dec 2017
Coverage - Country(ies):	Burundi, Djibouti, D.R. Congo, Ethiopia, Rwanda, Sudan, Uganda, Comoros ⁵³	Coverage - Region(s):	Africa (COMESA)
Dates of previous project phases:	NIPs for POPs projects	Status of future project phases:	yes

Table 32. AFLDC COMESA Project budget and co-financing summary – GEF ID 3968

Cost of Project - COMESA	US\$	%
Cost to the GEF Trust Fund	2,500,000	100
Co-financing		
Cash		
African Union Commission ACP-MEAs	20,000	0
National co-finance	300,000	12
UNEP DTIE	600,000	23
<i>Sub-total</i>	<i>920,000</i>	<i>35</i>
In-kind		
UNEP Regional Office for Africa	300,000	12
Stockholm Secretariat	150,000	6
UNEP DTIE	50,000	2
National co-finance and SAICM	1,159,022	45
<i>Sub-total</i>	<i>1,659,022</i>	<i>65</i>
Total Co-financing	2,579,022	100
Total	5,079,022	

⁵³ Mentioned in the ProDoc but not listed as a project country

4. Summary of the SADC Project: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the SADC Sub region (GEF ID 3942)

Table 33 AFLDC SADC Project Summary – GEF ID 3942

UN Environment approval date:	26 Jul 2011	Executing Agency:	WWF Eastern and Southern Africa Programme (in Kenya)	
GEF project ID:	3942	Project type:	Full-size project	
GEF Operational Programme #:	GEF-4	Focal Area(s):	POPs	
GEF approval date:	16 March 2011	GEF Strategic Priority:	POPs 1	
Expected start date:	Aug 2011	Actual start date:	TBC	
Planned completion date:	Jan 2016	Actual completion date:	Dec 2017	
Planned project budget at approval:	3,091,885 USD	Actual total expenditures reported as of [date]:	To be established during the evaluation	
GEF grant allocation:	1,500,000	GEF grant expenditures reported as of Dec 2016:	960,420.92 USD	
Project Preparation Grant - GEF financing:	60,000 USD ⁵⁴	Project Preparation Grant - co-financing:	TBC	
Expected Full-Size Project co-financing:	590,000 USD (Cash) 1,001,885 USD (In-kind)	Secured Full-Size Project co-financing:	To be established during the evaluation	
First disbursement:	5 Aug 2011	Date of financial closure:	-	
No. of revisions:	3	Date of last revision:	22 Jul 2016	
No. of Steering Committee meetings:	TBC	Date of last/next Steering Committee meeting:	Last: TBC	Next: June 2017

⁵⁴ As per CEO endorsement

Mid-term Review/ Evaluation (planned date):	Mid-project	Mid-term Review (actual date):	Review conducted (2016)
Terminal Evaluation (planned date):	End of the project	Terminal Evaluation (actual date):	Dec 2017
Coverage - Country(ies):	Angola, Lesotho, Swaziland, Tanzania, Mozambique	Coverage - Region(s):	Africa (SADC)
Dates of previous project phases:	NIPs for POPs	Status of future project phases:	yes

Table 34. AFLDC SADC Project budget and co-financing summary – GEF ID 3942

Cost of Project	US\$	%
Cost to the GEF Trust Fund	1,500,000	100
Co-financing		
Cash		
African Union Commission ACP-MEAs	20,000	1
National co-finance and SAICM	200,000	13
UNEP DTIE	370,000	23
<i>Sub-total</i>	<i>590,000</i>	<i>37</i>
In-kind		
UNEP Regional Office for Africa	300,000	19
Stockholm Secretariat	100,000	6
UNEP DTIE	50,000	3
National co-finance and SAICM	551,885	35
<i>Sub-total</i>	<i>1,001,885</i>	<i>63</i>
Total co-financing	1,591,885	100
TOTAL	3,091,885	

5. Summary of the ECOWAS project: Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the ECOWAS Sub region

Table 35 AFLDC ECOWAS Project Summary – GEF ID 3969

UN Environment approval date:	9 Aug 2011	Executing Agency:	WWF Eastern and Southern Africa Programme (in Kenya)	
GEF project ID:	3969	Project type:	Full-Size Project (GEF)	
GEF Operational Programme #:	GEF 3?	Focal Area(s):		
GEF approval date:	13 April 2011	GEF Strategic Priority:	Chemicals	
Expected start date:	Aug 2011	Actual start date:	TBC	
Planned completion date:	Jul 2016	Actual completion date:	Dec 2017	
Planned project budget at approval:	8,858,549 USD	Actual total expenditures reported as of March 2017:	2,038,775.25 (GEF)	
GEF grant allocation:	4,000,0000 USD	GEF grant expenditures reported as of [date]:	2,038,775.25	
Project Preparation Grant - GEF financing:	TBC	Project Preparation Grant - co-financing:	188,400.66 USD	
Expected Full-Size Project co-financing:	1,395,000 USD (Cash) 3,463,549 USD (in-kind)	Secured Full-Size Project co-financing:	To be confirmed	
First disbursement:	17 August, 2011	Date of financial closure:	To be confirmed	
No. of revisions:	⁵⁵	Date of last revision:	9/9/2016	
No. of Steering Committee meetings:	TBC	Date of last/next Steering Committee meeting:	Last: TBC	Next: June 2017
Mid-term Review/ Evaluation (planned date):	-	Mid-term Review(actual date):	Review conducted (2016)	

⁵⁵Based on UN Environment document filing

Terminal Evaluation (planned date):	End of project	Terminal Evaluation (actual date):	December 2017
Coverage - Country(ies):	Benin, Burkina Faso, Gambia, Cape Verde, Guinea, Guinea Bissau, Liberia, Mali, Senegal, Sierra Leone, Togo AND Chad, Mauritania, Sao Tome and Principe and the Central African Republic	Coverage - Region(s):	Africa (ECOWAS)
Dates of previous project phases:	NIPs for POPs project	Status of future project phases:	yes

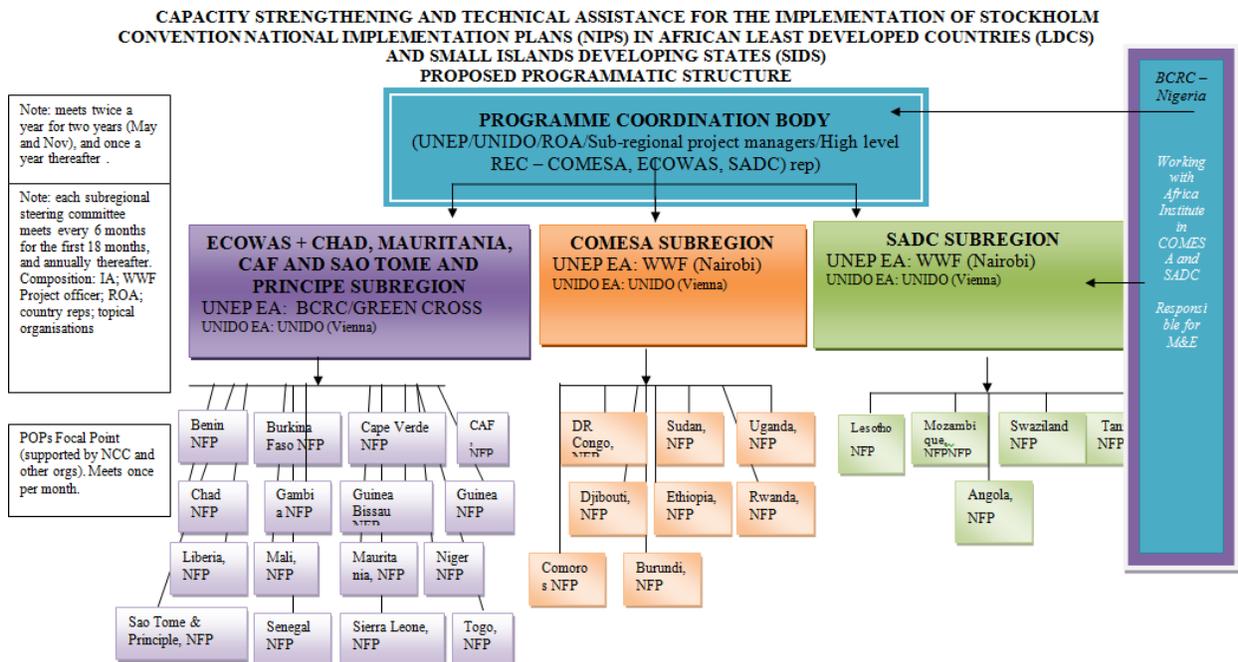
Table 36. AFLDC ECOWAS Project budget and co-financing summary – GEF ID GEF ID 3969

