



REQUEST FOR MSP APPROVAL (1-STEP PROCEDURE)

TYPE OF TRUST FUND: GEF Trust Fund

PART I: PROJECT IDENTIFICATION

Project Title:	Development of mercury risk management approaches in Latin America		
Country(ies):	Argentina, Ecuador, Nicaragua, Peru and Uruguay	GEF Project ID: ¹	5494
GEF Agency(ies):	UNEP	GEF Agency Project ID:	01012
Other Executing Partner(s):	Basel Convention Coordinating Centre-Stockholm Convention Regional Centre for Latin America and the Caribbean Region (BCCC-SCRC) (herein, the Uruguay Centre)	Submission Date: Resubmission Date:	20.08.2013 25.10.2013
GEF Focal Area (s):	Persistent Organic Pollutants/Chemicals	Project Duration (Months)	36
Name of parent program (if applicable):		Project Agency Fee (\$):	87,020

A. FOCAL AREA STRATEGY FRAMEWORK²:

Focal Area Objectives	Expected FA Outcomes	Expected FA Outputs	Trust Fund	Grant Amount (\$)	Co-financing (\$)
CHEM-3	Strengthen the capacity of Argentina, Ecuador, Peru, Nicaragua and Uruguay to identify mercury sources, quantify mercury releases, and determine priority actions to address mercury issues under the Minamata Convention on Mercury	Countries receiving GEF support for mercury management and reduction, on a pilot basis	GEFTF	916,000	2,894,434
Total Project Cost				916,000	2,894,434

B. PROJECT FRAMEWORK

Project Objectives: To strengthen the capacity of participating LAC countries (Argentina, Ecuador, Peru, Nicaragua and Uruguay) to identify mercury sources and the priority actions to be undertaken.						
Project Component	Grant Type	Expected Outcomes	Expected Outputs	Trust Fund	Grant Amount (\$)	Co financing (\$)
Strengthening of the baseline and identification of information needs in participating countries	TA	Information needs identified in participating countries Baseline information incorporated in country processes	1.1 Workplan, budget and M&E plan endorsed by all participating countries and used to guide the achievement of the project 1.2 Basic information and guidance on mercury management available	GEFTF	73,000	252,915
Development of mercury inventories in participating	TA	Comprehensive information on mercury sources and releases enable a better	1.1 Mercury level 1 and 2 inventories available in each participating country	GEFTF	325,000	1,664,100

¹ Project ID number will be assigned by GEFSEC.

² Refer to the reference attached on the [Focal Area Results Framework and LDCF/SCCF Framework](#) when filling up the table in item A.

countries		understanding of mercury risks to human health and the environment for participating countries				
Development/ Identification of national mercury risk management approaches and improved regional understanding of key mercury challenges	TA	Enhanced understanding of mercury priority sources and capacity for mercury management through the development/identification of national mercury risk management approaches including the identification of management gaps and needs	3.1 National priorities identified in each participating country 3.2 National regulatory framework for mercury assessed (report) and recommendations provided in each participating country 3.3 Good quality data on mercury levels in the environment, biota and humans, and on mercury in emissions from key sectors in participating countries collected and supporting the mercury risk management approaches 3.4 Risk management approaches for mercury reduction developed in including long, medium and short term measures to decrease mercury releases	GEFTF	269,000	465,019
Lessons learned	TA	Lessons learned available and shared regionally allow better practices in future projects	4.1 Report on existing lessons learned in key sectors developed 4.2 Final regional lessons learned report developed and disseminated 4.3 Reports of Steering Committee Meetings available	GEFTF	159,000	180,000
Subtotal					826,000	2,562,034
Project Management Cost ³				GEFTF	90,000	332,400
Total Project Cost					916,000	2,894,434

C. CO-FINANCING FOR THE PROJECT BY SOURCE AND BY NAME IF AVAILABLE, (\$)

Sources of Co financing	Name of Co financier	Type of Co financing	Amount (\$)
National Government	Argentina	In-kind	300,000
National Government	Ecuador	In-kind	312,300
National Government	Nicaragua	Cash	60,000
National Government	Nicaragua	In-kind	240,000
National Government	Peru	Cash	10,000
National Government	Peru	In-kind	390,000
National Government	Uruguay	Cash	133,400
National Government	Uruguay	In-kind	534,600
GEF Agency	UNEP	In-kind	914,134
Total Co financing			2,894,434

D. GEF/LDCF/SCCF/NPIF RESOURCES REQUESTED BY AGENCY, FOCAL AREA AND COUNTRY¹

³ PMC should be charged proportionately to focal areas based on focal area project grant amount in Table D below.

GEF Agency	Type of Trust Fund	Focal Area	Country Name/Global	Grant Amount (a)	Agency Fee (b) ²	Total c=a+b
UNEP	GEFTF	Persistent Organic Pollutants/ Chemicals	Regional GRULAC	916,000	87,020	1,003,020
Total Grant Resources				916,000	87,020	1,003,020

¹ In case of a single focal area, single country, single GEF Agency project, and single trust fund project, no need to provide information for this table

² Please indicate fees related to this project.

E. CONSULTANTS WORKING FOR TECHNICAL ASSISTANCE COMPONENTS:

Component	Grant Amount (\$)	Co financing (\$)	Project Total (\$)
International/regional Consultants	81,000	204,200	285,200
National/Local Consultants*	0	0	285,200

* Please note that countries will receive a “sub-contract” to develop their inventories and risk management approaches, therefore no individual national consultants are identified at this stage

F. DOES THE PROJECT INCLUDE A “NON-GRANT” INSTRUMENT? (Select)

(If non-grant instruments are used, provide an indicative calendar of expected reflows to your Agency and to the GEF/LDCF/SCCF/NPIF Trust Fund).

PART II: PROJECT JUSTIFICATION

A. PROJECT OVERVIEW

A.1. Project Description. Briefly describe the project, including ; 1) the global environmental problems, root causes and barriers that need to be addressed; 2) the baseline scenario and any associated baseline projects, 3) the proposed alternative scenario, with a brief description of expected outcomes and components of the project, 4) incremental cost reasoning and expected contributions from the baseline , the GEFTF, LDCF/SCCF and co-financing; 5) global environmental benefits (GEFTF, NPIF) and adaptation benefits (LDCF/SCCF); 6) innovativeness, sustainability and potential for scaling up.

Global Environmental problem, root causes and barriers that need to be addressed

Mercury pollution is a serious concern in the Latin American and Caribbean (LAC) region. The 2013 UNEP Global Mercury Assessment⁴ indicates that the Central America and the Caribbean and the South American Regions account for 15% of the global emissions of mercury to the atmosphere while mercury use in Artisanal and Small-scale Gold Mining (ASGM) accounts for 37% of the total emission of mercury from anthropogenic sources. ASGM is still widely practiced in Latin American countries but its real magnitude has not been determined in detail. Participating countries have indicated that availability of data is a major challenge to design adequate strategies for mercury reduction. For example, dental amalgam and waste incineration may be significant contributors of mercury releases in the region but are not accounted in the UNEP Global Mercury Assessment and are lacking from national records of mercury releases.

⁴ UNEP (2013): Global Mercury Assessment: Sources, Emissions, Releases and Environmental Transport. Geneva, Switzerland.

Through this project, national mercury inventories and risk management approaches to reduce human and environmental exposure to mercury will be developed. By identifying activities to reduce risks in priority sectors in each participating country, the project will contribute positively to the protection of human health and the environment from mercury.

Baseline scenario

Argentina: Argentina has laws relating to the management of mercury waste, the importation of mercury-containing products, and the replacement of mercury-containing medical devices with mercury-free alternatives.

Argentina is participating in the UNDP-GEF Global Healthcare Waste Project (2008-2013). This project is assisting Argentina with the development of sustainable healthcare waste management practices and protecting public health and the global environment from the impacts of dioxin and mercury releases. The project is being led by the Ministry of Health and has prohibited “the production, import, sale or free transfer of mercury column blood pressure sphygmomanometers to be used by the general population, medical doctors or veterinarians,” in 2010.

Together with Uruguay, Argentina also participated in the UNEP-led project on Mercury Storage and Disposal in Latin America and the Caribbean (LAC). Under this project, the Ministry of Environment initiated work to revise its legal framework for hazardous waste. As Argentina is a federal republic, Argentinean provinces are autonomous, and may decide whether or not to adhere to the national Hazardous Waste Act. Furthermore, the project found that 20 out of 23 provinces already prohibit the import of hazardous waste into their territory.

Also under the project, Argentina developed an initial mercury source inventory for the chlor-alkali, energy, and health sectors. The inventory determined that out of the seven functioning chlor-alkali plants, only one uses the mercury cell process. Mercury stock in the cells was reported to be 160 metric tons. It is expected that this plant will replace the mercury cell before 2020. The inventory conducted in the health sector noted the legal instruments prohibiting the procurement of mercury-containing devices by the health sector.

Key priorities emerging from this project were; the need to improve information about mercury sources in the country in order to quantify releases to the various media, using the UNEP Level 2 Toolkit, as proposed in this project; the identification of mercury hot spots; and further strengthening of the regulatory framework to facilitate effective management of mercury.

As part of the communications work completed by the project, Argentinean NGO Asociacion Argentina de Medicos por el Medio Ambiente (The Argentinean Association of Physicians for the Environment), developed 19 booklets communicating information on mercury issues⁵.

This project will build on Argentina’s current efforts to improve mercury management, including through the expansion of the existing mercury inventory. On the basis of the regulatory assessment already undertaken, it will also provide recommendations for regulatory actions, taking into account relevant sectors.

Ecuador: In Ecuador the use of mercury in artisanal gold mining has been well documented. It is an economic activity of growing importance in the country but represents a serious problem because it has been done using low-technology processes and takes no protective measures to protect public health and the environment.

The Ministry of Public Health of Ecuador has identified strategies to strengthen the health services provided in mining areas and has also developed initiatives related to mercury handling in medical centres.

⁵ <http://www.gefmedwaste.org/>

The Ministry of Environment as a National Environmental Authority has developed specific actions and policies for chemical products as well as waste management, including mercury, embedded in the provisions of the Regulation on the Prevention and Control of Pollution by Hazardous Chemicals, Hazardous and Special Waste, published in the Official Register No. 631 of February 1, 2012. The Ministry has also established procedures for: a) registration of hazardous waste generators, b) management of hazardous wastes prior to the waste disposal licensing; and c) transport of hazardous materials (Agreement No. 026 Second Supplement published in the Official Register No. 334 of May 12, 2008). In January 2013 through the Agreement No. 003, the Ministry issued the list of hazardous chemicals severely restricted in the country, which includes mercury, sodium cyanide and potassium.

Mercury is still used in the health sector, where pressure and measuring devices containing mercury are in use. The country has partially regulated the content of heavy metals and pollutants in batteries and lighting equipment.

Ecuador developed a national inventory of mercury releases in 2008. This was supported by the United Nations Institute for Training and Research (UNITAR) through *"Pilot Project on Strengthening Inventory Development and Risk Management- Decision Making for Mercury: A Contribution to the Global Alliance on Mercury"*. However, it is important for the country to have an updated inventory on the use, consumption, and sources of mercury emissions and releases into the environment, and identify populations at risk in the current legal framework, which will define actions to minimize exposure through the establishment of prevention and reduction measures for mercury releases.

Peru: According to a regional consultation conducted by the Uruguay Centre in preparation for this project, Peru has banned the production and entry of pesticides containing mercury, as well as mercury waste for final disposal. Recently, Peru established control measures for the import of mercury as a commodity in order to fight against illegal mining activities using mercury. The implementation of these control measures is currently in the design and planning stages.

Peru has also developed two national inventories of mercury sources. In 2005, the Centre for Occupational Health and Environmental Protection for Health (CENSOPAS) of the National Health Institute developed an Inventory on Mercury Sources and Uses using the UNEP toolkit. This was followed in 2006 by inventory work performed by the United States Geological Survey (USGS) using US methodology.

Peru, through the Ministry of Health, participated in the first UNEP Mercury Storage Project for the Latin American and Caribbean Region. Furthermore, as Focal Point to SAICM, the Ministry of Health has participated in a Regional Project with Bolivia to develop a National Strategy to Reduce the Use of Mercury in Artisanal and Small-Scale Gold Mining led by UNEP and financed by the SAICM Quick Start programme.

The outcomes of this Project will assist Peru in developing, adopting and implementing effective measures for the enforcement of national legislation and control of mercury during its life cycle, as well as identifying priority sectors for the promotion of best available practices.

Nicaragua: According to a regional consultation conducted by the Uruguay Centre in preparation for this project, Nicaragua currently has no regulations related to mercury.

The consultation indicated that the Ministry of Health is in the process of replacing mercury-containing medical devices, with mercury-free devices.

While Nicaragua aims to complete a national inventory of mercury sources and releases through this project, the Ministry of Environment and Natural Resources estimates that the key

sectors of concern are: energy; production of minerals and materials with mercury impurities; intentional use of mercury in industrial processes; and waste incineration.