Cost of Project	US\$	%
Cost to the GEF Trust Fund	4,000,000	100
Co-financing		
Cash		
African Union Commission ACP-MEAs	20,000	1
National co-finance and SAICM	600,000	12
ECOWAS	375,000	8
UNEP DTIE	400,000	8
<i>Sub-total</i>	<i>1,395,000</i>	<i>29</i>
In-kind		
UNEP Regional Office for Africa	300,000	6
Stockholm Secretariat	150,000	3
UNEP DTIE	56,097	1
National co-finance and SAICM Secretariat	2,298,452	48
FAO	354,000	7
Green Cross International	155,000	3
ECOWAS	150,000	3
<i>Sub-total</i>	<i>4,858,549</i>	<i>71</i>
Total	8,858,549	100

6. Executing Arrangements

13. The overall project, focusing on LDCs in the COMESA, SADC and ECOWAS sub-regions was to be jointly implemented by UN Environment and UNIDO. UN Environment was to implement the three components covered in this TOR, and UNIDO to implement the components described in the UNIDO project document. The programmatic structure was designed to include a *program coordination body (PCB)*, comprising representatives from UN Environment, UNIDO, executing agencies, regional economic commissions and the Basel Convention Regional Coordinating Centre (BCRCC). *Sub-regional steering committees* are responsible for project execution. Steering Committees include representatives from UN Environment, UNIDO, executing agency staff, POPs National Focal Point (NFP), the BCRCC and relevant organizations relating to project execution.
14. Each project project (COMESA, SADC, ECOWAS) also have their own specific arrangement as per the GEF requirements. UN Environment, as the *GEF Implementing Agency (IA)*, was to be responsible for overall project supervision to ensure consistency with GEF and UN Environment, policies and procedures, and will provide guidance on linkages with related UN Environment, and GEF-funded activities. In addition to its role within the Programme Coordination Body, UNEP was to ensure timeliness, quality and fiduciary standards in project delivery.
15. WWF Eastern and Southern Africa Programme Office (ESARPO) is the Executing Agency of the COMESA and SADC projects. Basel Convention Regional Centre in Senegal and Green Cross International are co-executing the ECOWAS project.

Figure 7. Project implementation and execution arrangements



7. Implementation issues

16. These three projects have all faced implementation delays in some areas of activities/countries. A summary report of the mid-term review (dated 2016) identifies several implementation issues i.e. related to communication between the parties; confusion in terms or executing arrangements/roles; country level capacity/prioritisation issues; and UN Environment related disbursement problems.

2. Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

8. Key Evaluation principles

17. Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) 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.
18. **The “Why?” Question.** As this is a terminal evaluation and chemicals and POPs related project are to be implemented in these regions in the future by UN Environment, particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultants’ minds all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the consultants need to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was. This should provide the basis for the lessons that can be drawn from the project.
19. **Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.
20. **Communicating evaluation results.** A key aim of the evaluation is to encourage reflection and learning by UN Environment staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons. Clear and concise writing is required on all evaluation deliverables. Draft and final versions of the main evaluation report will be shared with key stakeholders by the Evaluation Office. There may, however, be several intended audiences, each with different interests and needs regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

9. Objective of the Evaluation

21. In line with the UN Environment Evaluation Policy⁵⁶ and the UN Environment Programme Manual⁵⁷, the Terminal Evaluation (TE) 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 evaluation 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 UN Environment and UNIDO, WWF, Green Cross and national partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation of the upcoming project that is to be designed based on the lessons of these initiatives.

10. Key Strategic Questions

22. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will consider the following issues that are of interest to UN Environment:
- UN Environment has projects in the pipeline that could benefit from the lessons of this evaluation. While assessing the project as per the evaluation criteria specified in these TORs the evaluation should ensure that it will, as far as possible, specify lesson related to following areas:
 - a) Implementation and execution arrangements related lessons;
 - b) country level capacity (institutional and other) related lessons that could help designing and implementing POPs projects in the LDC context in the future (i.e. selection criteria-participating countries, customization of implementation approach); and
 - c) synergies with other similar projects in the region to maximize the results (i.e. with UNIDO).

11. Evaluation Criteria

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

A. Strategic Relevance

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

⁵⁶ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁵⁷ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf. This manual is under revision.

- i. *Alignment to the UN Environment Medium Term Strategy⁵⁸ (MTS) and Programme of Work (POW)*
25. The below table specifies the intended alignment of the AFLDC projects as per the current UN Environment PoW. Alignment to the previous PoWs should be also assessed. Evaluation should address the project's alignment with the MTS and POW under which the project was approved and include reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

Sub-programme:	Chemicals and Waste (PoW 2016-2017)		
Expected Accomplishment(s):	b. Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related multilateral environmental agreements	Programme of Work Output(s):	4. Scientific and technical services, delivered through multi-stakeholder partnerships, to build the capacities of governments, the private sector and civil society to take action on the risks posed by chemicals including those listed in relevant MEAs; and SAICM, and lead and cadmium, as well as unsound management practices.

- ii. *Alignment to UN Environment /GEF/Donor Strategic Priorities*
26. Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁵⁹ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies (GEF 4 and POPs priority area).
- iii. *Relevance to Regional, Sub-regional and National Environmental Priorities*
27. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans and poverty reduction strategies, and especially National Implementation Plans (NIPs) for POPs. The project design also emphasizes a regional approach to POPs management in the national level, thus any sub-regional (COMESA, SADC and ECOWAS) agreements or plans should be considered.
- iv. *Complementarity with Existing Interventions*
28. An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of on-going and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN programming. Linkages with the UNIDO interventions executed as a parallel AFLDC initiatives need to be considered.

⁵⁸ UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

⁵⁹ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

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

B. Quality of Project Design

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

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

C. Nature of External Context

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

D. Effectiveness

33. The evaluation will assess effectiveness across three dimensions: achievement of outputs, achievement of direct outcomes and likelihood of impact. TOC will be reconstructed and utilized as basis for the Effectiveness analysis. TOC will be reconstructed for each project (COMESA, SADC, ECOWAS) as deemed necessary⁶⁰.

i. Achievement of Outputs

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

35. *Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision⁶¹.

ii. Achievement of Direct Outcomes

⁶⁰ The TOC reconstruction process might be based on one general TOC that is then adapted to a regional or country level.

⁶¹ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

36. The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed⁶² Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.
37. *Factors affecting this criterion may include:* quality of project management and supervision; stakeholders' participation and cooperation; responsiveness to human rights and gender equity and communication and public awareness.

iii. Likelihood of Impact

38. Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Projects' objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the EOU website, web.unep.org/evaluation and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.
39. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁶³
40. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication⁶⁴ as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals⁶⁵ and/or the high level results prioritised by the funding partner.
41. *Factors affecting this criterion may include:* quality of project management and supervision, including adaptive project management; stakeholders participation and cooperation; responsiveness to human rights and gender equity; country ownership and driven-ness and communication and public awareness.

⁶² 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.

⁶³ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

⁶⁴ 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.

⁶⁵ A list of relevant SDGs is available on the EO website www.unep.org/evaluation

E. Financial Management

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

F. Efficiency

44. In keeping with the OECD/DAC definition of efficiency, the evaluation will assess the cost-effectiveness and timeliness of project execution. Focussing 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 evaluation 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 evaluation 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.
45. The evaluation will give special attention to efforts by the project teams to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UN Environment's environmental footprint.
46. *Factors affecting this criterion may include:* preparation and readiness (e.g. timeliness); quality of project management and supervision and stakeholders participation and cooperation.

G. Monitoring and Reporting

47. The evaluation will assess monitoring and reporting across three sub-categories: monitoring design and budgeting, monitoring of project implementation and project reporting.
- i. Monitoring Design and Budgeting*
48. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART⁶⁶ indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The evaluation 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 if applicable.
- ii. Monitoring of Project Implementation*

⁶⁶ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

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

iii. Project Reporting

50. UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Projects funded by GEF have specific evaluation requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template⁶⁷), which will be made available by the Task Manager. The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

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

H. Sustainability

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

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

iii. Institutional Sustainability

55. The evaluation will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal

⁶⁷ The Evaluation Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

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

I. Factors and Processes Affecting Project Performance

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

i. Preparation and Readiness

58. This criterion focuses on the inception or mobilisation stage of the project. The evaluation 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 evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

ii. Quality of Project Implementation and Execution

59. Specifically for GEF funded projects, this factor refers separately to the performance of the executing agencies and the technical backstopping and supervision provided by UN Environment, as the implementing agency.
60. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

62. The evaluation 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 evaluation will assess to what extent the intervention adheres to UN Environment's Policy and Strategy for Gender Equality and the Environment.
63. The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account. In particular, the evaluation will consider to what extent project design (section B), the implementation that underpins effectiveness (section D), and monitoring (section G) have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women

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

v. *Country Ownership and Driven-ness*

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

vi. *Communication and Public Awareness*

65. The evaluation 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 evaluation should consider whether existing communication channels and networks were used effectively, including meeting the differentiated needs of gender and marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established under a project the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

3. Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

66. The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation 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 evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation 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.)

67. The findings of the evaluation will be based on the following (Covering COMESA, SADC, ECOWAS project specific sources):

(a) A **desk review** of:

- Relevant background documentation, inter alia National Implementation Plans on POPs, regional national development plans (especially related to chemicals) and other relevant material specified in the inception phase
- 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 and co-financing plans;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project outputs: any reports/studies/reviews etc produced during the project

- Mid-Term Review(s) of the projects (2016 and any others)
 - Evaluations/reviews of similar projects
- (b) **Interviews** (individual or in group) with:
- UN Environment Task Manager (TM);
 - UN Environment Fund Management Officer (FMO);
 - Project management team (Executing partners and co-executing partners)
 - National focal points
 - Sub-Programme Coordinator (UN Environment);
 - Project partners, stakeholders and beneficiaries (will be specified in the inception phase)
 - Relevant resource persons.
- (c) **Surveys** (if deemed necessary)
- (d) **Field visits** (to a selected countries under each project, COMESA, SADC, ECOWAS) selection criteria will be specified in the early stages of the inception.
- (e) **Other data collection tools**

12. An Evaluation Deliverables and Review Procedures

68. The evaluation team will prepare⁶⁸:

- **Preparatory note:** a note of 2-4 pages covering the key observations made during the AFLDC steering committee meeting(s).
- **Inception Report covering all three project evaluations:** (see Annex documents) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project(s), projects' stakeholder analysis, evaluation framework and a tentative evaluation 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. The form of presentation will be decided later (whether to have three presentations at once or as separate sessions will be decided during the evaluation process)
- **Draft and Final Evaluation Report:** (see Annex documents) containing an executive summary (with also required language versions) that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence for each project (COMESA, SADC, ECOWAS); lessons learned and recommendations and an annotated ratings table.
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings for wider dissemination through the EOU website. Also a 1 or 2-page summary of each project by sub-region and required language versions (at least in French)

69. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report

⁶⁸ The standard length of each evaluation output can be adapted from the Evaluation Office recommendations considering that this evaluation will cover three different project in three different regions.

with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) 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 Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

70. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.
71. The Evaluation Manager will prepare a **quality assessment** of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.
72. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Task Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

13. The Consultants' Team

73. For this evaluation, the evaluation team will consist of a **Team Leader and a Team Members** who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Saila Toikka, in consultation with the UN Environment Task Manager Kevin Helps, Fund Management Officer Anuradha Shenoy and the Sub-programme Coordinator of the Chemicals and Waste as deemed necessary. The consultants will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.
74. The Team Leader will be hired over the period 15 July 2017 to 15 January 2018 and should have: an advanced university degree in natural or environmental sciences, international development or other relevant political or social sciences area; a minimum of 20 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of environmentally sound management approaches of chemicals and specially those identified in Stockholm convention on POPs; regional knowledge; proficiency in French along with excellent writing skills in English; team leadership experience and, where possible, knowledge of the UN system, specifically of the work of UN Environment.
75. The Team Member will be hired over the period of 15 July 2017 to 15 January 2018 and should have: an advanced university degree in natural or environmental sciences, international development or other relevant political or social sciences area; a minimum of 15 years of technical/monitoring/evaluation experience; a broad understanding of environmentally sound management approaches of chemicals and specially those identified in Stockholm convention on POPs; regional knowledge; sufficient knowledge of the regions; proficiency in English (spoken and written) is required and other relevant language skills are considered as an advantage; and, where possible, knowledge of the UN system,

specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

76. The Team Leader will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation process and timely submission of its outputs to the Evaluation Office, described above in Section 11 Evaluation Deliverables, above. **The Team Member will be responsible for substantive, analytical and high quality contributions to the evaluation process and outputs covering the geographic areas and evaluation questions/criteria assigned to him/her.** Both consultants will ensure together that all evaluation criteria and questions are adequately covered.

14. Schedule of the evaluation

77. The table below presents the tentative schedule for the evaluation.

Table 3. Tentative schedule for the evaluation

Milestone	Timeline
<i>[Workshop participation in Nairobi]</i>	<i>June 26 -30</i>
Inception interviews and initial desk review	August 30
Inception report (1 st submission)	July 23
Inception Report (final submission)	August 15
Evaluation Missions (to be specified in the inception phase)	November 15
Telephone interviews, surveys etc.	November 30
Powerpoint/presentation on preliminary findings and recommendations	December 5
Draft report to Evaluation Manager (and Peer Reviewer)	December 10
Draft Report shared with UN Environment Project Manager and team	December 20
Draft Report shared with stakeholder (with executive summary and language versions)	January 5
Final Report	January 15

15. Contractual Arrangements

78. Evaluation Consultants will be selected and recruited by the Evaluation Office of UN Environment under an individual Special Service Agreement (SSA) on a “fees only” basis (see below). By signing the service contract with UN Environment/UNON, the consultant(s) certify 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.