In addition, the Ministry of Environment and Natural Resources indicated that mercury-containing dental amalgam may be re-exported from Nicaragua to other countries for commercial purposes.

This project will assist Nicaragua in confirming the key sectors through systematic assessment of sources using the Mercury Toolkit. Once key sectors are identified the project will also assist Nicaragua through advancing its assessment of the regulatory requirements to effectively manage mercury.

Uruguay: Together with Argentina, Uruguay participated in the UNEP-led Mercury Storage and Disposal in LAC project. Under this project, the Secretariat for Environment and Sustainable Development initiated work on revising its legal framework for hazardous waste. It was noted during this project that although the National Law on Environment makes reference to waste management, no specific reference is made to the management of hazardous waste. As such, the Secretariat for Environment and Sustainable Development drafted a new waste act, including hazardous waste. This Act is expected to be published and endorsed in the within the next months.

Under the Mercury-Storage and Disposal project, Uruguay also undertook a mercury inventory and concluded that the highest volumes of mercury waste come from the chlor-alkali plant which is expected to convert its operations to non-mercury technology in late 2013. The initial inventory activities also concluded that Uruguay does not rely on coal-based energy production and that therefore this is not a significant source of mercury. In addition it concluded that gold deposits in Uruguay are not associated with mercury and that therefore gold-mining is not a source of mercury in Uruguay. The inventory noted that as mercury-containing healthcare waste is not currently separated from non-mercury-containing healthcare waste at source, mercury contamination of autoclaves and incinerators are likely to be significant. The project also concluded that further information was necessary on the amount of dental amalgam used in Uruguay.

In terms of temporary mercury storage options identified under the project, the Secretariat for the Environment concluded that there are two potential options: the chlor-alkali plant, where on-site mercury management is already practiced; and a public-private landfill currently under construction.

The Mercury-Storage Project identified the need for the development of a national risk management approach for mercury management, as well as increased communication and public information. This project will assist Uruguay in developing more comprehensive inventories for the dental amalgam, and also in developing a prioritized national risk management approaches, and subsequent review of regulations relating to priority areas.

Project components and Outcomes

Project Objective: To strengthen the capacity of participating LAC countries (Argentina, Ecuador, Peru, Nicaragua and Uruguay) to identify mercury sources and the priority actions to be undertaken.

Project Goal: To improve the sustainable development of the participating countries through reduced risk to human health and the environment from mercury releases.

Project Components and expected results: The project will have four components, which are:

- **Component 1:** Strengthening of the baseline and identification of information needs in participating countries
- **Component 2:** Development of mercury inventories in participating countries
- **Component 3:** Development of prioritized national mercury plans and enhancement of regional understanding of key mercury challenges
- **Component 4:** Lessons learned

The execution of these components will be supported by the Uruguay Centre based project team, local national staff and external international and regional specialists. The following sections detail the outcomes, objectively verifiable indicators, activities and outputs of each component.

- **Component 1: Strengthening of the baseline and identification of information needs in participating countries**

This project component will

- identify and compile existing data and documents related to mercury management (surveys, reports, inventories, sectoral risk management approaches, etc) in the region and participating countries;
- assess the existing information, identify gaps and engage key stakeholders likely to hold relevant information;
- prepare a baseline assessment of mercury management in the countries and an information needs assessment as primary sources of information for the project.

Planned activities:

Activity 1.1 Organize an inception workshop to confirm stakeholder's commitment to the project and revise and agree on the work plan and budget

Activity 1.2 Identify initial guidance materials and existing studies and information needs

Expected Outcome:

Information needs identified in participating countries and in the region

Expected Outputs:

1. Work plan, budget and M&E plan endorsed by all participating countries and used to guide the achievement of the project
2. Basic information and guidance on mercury management available to relevant stakeholders

Component 2: Development of mercury inventories in participating countries

Activities and outputs are geared towards the development of Level 1 mercury inventories in each of the participating countries (with the exception of Uruguay that has already completed its inventory), and Level 2 mercury inventories in key sectors identified within each of the participating countries. National consultants will assist national coordinators in the gathering of data for inventories while regional consultants will assist in the development of sector-specific Level 2 inventories. The recently-revised UNEP *Toolkit for Identification and Quantification of Mercury Releases* (2013) will be used to develop the mercury inventories to ensure consistency of the methodology and data. The development of national inventories on mercury is considered as a periodic activity. Inventories are to be updated periodically at intervals decided by the national governments. Data collection required to update inventories will also be planned as part of the inventory update process.

Planned Activities:

Activity 2.1 Develop and/or upgrade mercury inventories in participating countries

Expected Outcome:

Comprehensive information on mercury sources and releases enable a better understanding of mercury risks to human health and the environment for participating countries

Expected Outputs:

1. Mercury level 1 and 2 inventories available in each participating country

Component 3: Development/ Identification of national mercury risk management approaches and improved regional understanding of key mercury challenges

Activities and outputs in this component will be lead by the national project coordinators, with support from the Uruguay Centre-based Project Coordinator. The national technical assistants in each country will undertake the regulatory assessments, define priority sectors (based on inventory data), and draft national risk management approaches. The national coordinators will convene multi-stakeholder workshops to discuss the risk management approaches and priority sectors. The technical assistants will attend the workshops to provide technical support, but the priority setting exercises will be facilitated by the national coordinators.

The assessment and confirmation of core matrices (as indicated in the mercury monitoring project, human hair and ambient air) will be conducted at the regional level, with the assistance of UNEP, using data from each of the inventories and associated risk management approaches.

Risk management approaches are dynamic documents and will need to be updated, along with the inventories, periodically, according to the national needs. National situations, legal framework and the Convention requirements will trigger the update of the inventories and risk management approaches. National risk management approaches will be made available to all stakeholders through the internet

Component 3 will identify criteria to prioritize actions based on the studies and information obtained in activity 1.2 and the inventory report. The inventory reports will include a section on areas of national concern. Taking these into consideration, national mercury risk management approaches will be developed which will include actions to address national priorities and reduce communities' exposure to mercury. Activities listed under the risk management approaches may include further assessments. This project will not perform analysis of mercury containing samples; however it will collect and analyse existing good and solid data on mercury levels in the environment, including biota and humans.

Planned Activities:

Activity 3.1 Develop criteria and prioritize mercury sources in each participating country

Activity 3.2 Assess the regulatory aspect of mercury management in each participating country

Activity 3.3 Collect data of good quality on mercury levels in the environment, including biota and humans, and mercury emissions at the source

Activity 3.4 Identify and/or develop national mercury risk management approaches in each participating country

Expected Outcome:

Enhanced understanding of mercury priority sources and capacity for mercury management through the development/ identification of national mercury risk management approaches including the identification of management gaps and needs

Expected Outputs:

1. National priorities identified in each participating country
2. National regulatory framework for mercury assessed (report) and recommendation

- provided in each participating country
- 3. Good quality data on mercury levels in the environment, biota and humans, and on mercury in emissions from key sectors in participating countries collected and supporting the mercury risk management approaches
- 4. Risk management approaches for mercury reduction developed including long, medium and short term measures to decrease mercury releases

Component 4: Lessons learned

Activities and outputs under component 4 are geared towards ensuring the lessons learned in participating countries are shared among countries, to allow south-south cooperation and peer-to-peer learning. The lessons learned report will be developed by the regional mercury policy specialist who will review all national outputs (national inventories and national mercury risk management approaches), and draft lessons learned and regional priorities. These will then be presented to a regional stakeholder workshop for discussion and a regional priority-setting exercise. The regional mercury policy specialist will then finalize the regional priorities and lessons learned report, and ensure the report is widely available to be used by countries within LAC, but not participating in the project. The lessons learned report and main outputs of the project will be disseminated through the UNEP website, regional offices and at international mercury and chemicals related fora. The last lessons learned workshop will be open to other non-participant countries, however costs associated with the participation of non-project countries will not be assumed by the project.

Project Activities:

Activity 4.1 Compile regional lessons learned in key sectors and develop regional report and organize 1st lessons learned workshop

Activity 4.2 Develop and disseminate a final report on lessons learned report and organise last lessons learned workshop

Activity 4.3 Implement a Monitoring and Evaluation Plan

Expected Outcome:

Lessons learned available and shared regionally allow better practices in future projects

Expected Outputs:

- 1. Report on existing lessons learned in key sectors developed
- 2. Final regional lessons learned report developed and disseminated
- 3. Monitoring and evaluation plan fully implemented assess rate of project's success

Incremental cost reasoning

Without GEF support, mercury releases in the participating countries will not be managed comprehensively. Participating countries have reported that, in the absence of GEF support, they do not have the resources or capacity to develop mercury inventories using the standardized methodology of the UNEP Toolkit. GEF support will allow a comprehensive assessment of sources and releases in each participating country and the development of national level national mercury risk management approaches ranked to account for national circumstances.

Through its regional approach, the project design allows participating countries to learn from each other and for the GEF to pool resources across countries. The project will bring participating countries to the same level of preparation for work on mercury, clearly defining national priorities, through an approach that promotes collective learning. The priority setting exercise will enable participating countries to focus scarce resources on the most pressing environmental and health concerns related to mercury.

This project will generate significant local and global benefits, these are summarized below.

Local benefits: it will allow participating countries to improve national existing data on releases of mercury, develop inventory survey methods tailored to local situations, define the mercury production, use and consumption in typical areas, and provide technical and management support to the establishment of local mercury pollution prevention plan and reduce mercury exposure. One of the first activities of this project will be to build a solid baseline in which international experiences will be gathered and made available nationally. This baseline, and the resultant inventory, will clearly identify information gaps, populations at risk and vulnerable to contamination, allowing for the management of such risks, through the national mercury risk management approaches. The project will also strengthen national institutions, build capacity among key staff, and will coordinate national action.

Global and regional benefits: The development of national inventories and national mercury risk management approaches will pave the ground for mercury reduction both in participating countries and across the Latin American and Caribbean region. The outcomes of this project will help to plan the decrease in mercury releases at the regional and global scale. The outcomes of the project will also contribute to the work towards the early implementation of the international legally binding instrument on mercury, which has been adopted in January 2013, through the identification of lessons learned, sharing of information, and also contribute to the updating of the Toolkit for Identification and Quantification of Mercury Releases.

According to the UNEP 2013 Global Mercury Assessment, which provides modelled baseline data of anthropogenic atmospheric mercury emissions, mercury emissions from South American countries make up 14.9% of global mercury emissions. According to the Assessment over 37% of mercury emissions in South America are from artisanal gold mining. However there is still some lack of information on the quantity and sources of emissions.

Innovativeness, sustainability and potential for scaling up

The project will use standard methodology and tools to develop and/or update the national inventories and national mercury risk management approaches. By using the UNEP mercury toolkit countries will produce comparable data and will also be able to share their learning experiences relating to data gathering and inventory development. Regional training will be provided through this project and exchange of information and south to south cooperation will be encouraged. This project will also assist countries to analyse existing capacity and studies for mercury presence in different media. This is particularly important to establish priorities and to adopt mercury reduction strategies and risk management approaches. The identification of lessons learned will allow countries to identify where good practices can be of use and would need to be shared with other countries. For the first time a region will be able to systematically use a common methodology for mercury inventories, facilitating regional comparison of data and the identification of common areas of concern. Also of primary importance, these experiences will be made available for countries in the region and beyond, the lessons learned components will identify key sectors on mercury management, providing a more focused set of experiences and guidance for mercury management to key productive sectors in the region.

The GRULAC region has been actively participating in the mercury negotiations. Countries participating in this project have already invested substantial efforts and resources in contributing to the negotiations and to bring their current knowledge to bear in the treaty negotiations. Their political willingness to participate in international efforts to address mercury issues demonstrates their level of commitment towards sound management of chemicals.

Participating countries are considering including mercury and other heavy metals into their environmental policies with a focus on regulation, monitoring and pollution inventories. This project provides a strategic framework for such development of their environmental policies.

Governments' co-financing for this project and their investment in the activities related to mercury management identified by this project further illustrate the commitment and sustainability required for the medium and long term.

The results of the methodology, workshops, inventories and national mercury risk management approaches will be made available publicly and at national, regional and international levels. Any country interested in developing an inventory and national mercury risk management approaches would have access to all these reports and additionally to the lessons learned report that will highlight the good practices, concerns and key elements of the inventory and national mercury risk management approaches. All these reports will be made available through the UNEP website and to be disseminated through the UNEP regional offices and at relevant international fora.

A.2. Stakeholders. Identify key stakeholders (including civil society organizations, indigenous people, gender groups, and others as relevant) and describe how they will be engaged in project and/or its preparation:

The following table outlines key stakeholders in each of the participating countries, together with their proposed respective roles within the project. The following list of stakeholders has been prepared in consultation with national governments. One of the first activities of the project is to identify key stakeholders. The list provided is preliminary and during project implementation countries are expected to include more stakeholders.