79. Fees will be paid on an instalment basis, paid on acceptance by the Evaluation Office of expected key deliverables. The schedule of payment is as follows:

80. Schedule of Payment for the Team Leader:

Deliverable	Percentage Payment
Preparatory note (as per para 68)	15%
Approved Inception Report (as per annex 1)	25%
Approved Draft Main Evaluation Report (as per annex 1)	25%
Approved Final Main Evaluation Report	35%

Schedule of Payment for the Team Members:

Deliverable	Percentage Payment
Preparatory note (as per para 68)	15%
Approved Inception Report (as per annex 1)	25%
Approved Draft Main Evaluation Report (as per annex 1)	25%
Approved Final Main Evaluation Report	35%

81.

82. Fees only contracts: Air tickets will be purchased by UN Environment 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 Evaluation Office and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

83. The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) 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 evaluation report.

84. 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 the UN Environment Evaluation Office, payment may be withheld at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UN Environment's quality standards.

85. If the consultant(s) fail to submit a satisfactory final product to UN Environment in a timely manner, i.e. before the end date of their contract, the Evaluation Office reserves the right to employ additional human resources to finalize the report, and to reduce the consultants' fees by an amount equal to the additional costs borne by the Evaluation Office to bring the report up to standard.

Annex 1: Tools, Templates and Guidance Notes for use in the Evaluation

The tools, templates and guidance notes listed in the table below, and available on the Evaluation Office website (www.unep.org/evaluation), are intended to help Evaluation Managers and Evaluation Consultants to produce evaluation products that are consistent with each other and which can be compiled into a biennial Evaluation Synthesis Report. The biennial summary is used to provide an overview of progress to UN Environment and the UN Environmental Assembly.

This suite of documents is also intended to make the evaluation process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the evaluation needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the evaluation process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the Evaluation Manager and the Evaluation Consultants in order to produce evaluation reports that are both useful to project implementers and that produce credible findings.

Document	Name
1	Evaluation Process Guidelines for Consultants
2	Evaluation Consultants Team Roles (<i>applies generally to Team Members as well</i>)
3	Evaluation Ratings Table
4	Weighting of Ratings (excel)
5	Evaluation Criteria (<i>summary of descriptions, as in these terms of reference</i>)
6	Matrix Describing Ratings by Criteria
7	Structure and Contents of the Inception Report
8	Template for the Assessment of the Quality of Project Design
9	Guidance on Stakeholder Analysis
10	Use of Theory of Change in Project Evaluations
11	Assessment of the Likelihood of Impact Decision Tree (Excel)
12	Possible Evaluation Questions
13	Structure and Contents of the Main Evaluation Report
14	Cover Page, Prelims and Style Sheet for Main Evaluation Report
15	Financial Tables
16	Template for the Assessment of the Quality of the Evaluation Report

Annex II. Evaluation Itinerary

The Evaluation missions were undertaken in two phases, to selected participating countries in SADC and COMESA projects in October 2017 and to those selected in the ECOWAS Project in November and December 2017

Mission Itinerary to selected participating countries in COMESA and SADC

Date	Day	Evaluator	
		Cristobal Vignal	Richard Thompson
15/10/2017	Sunday	Arrive Maputo, Mozambique	Arrive Maputo, Mozambique
16/10/2017	Monday	Interviews in Mozambique	Interviews in Mozambique
17/10/2017	Tuesday	Interviews in Mozambique	Interviews in Mozambique
18/10/2017	Wednesday	Interviews in Mozambique	Interviews in Mozambique
19/10/2017	Thursday	Interviews in Mozambique and field mission	Interviews in Mozambique and field mission
20/10/2017	Friday	Interviews in Mozambique	Interviews in Mozambique
21/10/2017	Saturday	Weekend	Travel to Maseru, Lesotho
22/10/2017	Sunday	Travel to Burundi	Weekend
23/10/2017	Monday	Interviews in Burundi	Interviews in Lesotho and field mission
24/10/2017	Tuesday	Interviews in Burundi	Interviews in Lesotho
25/10/2017	Wednesday	Interviews in Burundi	Interviews in Lesotho
26/10/2017	Thursday	Interviews in Burundi	Travel to Kampala, Uganda
27/10/2017	Friday	Depart Burundi	Interviews in Uganda
28/10/2017	Saturday		Weekend
29/10/2017	Sunday		Weekend
30/10/2017	Monday		Interviews in Uganda and field mission
31/10/2017	Tuesday		Interviews in Uganda
01/11/2017	Wednesday		Depart Uganda ⁶⁹

⁶⁹ Ethiopia had also been selected for the evaluation mission, but, as the request for a visa had not been processed, the mission leg had to be abandoned

Mission Itinerary to selected participating countries in ECOWAS

Date	Day	Evaluator	
		Cristobal Vignal	Richard Thompson
21/11/2017	Tuesday		Arrive Sao Tome
22/11/2017	Wednesday		Interviews in Sao Tome
23/11/2017	Thursday	Arrive Sao Tome ⁷⁰	Interviews and field mission
24/11/2017	Friday	Interviews in Sao Tome	Interviews in Sao Tome
25/11/2017	Saturday	Travel to Accra, Ghana	Travel to Accra, Ghana
26/11/2017	Sunday		Arrive Monrovia, Liberia
27/11/2017	Monday	Arrive Niger	Interviews in Liberia
28/11/2017	Tuesday	Interviews in Niger	Interviews in Liberia
29/11/2017	Wednesday	Interviews in Niger	Interviews in Liberia
30/11/2017	Thursday	Interviews in Niger	Arrive in Freetown, Sierra Leone
01/12/2017	Friday	Interviews in Niger	Interviews in Sierra Leone
02/12/2017	Saturday	Arrive in Nouakchott, Mauritania	Field Mission to Gambia
03/12/2017	Sunday	Weekend	Weekend
04/12/2017	Monday	Interviews in Mauritania	Interviews in Sierra Leone
05/12/2017	Tuesday	Interviews in Mauritania	Interviews in Sierra Leone
06/12/2017	Wednesday	Interviews in Mauritania	Arrive in Dakar, Senegal
07/12/2017	Thursday	Arrive in Dakar and interviews	Interviews in Dakar
08/12/2017	Friday	Interviews in Dakar	Interviews in Dakar
09/12/2017	Saturday	Weekend	Weekend
10/12/2017	Sunday	Weekend	Weekend
11/12/2017	Monday	Interviews in Dakar	Interviews in Dakar
12/12/2017	Tuesday	Interviews in Dakar	Interviews in Dakar
13/12/2017	Wednesday	Interviews in Dakar	Interviews in Dakar
14/12/2017	Thursday	Arrive in Conakry, Guinea	Depart Dakar
15/12/2017	Friday	Interviews in Guinea	
16/12/2017	Saturday	Weekend	
17/12/2017	Sunday	Weekend	
18/12/2017	Monday	Interviews in Guinea	
19/12/2017	Tuesday	Interviews in Guinea	
20/12/2017	Wednesday	Interviews in Guinea	
21/12/2017	Thursday	Depart Guinea	

⁷⁰ The scheduled arrival date on 21/11/2017 was delayed due to flight cancellations