Key Stakeholders	Role in the proposed project
ARGENTINA	
Ministry of Environment and Sustainable Development	National authority on environmental and technical focal point in international negotiations on mercury
Ministry of Industry, Environment Unit.	Responsible for the implementation of industrial policies. The Environment Unit designs the harmonization of industrial policies, including those related to mercury.
Ministry of Health	Authority for implementing the national health care policies, including replacing mercury-containing devices in the medical sector.
Secretary of Energy	Authority for national energy policy, which will provide data on mercury emissions.
Federal Environment Council.	Body which includes all Argentinian provinces and aims at harmonizing national and provincial laws.
National Industrial Technology Institute	Has been involved in two mercury inventories through the Basel Regional Centre for South America.
Chamber of Chemical and Petrochemical Industry	Umbrella organization for chemicals companies that will be affected by the future legally binding instrument on mercury.
Industrial Union of Argentina	Industrial umbrella organization interested in the impact of the international chemicals agenda on private sector activities.
Mining Secretary	National authority competent on the issue of the implementation of mining policy and which regulates the mining sector
Greenpeace and Health Care Without Harm	NGOs active in Argentina, working on the dissemination of information and awareness-raising on environmental issues. Health Care Without Harm has extensive experience on training medical staff on management of mercury containing medical devices.
ALACERO – Latin American Still Association	ALACERO is the Latin-American association of still, a non-profit organization representing still producers and ferrous mining and affiliates. ALACERO will assist the Project team to collect information on ferrous production and will also participate to develop the national

	inventories and national mercury risk management approaches
ECUADOR	
Ministry of Environment	National environmental authority which establishes the environment regulations related to mercury releases to the air, water soil. Technical focal point in mercury international negotiations
Ministry of Industry and Productivity	Promotes the development of industrial and artisanal production sector, through the formulation and implementation of policies, plans, programs and specialized projects that encourage investment and technological innovation
Ministry Coordinator of Production, Employment and Competitiveness (COMEX)	Competent institution to approve the national public policies in trade commercial policy
Ministry of Health	Authority responsible for implementing the national health care policies, including replacing mercury-containing devices in the medical sector
Ministry of Non-Renewable Natural Resources	Responsible for the sustainable and sovereign use of non-renewable natural resources, develops and monitors the implementation of policies, conducts research and development activities related to the hydrocarbon and mining sectors
National Research Institute of Geology, Mining, and Metallurgy (INIGEMM)	Governing state body of scientific research and technological geological mining and metallurgy, promoter of technological development for sustainable use and sustainable geological and mining sector, promoting harmony between economic exploitation of these resources
Ecuadorian National Customs Service	Responsible for an efficient control of trade to promote competition in the economic sectors and productive
Ministry of Electricity and Renewable Energy	Responsible for the electricity country requirements through the formulation of relevant legislation, development plans and sectoral policies for the efficient use of their resources, establishing energy efficiency mechanisms, social participation and environmental protection.
Chamber of Ecuadorian Mining	Institution as the reference and developer of the mining industry for sustainable development in Ecuador.
Analytical laboratories	Institutions with technical capacity for sampling and quantification of mercury. No assessment has been performed to identify the laboratories with sound capacities on mercury analysis; however this identification process will take place during project component 1.
Industries from the private sector, including the chlor-alkali sector and the ASGM	Responsible for imported products, producer of mercury devices. and responsible in the cycle life of mercury
Municipalities	Responsible for the information of generation and types of wastes received
Universidad Católica de Santiago de Guayaquil – Facultad de Educación Técnica para el Desarrollo (red RAPAL)	RAPAL is a network of organizations, institutions, associations and individuals that advocate for alternatives to reduce and eliminate the use of pesticides. Promotes sound alternatives for the development of a just, economically sustainable agriculture.
NICARAGUA	
Ministry of Environmental	Project executing agency. National environmental authority with competence in waste management.
Ministry of Public Health	Responsible for regulations and governance related to public health.
Labour Ministry	Responsible for implementing the policies laid down in labor legislation and agreements in health and safety equipment have been signed or ratified the International Labour Organisation (ILO). Establishes policies to prevent and avoid accidents, occupational diseases and common, and any other consequence of the participation of people in the work process.
Ministry of Energy and Mines:	Responsible for regulating the activities of the Sectors: Energy, Geological Resources, Mineral Resources, Geothermal Resources, Hydropower and Hydrocarbon Resources, and directing the operation

	and administration of state enterprises that operate in the energy sector.
Municipality	Decontamination treatment technology host.
Basel Convention Coordination Centre (BCCC) for Latin America and the Caribbean (LAC)	Dissemination of project information and results at national, regional and international level. Extensively involved in awareness raising on risks related to mercury exposure and mercury waste segregation and storage campaigns.
Hospital centre	A WHO reference centre and supported the pilot phase-out of mercury containing devices at the Hospital.
Directorate General of Customs Services	Manages the customs control and trade facilitation through the development and constant improvement of customs techniques, as well, the administration of the taxes levied for the state which affect the international traffic of goods and legal relations derived from them.
PERU	
Ministry of Environment	National environmental authority with competence to act as focal point to multilateral environmental agreements and formulate, approve, coordinate, assess and monitor compliance to environmental, policies, regulations and instruments.
Ministry of Health	Competent authority in charge of implementing the National Healthcare Strategy for People affected by Heavy Metals and other Substances and Workplan on Vigilance and Risk Control of Occupational Exposure to Heavy Metals.
Ministry of Production	Competent authority on industry regulation and managing a registry for the import of mercury.
National Society of Industries	Groups of key industrial stakeholders.
Ministry of Energy and Mines	Competent authority on energy and mining regulation.
National Society of Mining, Petrol and Energy Companies	Key private stakeholders in the mining, petrol and energy sector.
Chamber of Commerce of Lima	Key industry stakeholders.
Key Regional Governments	Competent authorities on artisanal and small-scale mining.
National Institute for the Defense of Competition and Protection of Intellectual Property	Competent authority in charge of certifying laboratories.
National Customs Agency	Competent authority in charge of entry and exit of controlled products and wastes.
Ministry of Transport and Communications	Competent authority in charge of transport and communication regulation.
Alliance for responsible mining (ARM)	The Alliance for Responsible Mining (ARM) is a global pioneer and independent initiative, started in 2004 with the aim to improve the wellbeing of artisanal scale mining communities (ASM) through improved social, environmental and work related initiatives, a good government system and implementation of initiatives on remediation of ecosystems. It will be invited to participate in the development of the inventory and national mercury risk management approaches, as well as the Project information dissemination and awareness raising activities that may be organized at the national level
URUGUAY	
Ministerio de Vivienda Ordenamiento Territorial y Medio Ambiente (MVOTMA)- Dirección Nacional de Medio Ambiente (DINAMA)	Support the definition of environmental aspects of products at the end of its useful life and aspects of the analytical capacity to measure mercury in environmental matrices.
Ministerio de Salud Publica (MSP) and Ministerio de Trabajo y Seguridad Social (MTSS)	Management of potential contaminated sites.
National Customs Bureau	Support and monitoring measures relating to mercury imports.
Faculty of Chemical Technology and Science	Creating openings for national products containing mercury

Faculty of Medicine	Analytical capacity to measure mercury in environmental matrices, in biological matrices
Department of Clinical Toxicology	Analytical capacity to measure mercury in environmental matrices, in biological matrices
Importers of mercury-switches	Provision of information about imported products with mercury, sources and information on mercury
LATU	Analytical capacity to measure mercury in products
Municipal landfills	Information on quantities and types of wastes received
Latin American Regional Coordinating Centre for the Basel Convention	The Centre besides being the regional project coordinator at the national level would have the role of organizing workshops, preparing material dissemination, management of financial resources and recruit staff if necessary.
Pesticide Action Network (PAN)	PAN works to replace hazardous pesticides with ecologically sound and just alternatives. Its role in the project will be to assist the project team to gather information on the content and use of mercury in pesticides applied in Uruguay and to raise awareness among farmers

A.3. Describe the socioeconomic benefits to be delivered by the Project at the national and local levels, including consideration of gender dimensions, and how these will support the achievement of global environment benefits (GEF Trust Fund/NPIF) or adaptation benefits (LDCF/SCCF).:

This project will develop national mercury inventories and national mercury risk management approaches with the aim of reducing human and environmental exposure to mercury. By identifying specific activities aiming at reducing risks in priority sectors in each participating country, the project is anticipated to identify and impact poor populations, who often are disproportionately affected by the impacts of environmental and health risks and who have the fewest options to address them.

Through the inventory process, and the mapping of key mercury pollution sources, the project will define at-risk populations across participating countries, together with prioritized national mercury risk management approaches to address such risks. Project activities will also involve consultation with communities considered to be at risk with the aim of increasing their understanding about the dangers of mercury exposure, providing communities at risk with clear, practical information to protect themselves. This is likely to involve, but not be limited to poor communities living in close proximity to gold mines and non-ferrous metal production facilities.

Regarding gender, the project will ensure there are opportunities for women to contribute to, and benefit from, the project outcomes. Specifically, the project executor will work with national coordinators to ensure women are well represented on national coordinating committees, that consultation with communities targets both women and men, and that national mercury risk management approaches include measures specifically addressing the risks to women.

The productive sectors in participating countries, including employees working within these industries, will also be key project beneficiaries, as the project will work closely with industry partners to improve understanding of risks arising from mercury use, management, and release, and in developing methods to reduce releases. As well as assisting with improved operation of productive sectors, it is envisaged that the project will also lead to improved working conditions for employees currently at risk of mercury exposure.

Actions towards mercury release reduction in the LAC participating countries will automatically have a global environmental impact. The development of an inventory and further national mercury risk management approaches will pave the way towards mercury reduction both in the participating countries and in the world. It will also contribute to the work towards ratifications and early entry into force and implementation of the Minamata Convention on

Mercury, will identify lessons learned and sharing of information with countries with similar situations and will also contribute to the continuing updating of the UNEP *Toolkit for Identification and Quantification of Mercury Releases*.

Reduction of mercury use will have a positive impact in poor populations. The financially disadvantaged (and specifically women and children) are often those most affected by these adverse impacts. Addressing the environmental and health hazards associated with mercury is therefore crucial to ensure that hard won development gains are not compromised. Understanding the nature of the problem supported with scientific data will assist participating countries to design a legal and participatory framework that targets specific priority areas of mercury management, this might be considered as a first step to identify alternative socio and economic approaches for mercury management and to clearly include economic aspects of mercury use. It is expected that mercury use and production will decrease worldwide in the coming years, setting the bases for national interventions will further assist to identify alternative livelihoods for those using mercury.

A.4 Indicate risks, including climate change, potential social and environmental risks that might prevent the project objectives from being achieved, and if possible, propose measures that address these risks:

The following risks, together with their mitigation measures have been identified:

Risk identified	Mitigation measure
National level stakeholders holding data sets involving mercury unwilling to provide data. Medium risk	To <i>mitigate this risk</i> , national focal points are requested to provide a list of key stakeholders holding data sets at project inception. This will allow stakeholder to be contacted early on in the project, and consulted on the importance of the project.
Key industrial stakeholders unwilling to participate in the inventory work. Medium risk	To <i>mitigate this risk</i> , national focal points are requested to provide a list of key industrial stakeholders at project inception. This will allow stakeholders to be contacted early on in the project, consulted on the importance of the project, and for the benefits of the project to be communicated.
Project is misunderstood by specific sectors at the national level and obtained data are used against productive sectors with most releases Low risk	To <i>mitigate this risk</i> , all sectors and key stakeholders will be invited to participate in the activities and especially at the consultative meetings. Participation in consultations will give the opportunity to all sectors to discuss challenges and problems in relation to the key objective of meeting the actions required by the Minamata Convention on Mercury. Active participation in the development of national mercury risk management approaches will also provide a good opportunity to all stakeholders to understand the problem and to work together to find a suitable solution.
Women and vulnerable groups are not taken into account in the project implementation and risk is not reduced Low risk	To <i>mitigate this risk</i> the project will continuously assess the impact of mercury actions in vulnerable groups, defining first the social and gender determinants of mercury exposure and examine specific roles of women and vulnerable groups that might provide opportunities for improved mercury

	management. The development of the national mercury risk management approaches will involve women's associations and vulnerable groups to participate in the preparation of the national mercury risk management approaches. These associations and groups will be identified during project component 1.
<p>Insufficient number of mercury laboratories willing to participate in UNEP-coordinated assessment of mercury laboratories to allow for statistical evaluation of performance.</p> <p>Low risk</p>	<p>To <i>mitigate this risk</i>, UNEP will initiate the development of a list of laboratories prior to inception to allow the maximum available time for coordination with laboratories.</p> <p>The assessment will be implemented within a broader global scope and participation; thus, ensuring that the number of laboratories participating will be sufficient to allow for quantitative performance assessment and meaningful results.</p>
<p>National stakeholder unable to agree on national mercury risk management approaches.</p> <p>Medium risk</p>	<p>To <i>mitigate this risk</i>, provision has been made for national workshops to present and discuss the inventory results, and to consultatively set, and agree, national priorities.</p>
<p>National mercury risk management approaches are delayed, and as a result delay the development of regional lessons learned document.</p> <p>Medium risk</p>	<p>Given the tight timeframe of the project, to <i>mitigate this risk</i>, provision has been made for a fulltime Project Coordinator, based at the Uruguay Centre. The role of the Project Coordinator will include ensuring that outputs are delivered in a timely manner, following up weekly with national project teams and encourage stakeholder engagement in developing national mercury risk management approaches. To avoid start-up delays the agreements between the Uruguay Centre (as Executing Agency) and participating countries will be drawn up prior to the inception workshop, and signed at inception.</p>
<p>Change in national priorities</p> <p>Low risk</p>	<p>To mitigate this risk, the project will request countries to engage institutions and to seek commitment from those national institutions to provide data and to support the project activities. If there are changes in the government, the participating institution will be responsible to support the project and to assign experts to support the project. In parallel, awareness raising activities will be carried out at the national level highlighting the benefits brought to the participating countries.</p>

A.5. Explain how cost-effectiveness is reflected in the project design:

Cost-effectiveness is the provision of an effective benefit in relation to the cost involved. The design of this project is based around country specific activities, complimented by regional activities. The approach of using regional consultants for key sectors, is considered cost-effective, as it reduces transaction costs, and will ensure unified application of the Level 2 Toolkit. The approach will also provide a valuable-addition in the opportunities provided for peer-to-peer cooperation among participating countries at the regional priority-setting

workshop (Outcome 4.2).

In addition a dedicated Lessons Learned has been included in the project design to ensure the outcomes of the project can be easily shared among participating countries, but also among Latin American and Caribbean Countries not participating in the project. The publication of such a report will facilitate the replication of project activities among non-participating countries, again reducing transaction costs, and increasing cost effectiveness.

Participating countries in the project also include Uruguay, who has completed a comprehensive inventory using the UNEP Toolkit. As such, Uruguay's participation will be focused on national priority setting and sharing lessons learned, with other participating countries, ensuring the project includes regionally relevant south-south cooperation.

A.6. Outline the coordination with other relevant GEF financed initiatives [not mentioned in A.1]:

UNEP has developed the ***Standardized Toolkit on Identification and Quantification of Mercury Releases*** to develop national mercury inventories. UNEP/DTIE Chemicals Branch has applied this Toolkit in a number of countries and will assist participating countries in the application of the Toolkit and provide guidance for several sectors and activities. The UNEP Mercury Toolkit will be applied in the horizontal and the vertical approach, i.e., for the nationwide sectoral inventories and the detailed inventory for selected key sectors. The Toolkit will also be used to carry out the surveys on mercury production, distribution, use, import, and export. Benefits from the inventories will not be restricted to prioritization of sources and options for pollutant reduction but also the first step in the establishment of mechanism for long-term statistics and monitoring. They will provide the basis for science-based management of the mercury issue and decision-making. The experiences on the application of the Toolkit in participating countries will contribute to the further improvement and updating of the UNEP Toolkit, which is in line with the overall strategic thinking of GEF on Global mercury releases and control.

UNDP-GEF Global Healthcare Waste Project: This project is assisting seven countries - Argentina, India, Latvia, Lebanon, Philippines, Senegal and Vietnam - in developing and sustaining best healthcare waste management practices in a way that is both locally appropriate and globally replicable. The project's ultimate goal is to protect public health and the global environment from the impacts of dioxin and mercury releases. In each participating country, the project is creating model healthcare facilities or programs through collaboration with hospitals, smaller clinics, rural health and/or central waste treatment facilities. The project focuses primarily on activities such as waste minimization; improved waste segregation practices; promoting the use of non-combustion waste treatment technologies; and the use of appropriate alternatives to mercury-containing devices. The project executors will adopt and adapt as appropriate the guidance documents developed by the Global Healthcare Waste Project and collaborate, building on lessons learned.

Mercury Storage and Disposal LAC two countries project: This project involved Argentina and Uruguay and was funded by the Government of Norway. The project was implemented in collaboration with the Secretariat of the Basel Convention, the Basel Convention Regional Centre for the South American Region in Argentina, and the Basel Convention Coordinating Centre for Training and Technology Transfer for Latin America and the Caribbean region in Uruguay. It aimed to provide immediate action to protect human health and the environment from the release of mercury and its compounds, thus complementing the Intergovernmental Negotiating Committee (INC) process elaborating a legally binding instrument for mercury. The UNEP Mercury Storage Project in the LAC region estimated for the LAC region excess or surplus mercury might amount to approximately 8,300 tons between 2015 and 2050. The project resulted in: sector specific (partial) inventories of mercury waste and waste management

practices; recommendations for potential temporary mercury sites in both countries; and frameworks for comprehensive national mercury risk management approaches for the environmentally sound management of elemental mercury and mercury for both countries. This project will build on those partial inventories and frameworks, and will take into account also the outcomes of the on-going bi-national project on mercury storage and disposal in Mexico and Panama.

GEF-UNIDO project to Facilitate the Implementation of the Legally Binding Instrument on Mercury (Minamata Convention) in Argentina to Protect Health and the Environment

The objective of this project is to facilitate the implementation of the Mercury Treaty (Minimata Convention) by creating a space of dialogue and strengthening cooperation amongst governments, NGOs and the private sector. National dialogue and multistakeholders communication is a basic element to agree on the Minimata Convention ratification at the national level. There are a number of synergies and common areas of work for this project and the development of mercury inventories and risk management approaches. Inventories and risk management approaches will reinforce this dialogue with all sectors and will provide clear guidance on the implications of the ratification of the Convention for Argentina. It is particularly important to mention that the Ministry of Environment plays a key role on both projects, this will facilitate coordination and complementarity of actions. National dialogue opportunities identified through this project will be used by the UNEP-GEF project.

UNDP-GEF project on Environmental Sound Life-Cycle Management of Mercury Containing Products and their Wastes in Uruguay: This project focuses on mercury releases originating from the intentional use of mercury in products and the unsound management and disposal of such products, by i) Strengthening the regulatory and policy framework for the sound LCM of mercury containing products and their wastes; ii) Phasing-out and phasing-down mercury containing devices and products by introducing mercury-free alternatives or products with a lower Mercury content, iii) Improving national capacity (technical, financial, private sector) to make LCM of Mercury containing products technically and economically feasible. Uruguay will participate at the UNEP-GEF as a lead country on lessons learned and sharing experiences with countries in the region. Uruguay has extensive experience on inventory making and on the use of the UNEP toolkit on mercury releases. However, Uruguay has not yet been able to identify risk management approaches that will best accommodate its national priorities. The development of these approaches will need a close coordination with the development of a legal framework.

A.7 Describe the institutional arrangement for project implementation:

This project will be implemented by UNEP and executed by Uruguay Centre. As Implementing Agency (IA), UNEP will be responsible for the overall project supervision, overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including on technical issues. In close collaboration with the Executing Agency (EA), UNEP will provide administrative support to the EA. Additionally, as requested by the Executing Agency, the Science Team of UNEP DTIE Chemicals will provide technical support to the project through the implementation of the laboratory proficiency survey and assessment (activity 2.2 and 3.3).

In this project the UNEP Regional Office in Panama will facilitate the dialogue with National Authorities in the region and will ensure that the project results will contribute to strengthen the national and regional chemicals management agenda

As EA, the Uruguay Centre will execute, manage and be responsible for the project and its activities on a day-to-day basis. It will establish the necessary managerial and technical teams to execute the project. It will search for and hire the regional consultants necessary for technical

activities and supervise their work. It will also organize independent audits in order to guarantee the proper use of GEF funds. Financial transactions, audits and reports will be carried out in accordance with UNEP procedures, and the Uruguay Centre will provide regular administrative, progress and financial reports to UNEP.

A Project Steering Committee (PSC) will be established, and will meet at the beginning and the end of the project. This committee will be formed by representatives of the EA and IA, bilateral donors, interested IGOs and other organizations and national focal points from participating countries. The PSC will evaluate the progress of the project, taking the necessary measures to guarantee the fulfilment of the goals and objectives.

A Project Team will be established within the EA, staffed by a Project Coordinator. The team will be in charge of the execution and management of the project and it will report to UNEP and to the PSC. A national focal point, responsible for national level activities, will be nominated by each participating country, and report regularly to the Project Coordinator.

In each Participating Country a National Project Team (NPT) will lead the national coordination of the project activities. Its main function will be to monitor progress, implement the national activities and support the Executing Agency.

B. DESCRIPTION OF THE CONSISTENCY OF THE PROJECT WITH:

B.1 National strategies and plans or reports and assessments under relevant conventions, if applicable, i.e. NAPAs, NAPs, NBSAPs, national communications, TNAs, NCSA, NIPs, PRSPs, NPFE, etc.

This project aims to strengthen the capacity of Argentina, Ecuador, Nicaragua, Peru, and Uruguay to identify mercury sources and priority actions to be addressed under the mercury convention. The development of risk management approaches will assist governments intending to ratify the convention by ensuring compliance with its control measures, including – for some articles, the preparation of strategies and plans. Experience of other chemicals planning processes, such as the NIP process for the Stockholm Convention will be beneficial in address the work in this project.

The 27th Session of the UNEP Governing Council, which took place on 18-22 February 2013 in Nairobi, Kenya, in its decision on Chemicals and Waste Management welcomes the completion of the mercury negotiations and encourages States and regional economic integration organizations to take, as soon as possible, the necessary domestic measures to enable them to meet their obligations upon ratification, and thereafter to ratify, accept, approve or accede to the Minamata Convention on Mercury, once adopted, with a view to its entry into force as soon as possible. It also appeals to Governments as well as intergovernmental and non-governmental organizations and the private sector to support early action designed to facilitate ratification and implementation of the Minamata Convention and further to provide financial resources for the implementation of interim arrangements for the Minamata Convention

B.2. GEF focal area and/or fund(s) strategies, eligibility criteria and priorities

This project is in line with GEF Focal Area Strategy CHEM-3: Pilot sound chemicals management and mercury reduction.

At the international level, UNEP Governing Council decision 25/5, adopted in February 2009, requests UNEP Executive Director to convene an intergovernmental negotiating committee with the mandate to prepare a global legally binding instrument on mercury. GC Decision 25/5 mandates the intergovernmental negotiating committee to develop a comprehensive and suitable approach to mercury, including provisions to increase knowledge through awareness-raising and scientific information exchange and to specify arrangements for capacity building and technical and financial assistance. Furthermore, GC Decision 25/5 requests UNEP Executive

Director to coordinate, *inter-alia*, the enhancement of national inventories on mercury and to raising public awareness and support risk communication.

On a national level, this project will provide the first full inventory on mercury in the participating countries. Detailed inventory making will provide training and experience, thereby building national management capacity, essential for undertaking further work to address the sources and release of mercury in the participating countries.

On a regional level, the project will provide a preliminary baseline for participating GRULAC countries and lead to the development of lessons learned and regional priorities.

Participating countries are eligible for GEF funding related to mercury. Participating countries have indicated that mercury is a priority issue and have committed to deploy their best efforts to understand the current situation and to identify the areas in which the releases of mercury are high and require immediate action.

B.3 The GEF Agency's program (reflected in documents such as UNDAF, CAS, etc.) and Agencies comparative advantage for implementing this project:

All GEF proposed interventions in GEF V, are complementary to UNEP's Sub programme 5 Harmful Substances and Hazardous Waste, led by UNEP DTIE Chemicals Branch and consistent with the objectives of the medium term strategy for the sub programme for the years 2010 – 2013. The medium term strategy for the years 2014-2017 comprises similar objectives within Sub programme 5 to be renamed 'Chemicals and Waste'.

UNEP's work on mercury comprises two tracks:

- supporting the intergovernmental processes developing and bringing into force the Minamata Convention on Mercury; and
- coordinating the UNEP Global Mercury Partnership, a voluntary multi-stakeholder partnership of more than 120 partners and with 8 areas of focus covering the principal sources of mercury use and release.

Both of these tracks are mandated by decisions of the UNEP Governing Council.

The Latin America and the Caribbean region is a significant consumer of mercury, and therefore establishing a clear understanding of the sources and releases of mercury in the region, as well as building the mercury management capacity of participating governments, is considered a priority.

The following section draws reference to the UN Development Assistance Framework (UNDAF) of each participating country.