Annex III. Stakeholders interviewed

Table 37: Stakeholders interviewed during Evaluation missions or remotely

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
COMESA	Burundi	Alphonse Polisi	M	Ministère de l'Environnement	Point Focal
COMESA	Burundi	Ernest Ntuzwenimana	M	Regideso	Point focal POPs
COMESA	Burundi	Mme Antoinette	F	Ministère de l'Environnement	Point focal GEF
COMESA	Burundi	Gerard Mandevu	M	Ministère de l'Environnement	Conseiller du Directeur
COMESA	Burundi	Audace Kambayeko	F	Direction générale de la fonction publique	Directrice générale de la fonction publique
COMESA	Burundi	Dorothee Nahayo	F	Journaliste	Membre du Comité Directeur
COMESA	Ethiopia	Mehari Wondmagegn (by phone)	M	Ministry of Environment and Forest,	Project Focal Point from 2015
COMESA	Uganda	Ms Enid Turyahikayo	F	National Environmental Management Authority (NEMA)	Project Focal Point from 2017
COMESA	Uganda	Christine Kasedde	F	EX NEMA	Project Focal Point from 2011 to 2016
COMESA	Uganda	Ms. Christine Akello	F	NEMA	Deputy Executive Director, and participant in training for Comp 1 and 2
COMESA	Uganda	Ms. Sarah Naigaga	F	NEMA	Participated in the Customs /judiciary training (component 2)
COMESA	Uganda	Mr. Richard Waiswa	M	NEMA	Participated in the CIEN training
COMESA	Uganda	Jascinta Nalwoga	F	NEMA	Participated in CIEN training
COMESA	Uganda	Mr. Wilber Nsiyona	M	Uganda Revenue Authority	-Participated in the Customs training (comp 2) and the CIEN training (Comp 3)

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
COMESA	Uganda	Dr Evelyn Lutalo	F	NEMA	Delivered Training on enforcement of SC to provincial level environment officers
COMESA	Uganda	Fred Onyai	M	NEMA	M&E officer for the national project
COMESA	Uganda	Ms. Anna Odur Aupwae	F	Association of Uganda Professional Women in Agriculture and Environment	Co-ordinator for awareness raising in vulnerable groups
COMESA	Uganda	Mr. Stephen Byantwale	M	Ministry of Agriculture, Animal Industry and Fisheries	Participated in the review and update of the Pesticides Registration and Control & the Pesticides application Equipment Regulations
COMESA	Uganda	Mildred Barungi, (PhD)	F	Economic Policy Research Centre (EPRC)	Contracted to draft pesticide legislation
COMESA	Uganda	Dr Swaibu Mbow	M	Economic Policy Research Centre (EPRC)	Contracted to draft pesticide legislation
COMESA	Uganda	Jessica Chemeri	F	Ministry of Justice	Magistrate and participant to Judiciary TOT
ECOWAS	Guinea	Hawa Diallo	F	Ministère de l'Environnement	Conseillère juridique
ECOWAS	Guinea	Assiatou Baldé	F	Ministère de l'Environnement	Ministre de l'Environnement
ECOWAS	Guinea	Halimatou Tandeta Diallo	F	Secrétaire exécutive conseil national environnement et développement durable	Point Focal
ECOWAS	Guinea	Ibrahima Sory Gordi Diallo	M	Douanes	Inspecteur
ECOWAS	Guinea	Abou Cissé	M	Ministère de l'Environnement	Directeur de l'Environnement

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Guinea	Algassimou Diallo	M	Ministère de la Justice	Procureur general adjoint
ECOWAS	Guinea	Sekou Benna Kamara	M	Membre du Parlement	Président Comission environnement et developpement durable de l'Assemblée nationale
ECOWAS	Guinea	Mr Diallo	M	Membre du Parlement	
ECOWAS	Guinea	Mohamed Lamine	M	Membre du Parlement	
ECOWAS	Guinea	Hadjia Aissatou Bobo Diallo	F	Ministère de l'Industrie	Point Focal – produits chimiques
ECOWAS	Guinea	Karamba Traore	M	Ministère de l'Industrie et des PME	Chef, Section transfert technologiques
ECOWAS	Guinea	Abderahmane Diallo	M	Ministere des Mines et de la Géologie	Chef, chargé environnement et sécurité minière
ECOWAS	Guinea	Kamory Traore	M	Ministère de l'Environnement	
ECOWAS	Guinea	Mamdouba Camara	M	Ministère de l'Agriculture	
ECOWAS	Guinea	Jules Tamba Camara	M	Institut Guinéen de Normalisation et de Métrologie	Chef, Section environnement
ECOWAS	Liberia	Henry O Williams	M	Environmental Protection Agency	National Focal Point Participant in Regional Trainings on Legislation and Enforcement (Lomé Feb 2013) and CIEN (Dakar Dec 2013)
ECOWAS	Liberia	James Z. Aquoi	M	Environmental Protection Agency	Project Finance Officer for MEA projects

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Liberia	Margaret Beyslow	F	Environmental Protection Agency	Participant in Regional Obsolete Pesticides Inventory Training in Bamako and undertook national inventory
ECOWAS	Liberia	Lawrence MASSAQUOI	M	Ministry of Agriculture	Participant in Regional Obsolete Pesticides Inventory Training in Bamako and undertook national inventory
ECOWAS	Liberia	Attorney J. Adams Manobah	M	Previously EPA, now Land Authority	Participated in regional Judiciary TOT
ECOWAS	Liberia	Anyaa Vohiri (by phone)	F	Environmental Protection Agency	Executive Director of EPA
ECOWAS	Mauritania	Sidi Ould Aloueimine	M	Environment Ministry - Director	Project Focal Point since 2017
ECOWAS	Mauritania	Mohamed Lemine	M	Environment Ministry, Staff	Deputy to the Focal Point
ECOWAS	Mauritania	Fatimetou Mohamed Salek	F	NGO	Has been invited as member of the National Steering Committee
ECOWAS	Mauritania	Abdel Kerim Aw	M	Principal Inspector , Customs Directorate	Participated in Customs and Judiciary trainings (Bamako and Nouakchott)
ECOWAS	Niger	Seydou Moussa Ali	M	Direction Environnement et prevention des risques	
ECOWAS	Niger	Hadidjatou Isoufou	F	Ministère de l'Environnement	Chef de division, prévention du risque
ECOWAS	Niger	Issa Adji	M	Ministère de l'Environnement	Commandant
ECOWAS	Niger	Boubacar Moussa Soumey	M	Ministère de l'Environnement	Chef division Norms et Politiques environnementales

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Niger	Abdou Baou Ibrahim	M	Centre national de lutte antiacridienne	Direction du suivi environnemental et sanitaire
ECOWAS	Niger	Abdoulaye Mahama	M	Centre national de lutte antiacridienne	Chef, Direction du suivi environnemental et sanitaire
ECOWAS	Niger	Marou Gourouza	M	Universite Abdou Moumouni	Maitre de conférence
ECOWAS	Niger	Gougari Bague	M	Direction des etudes biologiques	Direction générale de protection des végétaux
ECOWAS	Niger	Alimatou Douki Abdou	F	Directrice	Reglementation et suivi phytosanitaire
ECOWAS	Niger	Maina Maman Rabiou	M	Président, Assemblée Nationale	Parlementaire
ECOWAS	Niger	Amadou Manzo Liman	M	Assemblée Nationale	Parlementaire
ECOWAS	Niger	Ahmat Souleymane	M	Assemblée Nationale	Parlementaire
ECOWAS	Niger	Labaram Yahaya	M	Assemblée Nationale	Parlementaire
ECOWAS	Niger	Saley Hamani	M	Assemblée Nationale	Parlementaire
ECOWAS	Niger	Issiya Soulé	M	Division hygiene publique et education pour la santé	Chef, Police sanitaire
ECOWAS	Niger	Mahaman Laouali Abdou	M	ONEN – Organisation Nigérienne des éducateurs novateurs	Chef, projet collecte et recyclage
ECOWAS	Niger	Abdoul Azis Mahamadou	M	Ministère de l'Environnement	Directeur de la Legislation
ECOWAS	Niger	Ahamadou Zaroumeye	M	Douanes, Point Focal du Ministère de l'Environnement	Inspecteur Général
ECOWAS	Niger	Issa Wassey	M	Ministere de la Justice	Directeur de la legislation et des réformes