Argentina's UNDAF⁶ (2010-2014) defines four areas of cooperation: sustainable development; social inclusion and equity; management and access to services for the protection of social rights; and institutional development. These four areas of cooperation are strengthened by two cross-cutting goals – gender equality; and strengthening the region. The UNDAF defines six outcomes of UN assistance, these include: i) strategies to promote productive development by incorporating technological changes consistent with the creation of decent work and environmental sustainability; ii) strategies to increase decent employment and work; iii) more equitable public policies with higher levels of social inclusion and without discrimination; iv) reduced gaps in access to health for reducing maternal mortality, mortality and child malnutrition, and major diseases; v) improved equity in access to education and school completion and reduced disparities in social and territorial quality; and, vi) advanced in

⁶ <http://www.unops.org/SiteCollectionDocuments/Information-disclosure/UNDAs/Argentina-MANUD-2010-2014.pdf>, Accessed September 2012

its institutional development, strengthening state capacities for strategic planning and coordination, improving efficiency and promoting transparency and citizen participation. Through the planned activities this project will contribute directly to achieving goals i, iii, iv and vi of the UNDAF.

Ecuador's UNDAF (2010-2014) identifies five areas of concentration. Among these areas of concentration, Ecuador has identified environmental sustainability and risk management as a priority. The objective of this priority area is to develop sound environmental, social and economic policies, as well as local and central capacities to reinforce the environmental governance. This project will contribute to these two specific objectives. National authorities will build capacity to develop national inventories and to assess national legislation and assess and identify current the gaps and needs in mercury management. All of these activities will contribute to the environmental sustainability of Ecuador and will, in the medium and long term, reduce the risk associated to mercury management.

Peru's UNDAF⁷ (2012-2016, still current) defines five areas of cooperation, including: inclusive economic development and decent employment; democratic governance; social protection and access to social services; environment, climate change and risk management; and cultural heritage. A total of thirteen outcomes are envisaged, some of which include: i) economic and social policies geared towards inclusive development, poverty reduction and sustainability are effectively implemented; ii) decent employment is increased with emphasis on vulnerable groups; iii) the State is able to design and implement a decentralized administration which is articulate, efficient, and effective, with a greater commitment to fight corruption; iv) an integral system of social protection, improved health and standard of living is implemented, with special emphasis on the most vulnerable groups; v) the national information and statistic system are strengthened to consider socio-demographic data of the most vulnerable groups; vi) civil society and communities are capable of organizing watch groups on the supply and quality of social services; vii) sustainable management of natural resources and conservation of biodiversity; viii) reduced vulnerability towards natural disasters and climate change and in-creased resilience of the population; ix) policies for the preservation of cultural heritage and cultural diversity designed and implemented.

The activities included in this project and the proposed project outcomes, are consistent with the outcomes envisaged under the UNDAF. Specifically, the project will contribute to strengthened capacity of national, regional and local agencies, through the development of skills to undertake mercury inventories and consult stakeholders. The data collected during the project will also contribute to increased disaggregated data that will be available to policy makers. Finally the project will also contribute to an increased understanding of national and regional policy makers of the health and environmental risks associated with mercury, through the inventory data and the resulting national priorities, allowing policy makers to evaluate health and environmental risks.

Nicaragua's UNDAF⁸ (2008-2012) defines three areas of cooperation: support to the country in the achievement of the MDGs; supporting the integration of human rights into laws, policies and programmes; and provision of support on HIV/AIDS issues. Activities planned under this project will support the first area of collaboration, assisting Nicaragua on achieving the MDGs. Specifically, project activities will focus on MDG 7 on environmental sustainability. Activities under this project will contribute directly to Nicaragua's efforts to meet MDG Target 7a, to: integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources. The project activities focus on

⁷ <http://www.unops.org/SiteCollectionDocuments/Information-disclosure/UNDAs/Peru-UNDAF-2006-2010.pdf>, Accessed September 2012

⁸ <http://www.unops.org/SiteCollectionDocuments/Information-disclosure/UNDAs/Nicaragua-UNDAF-2008-2012.pdf>, Accessed September 2012

growing national capacity on mercury management, in defining priority areas for mercury management, and to integrating these into national plans and policies. Through its risk-based approach, and emphasis on educating communities about the risks associated with mercury exposure, the project is also expected to contribute to the maternal health and child health goals.

Uruguay's UNDAF⁹ (2011-2015) outlines four priorities outcomes under the UNDAF: diversification of production and participation in the global economy; environmental sustainability; equitable social development; and democratic governance. Under the priority outcome of sustainable development, the UNDAF sets out a focus on moving towards the implementation of sustainable development models that will foster conservation of natural resources and ecosystems, climate change mitigation and adaptation, and use of renewable sources of energy. Under this the UN system agreed to support the design and implementation of policies and strategies for sustainable and equitable management of natural resources, providing for the conservation of ecosystems, particularly through the National System of Protected Areas; the strengthening of institutional capacity to identify, design and implement plans to reduce social and environmental vulnerability; the implementation of policies and strategies to promote research, awareness-raising and education; and the design and implementation of policies and strategies to improve management of water resources. Planned project activities will contribute to improved environmental policies related to mercury management, including mercury waste. In addition the project will support national efforts to identify vulnerable populations, through review of the mercury inventory and national priority-setting exercise.

C. DESCRIBE THE BUDGETED M & E PLAN:

Day-to-day management and monitoring of the project activities will be the responsibility of the executing agency, the Stockholm Convention Regional Centre Uruguay (the Uruguay Centre). The Uruguay Centre will submit half-yearly reports to UNEP and a Project Implementation Report (PIR) annually. The Uruguay Centre will also be responsible for the recruitment of regional staff or consultants and the execution of the activities according to the work plan and expected outcomes.

National teams will be responsible for the progress made at the national level and will report to the regional coordinator (EA). Among the responsibilities of national teams, among others, we can include: day-to-day management and monitoring of national activities, development and submission of national progress reports (financial and technical); recruitment of local experts, identification and engagement of key stakeholders, national endorsement and validation of key documents, etc.

The half-yearly reports will include progress in implementation of the project, financial report, a work plan and expected expenditures for the next reporting period. It will also identify obstacles occurred during implementation period. The PIR will be prepared on an annual basis with the first report due one year after project inception according to GEF rules. It will be submitted by the Uruguay Centre to the UNEP task manager.

Each participating country will nominate a national focal point, responsible for the oversight of national activities. In consultation with the Uruguay Centre, the national focal point will identify suitable local consultants to assist in the development of the national inventory.

The Project Steering Committee (PSC) will comprise UNEP DTIE Chemicals, the Uruguay Centre and the national focal points. The PSC will monitor the progress of the project and give advice as to implementation issues. The PSC will meet during the inception workshop and the final lessons learned workshop. At month 12, the PSC will meet through teleconference.

TABLE: MONITORING AND EVALUATION BUDGET

M&E activity	Purpose	Responsible	Budget	Time-frame
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⁹ http://planipolis.iiep.unesco.org/upload/Uruguay/Uruguay_UNDAF_2011-2015_eng.pdf, Accessed September 2012

		Party	(US\$)	
Inception workshop*	Awareness raising, building stakeholder engagement, detailed work planning with key groups, defining key sectors in each participating country	Uruguay Centre	0	Within three months of project start
Inception report	Provides implementation plan for progress monitoring	Project coordinator (Uruguay Centre)	0	Within four weeks of the Inception Workshop
Project Review by PSC**	Assesses progress, effectiveness of operations and technical outputs; Recommends adaptation where necessary and confirms implementation plan.	PSC and Uruguay Centre	0	Month 1, 18 and 32
Project Implementation Review	Progress and effectiveness review for the GEF, provision of lessons learned. This will be undertaken by the Uruguay Centre, in close consultation with UNEP. The draft report will be forwarded to UNEP for its approval.	Uruguay Centre and UNEP	0	Month 22 and 34
Mid-term review	Reviews effectiveness, efficiency and timeliness of project implementation, against work plan and projected outcomes. Suggests areas for improvement and course correction.	UNEP Task Manager, Independent external consultant	10,000	Month 18
Terminal report	Reviews effectiveness against implementation plan, highlights technical outputs, identifies lessons learned and likely design approaches for future projects, assesses likelihood of achieving design outcomes	Uruguay Centre	0	At the end of project implementation (Month 36)
Independent Terminal evaluation	Reviews effectiveness, efficiency and timeliness of project implementation, coordination mechanisms and outputs Identifies lessons learned and likely remedial actions for future projects Highlights technical achievements and assesses against prevailing benchmarks	UNEP EO appointed Independent external consultant	28,000	At the end of project implementation
Independent Financial Audit	Reviews use of project funds against budget, assesses probity of expenditure and transactions	Uruguay Centre	18,000	yearly (3)
Total indicative M&E cost*¹			56,000	

*inception workshop to be organized back to back with first lessons learned workshop


**Steering Committee Meetings to be organized back to back with lessons learned meetings and technical training

PART III: APPROVAL/ENDORSEMENT BY GEF OPERATIONAL FOCAL POINT(S) AND GEF AGENCY(IES)

A. RECORD OF ENDORSEMENT OF GEF OPERATIONAL FOCAL POINT (S) ON BEHALF OF THE GOVERNMENT(S): (Please attach the [Operational Focal Point endorsement letter\(s\)](#) with this template. For SGP, use this [OFP endorsement letter](#)).

NAME	POSITION	MINISTRY	DATE (MM/dd/yyyy)
Ing. Graciela Conesa	GEF Operational Focal Point	Secretaría del Ambiente y Desarrollo Sustentable de Argentina	13/03/2013
Mgs. Lorena Tapia	Minister of Environment GEF Operational Focal Point	Ministry of Environment of Ecuador	02/18/2013
Roberto Araquistán Cisneros	Ministro por la Ley GEF Operational Focal Point	Ministerio del Ambiente y los Recursos Naturales of Nicaragua	09/25/2012
Jose Antonio Gonzáles Norris	GEF Operational Focal Point	Ministry of Environment of Peru	01/25/2013
Lic. Silvia Fernández	External Affairs Advisor MVOTMA GEF Operational Focal Point	Ministerio de Vivienda, Ordenamiento Territorial y Medio Ambiente (MVOTMA) de Uruguay	11/19/2012

B. GEF AGENCY(IES) CERTIFICATION

This request has been prepared in accordance with GEF/LDCF/SCCF/NPIF policies and procedures and meets the GEF/LDCF/SCCF/NPIF criteria for project identification and preparation.					
Agency Coordinator, Agency name	Signature	DATE (MM/dd/yyyy)	Project Contact Person	Telephone	Email Address
Maryam NIAMIR-FULLER Director, UNEP GEF Coordination Office		10/25/2013	Jorge Ocaña, Task Manager - UNEP - DTIE	+41 22 917 8195	jorge.ocana@unep.org

ANNEX A: PROJECT RESULTS FRAMEWORK (either copy and paste here the framework from the Agency document, or provide reference to the page in the project document where the framework could be found).

Strategy Narrative	Indicator	Units	Baseline	Mid-Term Target	End of Project Target	Sources of verification	Risks and Assumptions
GOAL: To improve the sustainable development of the participating countries through reduced risk to human and health and the environment from mercury releases							
Project Objective: To strengthen the capacity of participating LAC countries (Argentina, Ecuador, Peru, Nicaragua and Uruguay) to identify mercury sources and the priority actions to be undertaken.							
The countries participating in this project will use the UNEP Toolkit for identification and quantification of releases (2011), Level 1 and 2, to estimate mercury released into the environment and develop national mercury inventories.	Mercury inventories developed for six participating countries	# of inventories	While some partial inventories have been completed for specific sectors in participating countries, no comprehensive inventories exist	6 draft Inventories prepared for six participating countries	Inventories complete and endorsed for six participating countries	Inventories	All sectors likely to be releasing mercury agree to participate in mercury inventory activities, providing necessary data and information.
Using their mercury inventories, the participating countries will develop national mercury risk management approaches and prioritize actions.	National mercury risk management approaches with agreed priorities developed for six participating countries	# of national mercury risk management approaches	No national mercury risk management approaches exist	No national mercury risk management approaches developed yet for each country, data to be used in priority setting workshop	6 national mercury risk management approaches complete for six participating countries	National mercury risk management approaches	National stakeholders agree on priorities and endorse the national mercury risk management approaches.
Outcome 1: Information needs identified in participating countries							
	1.1 Workplan, budget and M&E plan endorsed by all	NA	Workplan, budget and M&E plan included in the CEO Endorsement	Workplan, budget and M&E plan prepared and	Workplan, budget and M&E plan used to guide the	Inception workshop report	Assumed that prior to providing endorsement and co-finance for the project, participating countries will closely review the project documents

Strategy Narrative	Indicator	Units	Baseline	Mid-Term Target	End of Project Target	Sources of verification	Risks and Assumptions
	participating countries			agreed by participating countries at inception workshop	achievement of project objectives	M&E reports Terminal evaluation	including Workplan, budget, and M&E plan. All guidance and information materials are readily available and easily accessible in appropriate language versions
	1.2 Existing materials and information on mercury identified and utilized	NA	<p>UNEP Toolkit for Identification and Quantification of Mercury Releases, Level 1 and Level 2 disseminated for project use.</p> <p>Each participating country has provided initial data pertinent to mercury use and release, and information on their regulation the Uruguay Centre as Executing Agency.</p>	Baseline information collated by Uruguay Centre for each of the six participating countries.	<p>Comprehensive set of guidance documents used.</p> <p>Participating countries are conversant with and using UNEP guidance in planning and implementing national efforts to reduce mercury releases and exposure risks.</p>	Consistency of national inventory outputs (see Outcome 2) with UNEP Toolkit guidance.	
Outcome 2: Comprehensive information on mercury sources and releases enable a better understanding of mercury risks to human health and the environment for participating countries							
	2.1 Level 1 and Level 2 mercury inventories for each participating country, identifying key sectors	<p># of inventories developed</p> <p>#of key sectors involved in inventory</p>	<p>According to the UNEP Global Assessment (2008) over 80% of mercury emissions in South America are from undefined locations.</p> <p>Argentina – assessed as production 2707Kg of mercury emissions in 2005, has some inventory information on chlor-alkali industries and the energy sector.</p> <p>Uruguay, Ecuador, Nicaragua, all produced fewer than 250Kg</p>	>6 Level 1 mercury inventories, one for each participating country ¹⁰ , including detailed Level 2 inventories for key sectors identified in each country.	>6 Level 1 mercury inventories, one for each participating country, including detailed Level 2 inventories for key sectors >2-3 key industrial	National inventories	<p>Key industrial stakeholders participate in the inventory work.</p> <p>Commitment from participating countries is maintained.</p> <p>Laboratories willing to participate and provide necessary information.</p> <p>Sufficiently large number of mercury laboratories willing to participate in UNEP-coordinated assessment of mercury laboratories to allow for statistical evaluation of performance</p>

¹⁰ Uruguay and Peru have completed Level 1 inventories and will focus on Level 2.