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Niger	Ouseini Soumana	M	Ministère de Ministère de la santé et de l'hygiène publique	Chef Division hygiène publique
ECOWAS	Niger	Hamadou Cisse Mamoudou	M	Ministère de Ministère de la santé et de l'hygiène publique	Chef Bureau santé et environnement
ECOWAS	Niger	Boubacar Goubokoye	M	Ministère de Ministère de la santé et de l'hygiène publique	Division hygiène publique
ECOWAS	Niger	Mr Sani	M	Ministère de l'Environnement	Point Focal
ECOWAS	Senegal	Massamba NDOUR	M	Basel and Stockholm Convention Regional Centre	Project Manager of ECOWAS PCB project
ECOWAS	Senegal	Aita Seck	F	Direction de l'Environnement et des Etablissements Classés	National Focal Point for POPs project
ECOWAS	Senegal	Prof Ibrahima Ly	M	Legal Consultant	Translated toolkit and delivered regional SC training
ECOWAS	Senegal	Papa sam GUEYE	M	Fondation Ceres Locustox and chair of the national committee for chemical management	Participated in review of legislation
ECOWAS	Senegal	Bintou Waly FALL SENE	F	Direction de la Protection des Végétaux	Participant in regional training for inspectors and led national trainings
ECOWAS	Senegal	Rohay Diop	F	Consultant	Facilitated national trainings for vulnerable groups (with PAN Afrique)
ECOWAS	Senegal	Khadim NDIAYE	M	Direction de l'Environnement	Participant in CIEN training

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Senegal	Ampa F. DIENG	M	Direction Générale des Douanes	Participated in regional TOT for Customs and facilitated national training
ECOWAS	Senegal	Abou Thiam Maimouna DIENE	M F	PAN Afrique	Head of NGO contracted to undertake training of national NGOs for sensitization of vulnerable groups and training of teachers
ECOWAS	Senegal	Fatou Bocoum Tiné Ndoye Ndième Ndiaye	F F F	Réseau Femmes Rurales	Undertook national vulnerable community sensitization
ECOWAS	Senegal	Diop Dramme Diop	F	Coordinatrice de Cellule Juridique	Developed national legislation
ECOWAS	Senegal	Coumba Diom	F	BSCRC	Finance officer
ECOWAS	Sierra Leone	Momodu Alrashid Bah	M	Director EPA	Management team in EPA
ECOWAS	Sierra Leone	Michael Jusu	M	EPA	Management team in EPA
ECOWAS	Sierra Leone	Syl Lione	M	EPA	Management team in EPA
ECOWAS	Sierra Leone	Alie Jalloh	M	Head of Chemical Control and Management Environment Protection Agency	Project focal point
ECOWAS	Sierra Leone	Alusine C A Kargbo	M	EPA	Management team in EPA
ECOWAS	Sierra Leone	Paul A Lamin	M	EPA	Management team in EPA
ECOWAS	Sierra Leone	Omotunde Godwyn-Shears	M	EPA	Finance manager for project in EPA
ECOWAS	Sierra Leone	Joseph S Turay	M	EPA	Management team in EPA

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sierra Leone	Adams Alpha Kamara	M	Lecturer Chemistry Department Fourah Bay College	Participant in national Inventory Training in Freetown - November 5-7 2017
ECOWAS	Sierra Leone	Hamidu David Mansaray	M	Chemicals Control and Management Officer EPA-SL	Participant of TOT on Inventory of Obsolete Pesticides held in Bamako 30 Jan-3 Feb 2017 National Consultant hired by Green Cross BF to undertake national inventory of obsolete pesticides
ECOWAS	Sierra Leone	Beintu Kelfala	F	Head of the EPA in the Northern Region in Makeni	Organised the awareness training in Bombalo-Makeni for local authority, police, customs
ECOWAS	Sierra Leone	Foday Kamara	M	District Secretary General Farmers Federation Kambia District	Participant in awareness raising event in Kambia
ECOWAS	Sierra Leone	Benson Ansu Fornah	M	Communications Officer Sierra Leone Police Department Kambia	Participant in district awareness raising/training in Kambia 6-7 Feb 2017
ECOWAS	Sierra Leone	Desmond M Bundor	M	Customs Services Department, Anti-Smuggling Unit, Kambia	Participant in district awareness raising/training in Kambia 6-7 Feb 2017
ECOWAS	Sierra Leone	Issagha Jalloh and Philip B Teika Chernor Jalloh	M M M	Tjal Agrochemical suppliers	Warehouse contact for the Inventory on Obsolete Pesticides and associated wastes

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sierra Leone	Ronnie Frazer Williams	M	Head of Department Chemistry Department Fourah Bay College University of Sierra Leone	Participant in the stakeholder consultation in Freetown on the content of the legislation
ECOWAS	Sierra Leone	N C Pratt	F	Chemical Consultant	Chairman of the Freetown stakeholder consultation on the legal draft Awareness programme Chair of the Awareness raising of environmental officers
ECOWAS	Sierra Leone	Ladonnette OV Macauley	F	Magistrate Waterloo Magistrate Court Western Rural	Participant of Judiciary Officer TOT, 4 – 5 Aug. 2016 Dakar, Senegal) Reviewed the national legislation
ECOWAS	Sierra Leone	Abdul Bakarr Salim	M	EPA	GEF Operational Focal Point for Sierra Leone EPA (since 2016)
ECOWAS	Sierra Leone	Hon. J B Mansaray	M	Parliament	Head of Environment Committee in Parliament
ECOWAS	Sierra Leone	Raymonda Adeline Bernadette Johnson Alie MANSARAY	F	Department of Plant protection, Ministry of Agriculture	Participated in regional inventory training and undertook national inventory
ECOWAS	Sierra Leone	Aloysious A. FODAY-KAI	M	Legal Officer Attorney General's Office	Participant of Judiciary Officer TOT, 4 – 5 Aug. 2016 Dakar, Senegal

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sierra Leone	Stephen Syril James Jusu	M	Formerly GEF focal point now National Minerals Agency	Signed endorsement letter
ECOWAS	Sierra Leone	Gibrilla Kamara	F	Senior Legal Officer – EPA Since 2016	Developed draft legislation
ECOWAS	Sao Tome and Principe	Sulisa Signo Bom Jesus Quaresma	F	Direcção de Conservação, Saneamento e Qualidade do Ambiente (DCSQA)	Project Focal Point
ECOWAS	Sao Tome and Principe	Victor Bonfim Do Sacramento	M	Direcção de Conservação, Saneamento e Qualidade do Ambiente (DCSQA)	SC focal point and participant in inception meeting and TOTs for CIEN
ECOWAS	Sao Tome and Principe	Nilton Garrido	M	Direcção Do Planeamento Agrícola, Ministry of Agriculture	Ministry of Agriculture counterpart for coordination of the inventory
ECOWAS	Sao Tome and Principe	Juliao Pinto Miguel des Santos Fernando Candô	M M M	Policia Fiscal Aduaneira	Participant in national Customs training
ECOWAS	Sao Tomé and Principe	Osvaldo Espirito Santo	M	Direcção Geral das Alfandegas	Participant in regional customs training in Bamako
ECOWAS	Sao Tomé and Principe	Mikhail Saraiva Keynesménio Neto Marigese Rita	M M F	ONG OQUIMAMB Organizaçao da Quimica Ambiental de Sao Tomé e Principe	Participated in national Phytosanitary and Environmental, and economic and health inspectors training, 29-30 March 2017
ECOWAS	Sao Tome and Principe	Gelsa Vera Cruz Miriam Matias	F F	Técnicas da Direcção do Ambiente	Participants in national Environmental inspector training 29-30/3/17
ECOWAS	Sao Tome and Principe	Andre Varela, President and various members of staff	M	District council of Lemba	Participants in national local government training

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sao Tome and Principe	Eanes Cravid	M	Inspector Geral do Trabalho Ministry of Works	Participana tin national inspection training
ECOWAS	Sao Tome and Principe	Charles Género	M	Financial and Administrative Director of Ministry of Infrastructure, Natural Resources and Environment	Financial management of the project (signed the financial reports)
ECOWAS	Sao Tome and Principe	Osvaldo Bonfim Jaciley Costa	M F	Técnicos do CIAT	Participants of national inspection training
ECOWAS	Sao Tome and Principe	Adjelcínia Major Neto	F	Legal Officer Ministry of Justice	Participant in regional judiciary training 4- 5 Aug. 2016 Dakar, Senegal
ECOWAS	Sao Tome and Principe	Kassi Costa	F	Ministry of Environment	Participant in regional inventory training in Bamako January 2017
ECOWAS	Sao Tome and Principe	Juvenal Bonfim	M	Ministry of Agriculture	Participant in regional inventory training in Bamako January 2017
ECOWAS	Sao Tome and Principe	Abnilde Lima	M	Geographer Ministry of Environment	Participant in regional CIEN training
ECOWAS	Sao Tome and Principe	Darnel Baia	M	Chemist Consultant	Consultant for the development of the national law on chemicals and wastes
ECOWAS	Sao Tome and Principe	Aline Castro	F	DGA	Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Ms Constantina Oliveira	F	DGA	Member of Chair of the National Committee for Chemicals Management (CNGQ)

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sao Tome and Principe	Antónia Júnior	F	Ministry of Health	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Arlindo T. Pereira	M	Chamber of Commerce	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Felisberto Pimentel	M	Industry Directorate, Min of Trade	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Luís Neto	M	CONPREC (disaster prevention and resilience)	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Wanderley Rodrigues	M	DRCAE Inspection of Economic activities Direction de regulation e control de actividades economica	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Osvalda Santos	F	Ministry of Local Government (Decentralization)	Member of Chair of the National Committee for Chemicals Management (CNGQ)
ECOWAS	Sao Tome and Principe	Adelino Pereira	M	Consultant	Elaborated the draft chemicals regulations
ECOWAS	Sao Tome and Principe	Lourenço de Jesus Monteiro	M	Ministry of Environment	GEF focal point

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
ECOWAS	Sao Tome and Principe	Oswaldo Lombá Paulo Jorge César	M M	Staff of Enaport – import agency	Participants in national inspection training
SADC	Lesotho	Dorcas Moeketsi	F	Participatory Ecological Land Use Management Association in Lesotho (PELUM Lesotho)	Country Coordinator of PELUM and contractor for delivery of training to vulnerable communities
SADC	Lesotho	Itumeleng Molemohi	F	PELUM Lesotho	Delivery of training to vulnerable communities
SADC	Lesotho	John Nyolsetso Matlakala	M	Leride Agricultural Skills Training Centre (member of PELUM)	Delivery of training to vulnerable communities
SADC	Lesotho	Ms Justina Raseeke	F	Berea Agricultural Group (member of PELUM Lesotho)	Delivery of training to vulnerable communities
SADC	Lesotho	Ms Mateboho Khoeli	F	Councillor, Berea	Facilitator for training to vulnerable communities
SADC	Lesotho	Mathealira Masupha	M	Village Chief, Berea	Participant of training in Berea
SADC	Lesotho	Rethabile Moabi	M	Farmer, Berea	Participant of training in Berea
SADC	Lesotho	Thabo Tsasanyane	M	Ministry of Tourism, Environment and Culture	Project Focal Point
SADC	Lesotho	Ms Makhiba Tjela	F	Ministry of Tourism, Environment and Culture	Chief Legal Officer
SADC	Lesotho	Ms Mathato Rammoko	F	Ministry of Tourism, Environment and Culture	Principal Environment Officer Outreach and Education
SADC	Lesotho	Prof Mantoa Sekota	M	National University of Lesotho	Teacher Member of CHEMAC

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
SADC	Lesotho	MsTlalane Ramaema	F	Ministry of Tourism, Environment and Culture	Environmental Impact Assessment Officer
SADC	Lesotho	Leuta Lehloenya	M	Ministry of Tourism, Environment and Culture	Senior Accountant
SADC	Lesotho	Dr Taelo Letsela	M	Africa Institute	Former Director (retired in April) and lead author of Mid Term Review
SADC	Lesotho	Stanley Motsamai Damane	M	Ministry of Tourism, Environment and Culture	Director, Department of Environment
SADC	Mozambique	Mr. Sidonio Contage	M	MITADER ⁷¹ , (Ministério da Terra, Ambiente e Desenvolvimento Rural Maputo)	Project Focal Point
SADC	Mozambique	Ms. Ivette Maibaze	F	MITADER	Director
SADC	Mozambique	Guilhermina Amurane	F	MITADER	Chief of Environmental Management Department
SADC	Mozambique	Mr. Felicio Fernando	M	MITADER	Main contact during focal point transition
SADC	Mozambique	Albertina Banze,	F	MITADER	Senior inspector and alternate project coordinator
SADC	Mozambique	João Cipriano	M	MITADER	benefited from training for Comp 1 participated in training on regulation in 2015
SADC	Mozambique	Assucina Batista	F	MITADER	trained as trainer for awareness-raising in vulnerable communities

⁷¹ MITADER (Ministério da Terra, Ambiente e Desenvolvimento Rural) (formerly MICOA – Ministry of the coordination of Environmental Affairs – before 2015)

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
SADC	Mozambique	Julietta Cuanda	F	MITADER	Participated in national CIEN training
SADC	Mozambique	Lucia da Silva	F	MITADER	Participated in component 3
SADC	Mozambique	Evanio Macuacua	M	MITADER	trained as CIEN administrator
SADC	Mozambique	Onildo Mungoi	M	MITADER	Finance officer
SADC	Mozambique	Khalid Cassam	M	FAO consultant and previous pesticide registrar	Participated in legislation development
SADC	Mozambique	Anastacio Luis	M	Ministry of Agriculture and Rural Development	Participated in legislation development
SADC	Mozambique	Joaquim Fumo	M	Ministry of Justice - Training Centre at Matola	Participated in regional TOT for judiciary
SADC	Mozambique	Custódio Judião	M	Genesis Lda	Consultant engaged to draft regulations
SADC	Mozambique	Ms. Thelma Munhequete	F	Africa Foundation for Sustainable Development (AFSD)	Head of NGO engaged for sensitizing vulnerable communities
SADC	Mozambique	João Victor Matequera	M	Customs	Participated in regional customs TOT and led national training of customs officers
Implementing Agency	Nairobi	Kevin Helps	M	UN Environment	Task Manager from 2015
Implementing Agency	Vienna	Jorge Ocana	M	Ex UN Environment	Task Manager 2014
Implementing Agency	Jamaica	Jan Betlem	M	UN Environment	Task Manager 2007-2012
Implementing Agency	Nairobi	Anuradha Shenoy	F	UN Environment	Finance Management Officer
EA - ECOWAS	Senegal	Michel Seck	M	BSCRC-Senegal	Project Manager
EA - ECOWAS	Switzerland	Andrea Walter	F	Green Cross Switzerland	Project Manager
EA - ECOWAS	Switzerland	Stephan Robinson	M	Green Cross Switzerland	Supervisor

Stakeholders Interviewed					
Project/Agency	Country	Name	Gender	Institution	Role in Project
EA – COMESA SADC	Nairobi	Angela Mwandia	F	Ex -WWF	Project Manager to 2013
EA – COMESA SADC	Nairobi	Patrick Chabeda	M	WWF	Project Manager from 2014
EA – COMESA SADC	Nairobi	Laurent Somé	M	WWF	Supervisor and Temporary Project Manager 2013-2014
Monitoring and Evaluation	South Africa	Koebu Khalema	M	Africa Institute	Mid-Term Review

Annex IV. Summary of co-finance and project expenditures

The summary figures for co-finance and project expenditures are shown in Table 1 for COMESA on page 11, Table 2 for ECOWAS on page 12, and Table 3 for SADC on page 14.