Strategy Narrative	Indicator	Units	Baseline	Mid-Term Target	End of Project Target	Sources of verification	Risks and Assumptions
			emissions in 2005.		sectors with Level 2 inventory in each participating country		Transition from Level 1 to Level 2 may be difficult for some countries, due to differences in detail and aggregation methods.
Outcome 3: Enhanced understanding of national priority sources and capacity for mercury management through the development of national mercury risk management approaches including the identification of management gaps and needs							
	3.1 Number of mercury priorities set in each participating countries	# of national priorities identified	While preliminary data from some countries indicates significant areas of mercury release, and likely priority sectors, a full screen using the Level 1 Toolkit is required.	Inventories developed and available for use for setting priorities in each country, at national priority setting workshop	3 National priorities clearly articulated in national mercury risk management approaches (see 3.4)	Priority setting workshop minutes. Priorities documented in national mercury risk management approaches.	Sufficient information gleaned during inventory stage to set priorities.
	3.2 Number of assessments on regulatory aspects and means for mercury emissions control ¹¹	# of national regulatory assessments	Information compiled by Uruguay Centre indicates most participating countries lack regulations specific to mercury	Inventories developed and available for use in the regulatory assessment	6 Regulatory assessment covers key mercury emissions sectors (in each participating country)	Regulatory assessment	
	3.3 Number of data sets collected and analysed greatly contribute to	# of core matrices	Studies on mercury monitoring in humans or environment scattered, lack of consistency in the approaches	At least 5 datasets identified and analysed	At least 10 data sets identified, collected and analysed Populations	Assessment of existing data on human health and environment analysed and	

¹¹ Including mercury: production; import; transport, distribution, storage; waste (treatment, final disposal); information exchange; releases to soil and water.

Strategy Narrative	Indicator	Units	Baseline	Mid-Term Target	End of Project Target	Sources of verification	Risks and Assumptions
	the development of national risk management approaches				living around priority sites defined and consulted on issues related to mercury pollution and development of risk management approaches.	report published.	
	3.4 Number of prioritized national mercury risk management approaches for mercury reduction	# of national mercury risk management approaches	Some participating countries have partial inventories and have developed initial national mercury risk management approaches for some key mercury release issues	Inventory data available and published in inventory, in 5 countries allowing for the development of national mercury risk management approaches in each country	5 prioritized national mercury risk management approaches completed.	Published national mercury risk management approaches	Agreement on national mercury risk management approaches by national stakeholders.
Outcome 4: Lessons Learned available and shared regionally allow better practices in future projects							
	4.1 Number of regional key sector identifying mercury management gaps	# of sectors identifying mercury management gaps	No detailed regional assessments of key sectors currently available	Work focused on national level data collecting	10 key emissions sectors	Regional key sector and lessons learned report	Each participating country completes their inventory and national mercury risk management approaches, allowing the compilation of a regional report.
	4.2 Final project report on lessons learned and	NA	No regional lessons learned report currently available	NA	Endorsement of regional lessons learned report	Report available on Regional Centre and	Agreement on regional lessons learned and priorities by participating countries

Strategy Narrative	Indicator	Units	Baseline	Mid-Term Target	End of Project Target	Sources of verification	Risks and Assumptions
	main outputs (inventories, national mercury risk management approaches) endorsed and diffused				Lessons learned report disseminated among stakeholders in participating countries, and also to focal points in non participating countries	UNEP websites	
	4.3 Number of Steering Committee Meeting reports available as part of the M&E plan	# of Steering Committee Meeting reports	-	2 STC meeting reports	3 STC meeting reports	Steering Committee Meeting Reports available on the UNEP's website	Participation of all stakeholders

APPENDICES

1. Acronyms and abbreviations
2. Overall Project Budget
3. Budget by project component and UNEP budget lines
4. Co-financing by source and UNEP Budget lines
5. Public awareness, communications and mainstreaming
6. Environmental and social safeguards
7. Workplan and timetable
8. Key deliverables and benchmarks
9. Summary of reporting requirements and responsibilities
10. Standard terminal evaluation
11. Decision making flowchart and Organigram
12. Terms of reference
13. Co-financing commitment letters from project partners
14. Endorsement letters of GEF National Focal Points
15. Draft Procurement plan
16. Tracking tools (not available)
17. Supervision Plan

APPENDIX 1

ACRONYMS AND ABBREVIATIONS

ASGM	Artisanal and Small Scale Gold Mining
BCCC	Basel Convention Coordinating Centre
EA	Executing Agency
GC	Governing Council
GEF	Global Environment Facility
IA	Implementing Agency
INC	Intergovernmental Negotiating Committee
LAC	Latin America and the Caribbean
LATU	The Technology Laboratory of Uruguay
PIR	Project Implementation Report
PSC	Project Steering Committee
UNDAF	United Nations Development Assistance Framework
UNEP	United Nations Environment Programme

APPENDIX 2

OVERALL PROJECT BUDGET

Project Components and Activities	GEF Funding	Co-financing (USD)	TOTAL (USD)
Component 1: Strengthening the baseline and identification of information needs in participating countries			
<i>1.1 Inception workshop</i>	0	0	0
<i>1.2 Identify initial guidance materials and existing studies and information needs</i>	73'000	252'915	325'915
SUBTOTAL	73'000	252'915	325'915
Component 2: Development of mercury inventories in participating countries			
<i>2.1 Develop and upgrade mercury inventories in each participating country</i>	325'000	1'664'100	1'989'100
SUBTOTAL	325'000	1'664'100	1'989'100
Component 3: Development/Identification of national mercury risk management approaches and improved regional understanding of key mercury challenges			
<i>3.1 Develop criteria and prioritize mercury sources in each participating country</i>	70'000	0	70'000
<i>3.2 Assess the regulatory aspect of mercury management in each participating country</i>	24'000	204'200	228'200
<i>3.3 Collect data of good quality on mercury levels in the environment, including biota and human, and mercury emissions at the source</i>	90'000	260'819	350'819
<i>3.4 Identify and/ or develop national mercury risk management approaches in each participating country</i>	85'000	0	85'000
SUBTOTAL	269'000	465'019	734'019
Component 4: Lessons learned			
<i>4.1 Compile regional lessons learned in key sectors and develop regional report and organize 1st lessons learned workshop</i>	53'000	0	53'000
<i>4.2 Develop and disseminate a final report on lessons learned report and organise last lessons learned workshop</i>	50'000	180'000	230'000
<i>4.3 Implement a Monitoring and Evaluation Plan</i>	56'000	0	56'000
SUBTOTAL	159'000	180'000	339'000
Project Management and supervision			
<i>Project Management</i>	90'000	332'400	422'400
SUBTOTAL	90'000	332'400	422'400
TOTAL	916'000	2'894'434	3'810'434

APPENDIX 3

BUDGET BY PROJECT COMPONENT AND UNEP BUDGET LINES

		GEF ALLOCATION BY CALENDAR YEAR									
Object of expenditure against UNEP budget codes		1	2	3	4	PMC	Total	Year 1	Year 2	Year 3	Total
Budget line	Description	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$	US\$
10	PERSONNEL COMPONENT										
1100	Project personnel										
	1101 Project coordinator (Regional centre based)					80'000	80'000	26'666	26'667	26'667	79'999
	1102 Project management team in each participating country										0
	1199 sub-total					80'000	80'000	26'666	26'667	26'667	80'000
1200	Consultants										
	1201 Regional sectoral specialist - chlor alkali		19'000	0			19'000	19'000	0	0	19'000
	1202 Regional sectoral specialist -primary production/or AGSM		19'000				19'000	19'000	0	0	19'000
	1203 Regionalsectoral specialist - energy		19'000				19'000	19'000	0	0	19'000
	1204 Regional mercury Policy specialist			24'000	0		24'000	0	24'000	0	24'000
	1299 sub-total	0	57'000	24'000	0	0	81'000	57'000	24'000	0	81'000
1300	Administrative Support										
	1301 Support staff					10'000	10'000	4'000	3'000	3'000	10'000
	1399 sub-total					10'000	10'000	4'000	3'000	3'000	10'000
1600	Travel on Official business										
	1601 travel management / Project coordinator	10'000			10'000		20'000	8'000	6'000	6'000	20'000
	1699 sub-total	10'000			10'000		20'000	8'000	6'000	6'000	20'000
1999	Component total	10'000	57'000	24'000	10'000	90'000	191'000	95'666	59'667	35'667	191'000
20	SUBCONTRACTS										
	2101 UNEP subcontract to complete laboratory proficiency survey and assessment		90'000				90'000	40'000	40'000	10'000	90'000
	2102 Argentina - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	20'000	67'000	40'000			127'000	67'000	50'000	10'000	127'000
	2103 Ecuador - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	20'000	48'000	32'000			100'000	50'000	40'000	10'000	100'000
	2104 Nicaragua - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	5'000	20'000	18'000			43'000	20'000	23'000	0	43'000
	2105 Peru - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	10'000	58'000	40'000			108'000	58'000	40'000	10'000	108'000
	2106 Uruguay - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	6'000	25'000	15'000			46'000	20'000	26'000	0	46'000
	2199 subtotal	61'000	308'000	145'000	0	0	514'000	255'000	219'000	40'000	514'000
2999	Component total	61'000	308'000	145'000	0	0	514'000	255'000	219'000	40'000	514'000
30	TRAINING COMPONENT										
3300	Meetings/conferences										
	3301 Initial training and lessons learned workshop		0	0	40'000	0	40'000	40'000	0		40'000
	3302 Regional workshop for national sectoral experts		40'000				40'000	40'000	0		40'000
	3303 Final lessons learned and regional priorities workshop				40'000		40'000	0	0	40'000	40'000
	3399 sub-total	0	40'000	0	80'000	0	120'000	80'000	0	40'000	120'000
3999	Component total	0	40'000	0	80'000	0	120'000	80'000	0	40'000	120'000
40	EQUIPMENT COMPONENT										
4200	Non-expendable equipment										
	4201 Maintenance of technical equipment										
	4299 sub-total	0	0	0	0	0	0	0	0	0	0
4999	Component total	0	0	0	0	0	0	0	0	0	0
5200	Reporting Costs										
	5201 Production of inventory and risk management approaches, 5 countries	0	8'000	8'000			16'000	0	0	16'000	16'000
	5299 sub-total	0	8'000	8'000	0	0	16'000	0	0	16'000	16'000
5300	Sundries										
	5301 Communications,	2'000	2'000	2'000	3'000	0	9'000	2'000	2'000	5'000	9'000
	5302 Dissemination of regional lessons learned report				10'000		10'000	0	0	10'000	10'000
	5399 sub-total	2'000	2'000	2'000	13'000	0	19'000	2'000	2'000	15'000	19'000
5500	M & T Evaluation										
	5501 Midterm review				10'000		10'000	0	10'000		10'000
	5502 Terminal evaluation				28'000		28'000		0	28'000	28'000
	5503 Financial Audit				18'000		18'000	6'000	6'000	6'000	18'000
	5599 sub-total	0	0	0	56'000	0	56'000	6'000	16'000	34'000	56'000
5999	Component total	2'000	10'000	10'000	69'000	0	91'000	8'000	18'000	65'000	91'000
TOTAL COSTS		73'000	415'000	179'000	159'000	90'000	916'000	438'666	296'667	180'667	916'000