Annex V. List of Documents consulted

Documents consulted for COMESA and SADC project

- UN Environment Pink files which includes:
Project preparation documents including report of stakeholder consultation meeting in 2010;
Request for GEF CEO approval
Project document including logframe, budget, work plan and M&E plan
Co-finance commitment letters
- Project Cooperation Agreement between WWF and UN Environment
- GEF Project Implementation Reviews for 2012, 2013, 2014, 2015, 2016 and 2017
- Reports of Programme Coordination Body meetings and Project Steering Committee meetings
- Project Revisions
- WWF Financial reports
- Co-finance report for 2012
- Funding agreements between countries and WWF, and the subsequent country progress reports of activities and expenditure
- Reports of regional training of trainers
- Reports of national training activities
- Model law for chemicals regulatory framework
- Mid-term review 2016 (released June 2017)
- Audit reports for WWF

Documents consulted for ECOWAS project

- UN Environment Pink files which includes:
Project preparation documents including report of stakeholder consultation meeting in 2010;
Request for GEF CEO approval
Project document including logframe, budget, work plan and M&E plan
Co-finance commitment letters
- Project Cooperation Agreement between Green Cross Switzerland and UN Environment
- GEF Project Implementation Reviews for 2012, 2013, 2014, 2015, 2016 and 2017
- Reports of Programme Coordination Body meetings and Project Steering Committee meetings
- Project Revisions
- Project progress reports
- Green Cross Switzerland Financial reports
- Co-finance report to 2017
- Agreement between Green Cross Switzerland and Basel and Stockholm Conventions Regional Centre in Dakar for co-execution

- Funding agreements between countries and Green Cross Switzerland, and Basel and Stockholm Conventions Regional centre in Dakar; and the subsequent country progress reports of activities and expenditure
- Reports of regional training of trainers
- Reports of national activities
- Mid-term review 2016 (released June 2017)
- Audit reports for Green Cross Switzerland

Annex VI. Quality assessment of the evaluation report and process

Quality Assessment of the Evaluation Report

Evaluation Title:

Terminal Evaluation of the UN Environment Project(s)

“Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the COMESA, SADC and ECOWAS Sub-regions”

All UN Environment evaluations are subject to a quality assessment by the Evaluation Office. This is an assessment of the quality of the evaluation product (i.e. evaluation report) and is dependent on more than just the consultant’s efforts and skills. Nevertheless, the quality assessment is used as a tool for providing structured feedback to the evaluation consultants, especially at draft report stage. This guidance is provided to support consistency in assessment across different Evaluation Managers and to make the assessment process as transparent as possible.

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Draft report: (Exec Summaries are not always provided at draft stage)</p> <p>Final report:</p>	6
<p>I. Introduction</p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners;</p>	<p>Draft report:</p> <p>GEF IDs to be added</p>	6

<p>total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p>Final report:</p>	
<p>II. Evaluation Methods</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>⁷² was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.</p>	<p>Draft report:</p> <p>Gender not discussed.</p> <p>Discussion needed how well countries were represented in the sample (survey and interviews).</p> <p>Final report:</p> <p>Comments addressed</p>	6
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • <i>Objectives and components:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics 	<p>Draft report:</p> <p>Some details such as goal statement need to be added</p> <p>Final report:</p>	6

⁷² During the Inception Phase of the evaluation process a TOC at Design is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the TOC at Evaluation.

<ul style="list-style-type: none"> • <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 		
<p>IV. Theory of Change</p> <p>A summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/ revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i> The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p>	<p>Draft report:</p> <p>A well written section, however further narrative elaboration needed (to write open the impact pathways).</p> <p>Final report:</p>	6
<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) vi. Alignment to UN Environment/GEF/Donor Strategic Priorities vii. Relevance to Regional, Sub-regional and National Environmental Priorities viii. Complementarity with Existing Interventions 	<p>Draft report:</p> <p>Final report:</p>	6
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Draft report:</p> <p>Final report:</p>	6

<p>C. Nature of the External Context For projects where this is appropriate, key external features of the project’s implementing context that may have been reasonably expected to limit the project’s performance (e.g. conflict, natural disaster, political upheaval) should be described.</p>	<p>Draft report:</p> <p>To be split by projects/sub-regions</p> <p>Final report:</p>	6
<p>D. Effectiveness</p> <p>(i) Outputs and Direct Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the achievement of a) outputs, and b) direct outcomes? How convincing is the discussion of attribution and contribution, as well as the limitations to attributing effects to the intervention.</p>	<p>Draft report:</p> <p>A good summary table on outputs available but the narrative evidence does not systematically support the table. The narrative presentation contains good evidence on output delivery but is not easy to link with particular output as presented in the table.</p> <p>Final report:</p> <p>Comments addressed.</p>	6
<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p>	<p>Draft report:</p> <p>Some more discussion on drivers and assumptions needed</p> <p>Final report:</p>	6
<p>E. Financial Management</p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management. And include a completed ‘financial management’ table. Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff and • <i>compliance</i> with relevant UN financial management standards and procedures. 	<p>Draft report:</p> <p>Final report:</p> <p><i>(if this section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the evaluation report)</i></p>	6
<p>F. Efficiency</p> <p>To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> • Implications of delays and no cost extensions 	<p>Draft report:</p> <p>Check alignment of the tables/figures and the narrative text</p>	6

<ul style="list-style-type: none"> • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment's environmental footprint. 	Final report:	
<p>G. Monitoring and Reporting How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor report</i>) 	Draft report: Final report:	
<p>H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability (<i>including issues of partnerships</i>) 	Draft report: Final report:	
<p>I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision⁷³ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness • Communication and public awareness 	All appears to be covered in the narrative, rating tables are expected to better reflect these sections.	5
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section? It is expected that the conclusions will highlight the</p>	Draft report: Conclusions are presented in table, that is tied to the recommendations.	5

⁷³ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

main strengths and weaknesses of the project, and connect them in a compelling story line. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report:	
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Draft report: Final report:	6
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific actions to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results. They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Draft report: Final report:	6
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Draft report: Final report:	6
ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Draft report: Final report:	6
OVERALL REPORT QUALITY RATING		

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

At the end of the evaluation compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	X	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	X	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	X	
4. Was the evaluator contracted directly by the Evaluation Office?	X	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	X	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		X
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	X	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	X	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	X	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six month period prior to the project's mid-point?		X ⁷⁴
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	X	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	X	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	X	
15. Did the project make available all required/requested documents?	X	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	X	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?	X	
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	X	

⁷⁴ The project was extended after initiation of the terminal evaluation process.

19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?		X ⁷⁵
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	X	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	X	
22. Was the TOC in the inception report peer-reviewed?	X	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	X	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	X	
Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	X	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	X	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	X	
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	X	
29. Did the Evaluation Consultant(s) prepare a response to all comments?	X	
30. Did the Evaluation Office share all comments and Evaluation Consultant responses with all those who were invited to comment?		X ⁷⁶

⁷⁵ Evaluation office had multiple efforts to organize a findings meeting but this could not be realized due to busy schedules of some stakeholders

⁷⁶ Responses were shared only with those who commented