APPENDIX 4

CO-FINANCE BY SOURCE AND UNEP BUDGET LINES

Object of Expenditure/source of funding	UNEP (Implementing Agency)	Ministerio del Ambiente - Ecuador	Ministerio del Ambiente y Recursos Naturales (MARENA) Nicaragua		CRBAS Argentina	Ministerio del Ambiente - Peru		MVOTMA - Uruguay		TOTAL
	In-kind	In-kind	In-kind	Cash	In-kind	In-kind	Cash	In-kind	Cash	
10 PERSONNEL COMPONENT										
1100 Project personnel										
1101 Project coordinator (Regional centre based)			50'000	60'000		156'000		35'000	1'400	36'400
1102 Project management team in each participating country								30'000	0	296'000
1199 sub-total	0		50'000	60'000	0	156'000	0	65'000	1'400	332'400
1200 Consultants										
1201 Regional sectoral specialist - chlor alkali										0
1202 Regional sectoral specialist -primary production/or AGSM										0
1203 Regionalsectoral specialist - energy										0
1204 Regional mercury Policy specialist		204'200								204'200
1299 sub-total	0	204'200	0	0	0	0	0	0	0	204'200
1300 Administrative Support										
1301 Support staff								30'000		30'000
1399 sub-total	0	0	0	0	0	0	0	30'000	0	30'000
1600 Travel on Official business										
1'601 travel management / Project coordinator										0
1'699 sub-total	0	0	0	0	0	0	0	0	0	0
1999 Component total	0	204'200	50'000	60'000	0	156'000	0	95'000	1'400	566'600
20 SUBCONTRACTS										
2101 UNEP subcontract to complete laboratory proficiency survey and assessment	100'819									100'819
2102 Argentina - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	150'000									150'000
2103 Ecuador - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	150'000									150'000
2105 Nicaragua - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	150'000		140'000							290'000
2107 Peru - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	150'000					234'000	10'000			394'000
2108 Uruguay - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	150'000								132'000	282'000
2199 subtotal	850'819	0	140'000	0	0	234'000	10'000	0	132'000	1'366'819
2999 Component total	850'819	0	140'000	0	0	234'000	10'000	0	132'000	1'366'819
30 TRAINING COMPONENT										
3300 Meetings/conferences										
3301 Initial training and lessons learned workshop										0
3302 Regional workshop for national sectoral experts										0
3303 Final lessons learned and regional priorities workshop										0
3399 sub-total	0		0	0	0	0	0	0	0	0
3999 Component total	0	0	0	0	0	0	0	0	0	0
40 EQUIPMENT COMPONENT										
4200 Non-expendable equipment										
4201 Maintenance of technical equipment		0	0		20'000			39'600		59'600
4299 sub-total	0	0	0	0	20'000	0	0	39'600	0	59'600
4999 Component total	0	0	0	0	20'000	0	0	39'600	0	59'600
5200 Reporting Costs										
5201 Production of inventory and risk management approaches, 5 countries	63'315	108'100			200'000			200'000		571'415
5299 sub-total	63'315	108'100	0	0	200'000	0	0	200'000	0	571'415
5300 Sundries										
5301 Communications,			10'000		40'000			100'000		150'000
5302 Dissemination of regional lessons learned report			40'000		40'000			100'000		180'000
5399 sub-total	0	0	50'000	0	80'000	0	0	200'000	0	330'000
5500 M & T Evaluation										
5501 Midterm review										
5502 Terminal evaluation										
5503 Financial Audit										
5599 sub-total	0	0	0	0	0	0	0	0	0	0
5999 Component total	63'315	108'100	50'000	0	280'000	0	0	400'000	0	901'415
TOTAL COSTS	914'134	312'300	240'000	60'000	300'000	390'000	10'000	534'600	133'400	2'894'434

CO-finance by ACTIVITY

Project Components and Activities	GEF Funding	UNEP (Implementing Agency)	Ministry or Environment - Ecuador	Ministerio del Ambiente y Recursos Naturales (MARENA) Nicaragua		CRBAS Argentina	Ministerio del Ambiente - Peru		MVOTMA - Uruguay		Co- financing Subtotal	TOTAL
		In-kind	In-kind	In-kind	Cash	In-kind	In-kind	Cash	In-kind	Cash		
Component 1: Strengthening the baseline and identification of information needs in participating countries												
1.1 Inception workshop	0										0	0
1.2 Identify initial guidance materials and existing studies and information needs	73'000	63'315		20'000					169'600		252'915	325'915
SUBTOTAL	73'000	63'315		20'000	0	0	0	0	169'600		252'915	325'915
Component 2: Development of mercury inventories in participating countries												
2.1 Develop and/or upgrade mercury inventories in each participating country	325'000	750'000	108'100	80'000		150'000	234'000	10'000	200'000	132'000	1'664'100	1'989'100
SUBTOTAL	325'000	750'000	108'100	80'000	0	150'000	234'000	10'000	200'000	132'000	1'664'100	1'989'100
Component 3: Development/ Identification of mercury risk management approaches and enhancement or regional understanding of key mercury challenges												
3.1 Develop criteria and prioritize mercury sources in each participating country	70'000										0	70'000
3.2 Assess the regulatory aspect of mercury management in each participating country	24'000		204'200								204'200	228'200
3.3 Collect data of good quality on mercury levels in the environment, including biota and human, and mercury emissions at the source	90'000	100'819		50'000		110'000					260'819	350'819
3.4 Identify and/ or develop national mercury risk management approaches in each participating country	85'000										0	85'000
SUBTOTAL	269'000	100'819	204'200	50'000	0	110'000	0	0	0	0	465'019	734'019
Component 4: Lessons learned												
4.1 Compile regional lessons learned in key sectors and develop regional report and organize 1st lessons learned workshop	53'000										0	53'000
4.2 Develop and disseminate a final report on lessons learned report and organise last lessons learned workshop	50'000			40'000		40'000			100'000		180'000	230'000
4.3 Implement a Monitoring and Evaluation Plan	56'000										0	56'000
SUBTOTAL	159'000	0	0	40'000	0	40'000	0	0	100'000	0	180'000	339'000
Project Management and supervision												
Project Management	90'000			50'000	60'000		156'000		65'000	1'400	332'400	422'400
SUBTOTAL	90'000	0	0	50'000	60'000	0	156'000	0	65'000	1'400	332'400	422'400
TOTAL	916'000	914'134	312'300	240'000	60'000	300'000	390'000	10'000	534'600	133'400	2'894'434	3'810'434

APPENDIX 5

PUBLIC AWARENESS, COMMUNICATIONS AND MAINSTREAMING

Through the inventory process, and the mapping of key mercury pollution sources, the project will define at-risk populations across participating countries, and elaborate prioritized risk management approaches to address such risks. As part of the consultations process, the national inventory reports and risk management approaches will be consulted with representatives of the civil society and NGOs represented at the National Coordination Mechanism in each participating country, the project will advocate for the involvement of, but not be limited, to poor communities living in close proximity to gold mines and non-ferrous metal production facilities.

Governments may consider NGOs to assist the project team to disseminate the project information and to raise awareness among the communities. In participating countries a multistakeholder platform will be formed, composed of key sectors, including NGOs and civil society. This platform will oversee progress made in the project and will provide sound advice when needed. The interest of affected communities and indigenous people will be at the core of the work to be undertaken, allowing the participation of CSOs during inventory development. All national outputs under this project will be validated and endorsed by key stakeholders, therefore participation at different stages of the project implementation is a very important aspect.

Communication with at-risk communities will be the responsibility of the national coordinator; through lessons learned workshops and other forms of communication deemed appropriate for specific countries (this may include radio interviews, posters and information booklets in local languages). In addition, representatives of at-risk communities will be invited to attend the national priority setting and risk management approaches development workshops to ensure the views of impacted communities are taken into account during the national priority setting exercise.

The development of most publications under this project will be done by the Executing Agency, however close consultations with UNEP Division of Communications and Public Information (DCPI) will be required. A total of 19,000 USD has been assigned for communications and dissemination of lessons learned (including publications).

In terms of mainstreaming mercury management into the operations of participating governments, the national coordinating committees established will include representatives from all stakeholder groups as described in section A.2 of the project document. This project will assess the regulatory aspect of mercury management in countries and will provide recommendations to national governments to reinforce the national regulatory aspect of mercury taking into account the key findings of the project. Key national stakeholders participating in the project are expected to endorse the national risk management approaches on mercury management, thus governments will allocate sufficient resources to implement the endorsed plan and to facilitate the implementation of the Minamata Convention.

APPENDIX 6

ENVIRONMENTAL AND SOCIAL SAFEGUARDS

Mercury identification and management during the inventory process will require careful attention, specially project staff and workers in close contact with mercury containing products, especially during the inventory. Component 2 activities involve the development of mercury inventories for participating countries. Minor environmental risks are envisaged through identifying mercury sources, such as primary mercury in school laboratories. To mitigate any risks associated with potential release of elemental mercury the project will follow safety guidelines and good practices on inventory taking. This component also involves the assessment of laboratories' analytical capacity related to mercury. UNEP will ensure all laboratories participating in this process will be provided laboratory safety guidelines. No social risks are envisaged in this component.

Project component 3 activities involve regulatory assessments, defining priority sectors (based on inventory data), and drafting national risk management approaches. Social concerns are envisaged in communities living in proximity to any areas deemed to be contaminated by mercury. This will require careful

management by the national coordinator, in consultation with the project coordinator, to ensure at risk communities are identified and invited to participate in the development of risk management approaches.

In terms of equal participation of women in a participatory process, the project will advocate for a sound representation of women and affected groups in the project. Criteria to identify key issues on mercury management will include social and gender determinants relating to vulnerable groups, groups at risk and intake from foods. These issues identified will be considered during the risk management approaches development. During the project implementation, the role of women in mercury management will be assessed. This assessment will allow the project team to identify actions to reduce the risk of women and vulnerable groups and opportunities for their engagement in defining actions to improve mercury management. Women's associations and representatives of vulnerable groups will be invited to actively participate in the development of risk management approaches and to participate at the validation and consultation activities, as part of the inventories and risk management approaches development.

Pregnant women and children are also more susceptible to mercury and heavy metals in general. Women are also exposed to mercury-containing cosmetics. Many face creams contain mercury and are not necessarily declared in the labels of cosmetic products. Usually communities nearby mercury sources are more vulnerable to contamination, the project will advocate for a national regulatory framework targeting the protection of these two vulnerable groups.

Workers are also a vulnerable group; the project will include the active participation of workers associations and medical associations. Through these two important groups, the project will sensitize the general population and targets groups about the risks of mercury

Concerning the ***social safeguards***, vulnerable groups will be encouraged to participate in the project and special attention will be given to poor communities being at risk from mercury releases or living in proximity of a factory that releases mercury. Additionally, media coverage will ensure that the population know about the risk posed by mercury, the environmental and social consequences of continuing using mercury. Dissemination of the information is particularly important to alert the population on the simple measures to avoid mercury contamination and to understand the importance of taking a sound decision that will preserve human health and the environment.

Under the ***environmental safeguards***, the project will prepare a sound plan to prevent accidents (especially when visiting facilities and sites where mercury is managed) that may put at risk communities nearby.

This project will also ensure that minimum carbon emissions are generated, the communication through email and electronic means will replace as much as possible, physical circulation of documents. Travelling will also be restricted to the minimum necessary and most of the discussions will take place through electronic means (email, videoconference, etc). Reducing human and environmental risk to mercury will comply with the Poverty Reduction and Economic Development issues identified with the United Nations Country Team (UNCT).

APPENDIX 7 WORKPLAN AND TIMETABLE

Project Components and Activities	Year 1						Year 2						Year 3					
	2	4	6	8	10	12	2	4	6	8	10	12	2	4	6	8	10	12
Component 1: Strengthening the baseline and identification of information needs in participating countries																		
1.1 Inception workshop																		
1.2 Identify initial guidance materials and existing studies and information needs																		
Component 2: Development of mercury inventories in participating countries																		
2.1 Develop and/or upgrade mercury inventories in each participating country																		
Component 3: Development of mercury risk management approaches and enhancement or regional understanding of key mercury challenges																		
3.1 Develop criteria and prioritize mercury sources in each participating country																		
3.2 Assess the regulatory aspect of mercury management in each participating country																		
3.3 Collect data of good quality on mercury levels in the environment, including biota and human, and mercury emissions at the source																		
3.4 Identify and/ or develop national mercury risk management approaches in each participating country																		
Component 4: Lessons learned																		
4.1 Compile regional lessons learned in key sectors and develop regional report and organize 1st lessons learned workshop																		
4.2 Develop and disseminate a final report on lessons learned report and organise last lessons learned workshop																		
4.3 Implement a Monitoring and Evaluation Plan																		
Project Management and supervision																		

APPENDIX 8

KEY DELIVERABLES AND BENCHMARKS

Key deliverables	Time line (months after project start)
1. Agreement between UNEP and the Uruguay Centre	1
2. Establishment of Project management Unit at the Uruguay Centre	1-2
3. Contact with National Focal Points. Establishment of National Coordination Committees (NCC) in project countries.	3
4. Inception meeting - convened by the Uruguay Centre.	3-4
5. Finalization and endorsement of the project workplan, budget and M&E plan	3-4
6. National technical assistants recruited	6
7. Existing materials and information on mercury identified and utilized	6
8. Number of key industrial sectors identified through regional consultation	6-8
9. Mercury inventories developed for each participating country	6-16
10. Number of regional laboratories able to perform mercury analysis defined	8-16
11. Mercury management gaps identified in key sectors	14-18
12. Assessment of regulatory aspects and means for mercury emissions control	14-18
13. Assessment of needs for mercury monitoring in humans and the environment at priority sites	14-16
14. Prioritized national risk management approaches for mercury reduction developed in all participating countries	20-28
15. Compilation of regional lessons learned report based on national inventories and risk management approaches	28-32
16. Workshop for participating countries on lessons learned and regional priority setting	28-30
17. Dissemination of lessons learned	36

APPENDIX 9
SUMMARY OF REPORTING REQUIREMENTS AND RESPONSIBILITIES

Reporting requirements	Due date	Responsibility of
Procurement plan (goods and services)	2 weeks before project inception meeting	Project Coordinator
Inception Report	1 month after project inception meeting	Project Coordinator
Progress report (technical and financial)	Half-yearly on or before 31 January	Project Coordinator
Project implementation review (PIR) report	Yearly on or before 31 August	Project Coordinator, UNEP TM and FMO
Minutes of steering committee meetings	Yearly (or as relevant)	Project Coordinator
Mission reports and “aide memoire” for executing agency	Within 2 weeks of return	UNEP TM
Final report	2 months of project completion date	Project Coordinator
Final expenditure statement	3 months of project completion date	Project Coordinator
Mid-term review or Mid-term evaluation	Midway though project	Project Coordinator
Independent terminal evaluation report	6 months of project completion date	UNEP TM in coordination with UNEP Evaluation Office (EO)
Yearly audits	3 months after each calendar year	Project Coordinator

APPENDIX 10
TERMS OF REFERENCE – STANDARD TERMINAL EVALUATION
Terminal Evaluation of the Project “Development of mercury risk management approaches in Latin America and Caribbean”

PROJECT BACKGROUND AND OVERVIEW

Project General Information¹²

Table 1. Project summary

GEF project ID:		IMIS number:	
Focal Area(s):		GEF OP #:	
GEF Strategic Priority/Objective:		GEF approval date:	
Approval date:		First Disbursement:	
Actual start date:		Planned duration:	
Intended completion date:		Actual or Expected completion date:	
Project Type:		GEF Allocation:	
PDF GEF cost:		PDF co-financing:	
Expected MSP/FSP Co-financing:		Total Cost:	

¹² Source: UNEP GEF Project Implementation Report (PIR) Fiscal Year 20XX

Mid-term review/eval. (planned date):		Terminal Evaluation (actual date):	
Mid-term review/eval. (actual date):		No. of revisions:	
Date of last Steering Committee meeting:		Date of last Revision*:	
Disbursement as of 30 June 20XX (UNEP):		Disbursement as of 30 June 20XX (UNDP):	
Total co-financing realized as of 30 June 2010:		Leveraged financing:	

Project Rationale

What are the problems the project intends to do something about and what is their context, what has already been done about them, what needs to be done to further resolve them...

Project objectives and components

The project's overall development goal is Its main objective is ... The project has five components, each with its own component objective as presented in table 2.

Table 2. Project components and component objectives

Components	Component objectives
<u>Component I</u> Name of component	
<u>Component II</u>	
<u>Component III</u>	
<u>Component IV</u>	
...	

The planned outputs under each component, as per the Logical Framework Matrix are presented in Annex 1 of the TORs. Component I of the project seeks to [describe in one paragraph].

Components II [describe in one paragraph]...

...

Executing Arrangements

...

Project Cost and Financing

Table 3 presents a summary of expected financing sources for the project as presented in the Project Document. The GEF provides US\$... of external financing to the project. This puts the project in the Medium-Size/Full-size Project category. The project is expected to mobilize another US\$... million in co-financing, mostly from Governments (US\$...), ..., and Table 3 also summarizes expected costs per component and financing sources.

The most recent Project Implementation Review (PIR) for fiscal year 20xx reports that by 30 June 20xx the project had effectively disbursed US\$... of the GEF grant to UNEP – close to ... percent. By then, the project had mobilized over US\$... in co-financing.

Table 3. Estimated project costs per component and financing source

Component	Co-financing Governments	Co-financing others	GEF	TOTAL	%
Comp I: ...					
Comp II: ...					
Comp III: ...					
Comp IV: ...					
Comp V: ...					
PDF (B)					
UNIDO Execution Fee					
Total Project Financing					100

Source: Project Document for CEO Approval – date

Project Implementation Issues

Logframe revisions? Partners bailing out? Extensions? Management issues?

A Mid-term Evaluation of the project was conducted by the UNEP Evaluation and Oversight Unit in [date]. The main issues identified at that time were...

TERMS OF REFERENCE FOR THE EVALUATION

Objective and Scope of the Evaluation

In line with the UNEP Evaluation Policy¹³, the UNEP Evaluation Manual¹⁴ and the Guidelines for GEF Agencies in Conducting Terminal Evaluations¹⁵, the terminal evaluation of the Project “Project Title (Acronym)” is undertaken at the end 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 learning, feedback, and knowledge sharing through results and lessons learned among UNEP, [other key partners] the GEF and their partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation. It will focus on the following sets of **key questions**, based on the project’s intended outcomes, which may be expanded by the consultants as deemed appropriate:

- (a) [Reformulate the project objectives into a question e.g. How successful was the project in supporting GCLME countries to establish an ecosystem-wide fisheries monitoring, assessment, and management system]
- (b) ...

Overall Approach and Methods

The terminal evaluation of the Project “Project Title (Acronym)” will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the UNEP GEF Coordination Office (Nairobi).

¹³ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

¹⁴ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationManual/tabid/2314/language/en-US/Default.aspx>

¹⁵ http://www.thegef.org/gef/sites/thegef.org/files/documents/TE_guidelines7-31.pdf

It 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 to determine project achievements against the expected outputs, outcomes and impacts.

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

- (c) A **desk review** of project documents¹⁶ including, but not limited to:
 - Relevant background documentation, inter alia UNEP and GEF policies, strategies and programmes pertaining to international/transboundary waters; [add any other relevant background docs];
 - Project design documents; Annual Work Plans and Budgets or equivalent, revisions to the logical framework and project financing;
 - Project reports such as progress and financial reports from countries to the EA and from the EA to UNEP; Steering Committee meeting minutes; annual Project Implementation Reviews and relevant correspondence;
 - The Mid-term Evaluation report;
 - Documentation related to project outputs such as: [add any relevant documented project outputs]
- (d) **Interviews**¹⁷ with:
 - Project management and execution support;
 - UNEP Task Manager and Fund Management Officer (Nairobi);
 - Country lead execution partners and other relevant partners;
 - Relevant staff of GEF Secretariat;
 - Representatives of other multilateral agencies (e.g. IMO, FAO) and other relevant organisations.
- (e) **Country visits.** The evaluation team will visit

Key Evaluation principles

Evaluation findings and judgements should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) to the extent possible, and when verification was not possible, the single source will be mentioned¹⁸. Analysis leading to evaluative judgements should always be clearly spelled out.

The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in four categories: (1) Attainment of objectives and planned results, which comprises the assessment of outputs achieved, relevance, effectiveness and efficiency and the review of outcomes towards impacts; (2) Sustainability and catalytic role, which focuses on financial, socio-political, institutional and ecological factors conditioning sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project lessons and good practices; (3) Processes affecting attainment of project results, which covers project preparation and readiness, implementation approach and management, stakeholder participation and public awareness, country ownership/driven-ness, project finance, UNEP supervision and backstopping, and project monitoring and evaluation systems; and (4) Complementarity with the UNEP strategies and programmes. The lead consultant can propose other evaluation criteria as deemed appropriate.

Ratings. All evaluation criteria will be rated on a six-point scale. However, complementarity of the project with the UNEP strategies and programmes is not rated. Annex 3 provides detailed guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

In attempting to attribute any outcomes and impacts to the project, 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 and trends in relation to the intended project outcomes and impacts. This 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 and trends is lacking. In such

¹⁶ Documents to be provided by the UNEP and UNDP are listed in Annex 7.

¹⁷ Face-to-face or through any other appropriate means of communication

¹⁸ Individuals should not be mentioned by name if anonymity needs to be preserved.

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.

As this is a terminal evaluation, particular attention should be given to learning from the experience. Therefore, the “**why?**” question should be at front of the consultants’ minds all through the evaluation exercise. This means that the consultants needs to go beyond the assessment of “what” the project performance was, and make a serious effort to provide a deeper understanding of “why” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 3). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “why things happened” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere assessment of “where things stand” today.

Evaluation criteria

Attainment of Objectives and Planned Results

The evaluation should assess the relevance of the project’s objectives and the extent to which these were effectively and efficiently achieved or are expected to be achieved.

- (f) *Achievement of Outputs and Activities:* Assess, for each component, the project’s success in producing the programmed outputs as presented in Table A1.1 (Annex 1), both in quantity and quality, as well as their usefulness and timeliness. Briefly explain the degree of success of the project in achieving its different outputs, cross-referencing as needed to more detailed explanations provided under Section 3 (which covers the processes affecting attainment of project objectives). The achievements under the regional and national demonstration projects will receive particular attention.
- (g) *Relevance:* Assess, in retrospect, whether the project’s objectives and implementation strategies were consistent with: i) Sub-regional environmental issues and needs; ii) the UNEP mandate and policies at the time of design and implementation; and iii) the relevant GEF focal areas, strategic priorities and operational programme(s).
- (h) *Effectiveness:* Appreciate to what extent the project has achieved its main objective **to ...** and its component objectives as presented in Table 2 above. To measure achievement, use as much as appropriate the indicators for achievement proposed in the Logical Framework Matrix (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project’s success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section 3.
- (i) *Efficiency:* Assess the cost-effectiveness and timeliness of project execution. Describe any cost- or time-saving measures put in place in attempting to bring the project to a successful conclusion within its programmed budget and (extended) time. Analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, compare the cost and time over results ratios of the project with that of other similar projects. 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.
- (j) *Review of Outcomes to Impacts (ROtI):* Reconstruct the logical pathways from project outputs over achieved objectives towards impacts, taking into account performance and impact drivers, assumptions and the roles and capacities of key actors and stakeholders, using the methodology presented in the GEF Evaluation Office’s ROtI Practitioner’s Handbook¹⁹ (summarized in Annex 8 of the TORs). Appreciate to what extent the project has to date contributed, and is likely in the future to further contribute to changes in stakeholder behaviour as regards: i) [deduce from the component objectives], ii) ... and the likelihood of those leading to changes in the natural resource

¹⁹ http://www.thegef.org/gef/sites/thegef.org/files/documents/Impact_Eval-Review_of_Outcomes_to_Impacts-RotI_handbook.pdf

base and benefits derived from the environment: a) [deduce from project main objective and overall development objective]; b)....

Sustainability and catalytic role

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

Four aspects of sustainability will be addressed:

- (k) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main national and regional stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and stakeholder awareness, interests, commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?
- (l) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on continued financial support? What is the likelihood that adequate financial resources²⁰ will be or will become available to implement the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (m) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources?
- (n) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?

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

- (o) *catalyzed behavioural changes* in terms of use and application by the relevant stakeholders of: i) technologies and approaches show-cased by the demonstration projects; ii) strategic programmes and plans developed; and iii) assessment, monitoring and management systems established at a national and sub-regional level;
- (p) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

²⁰ Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

- (q) contributed to *institutional changes*. An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in the regional and national demonstration projects;
- (r) contributed to *policy changes* (on paper and in implementation of policy);
- (s) contributed to sustained follow-on financing (*catalytic financing*) from Governments, the GEF or other donors;
- (t) created opportunities for particular individuals or institutions (“*champions*”) to catalyze change (without which the project would not have achieved all of its results).

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

Processes affecting attainment of project results

Preparation and Readiness. Were the project’s objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? Were lessons learned and recommendations from Steering Committee meetings adequately integrated in the project approach? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were GEF environmental and social safeguards considered when the project was designed²¹?

Implementation Approach and Adaptive Management. This includes an analysis of approaches used by the project, its management framework, the project’s adaptation to changing conditions (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (u) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (v) Assess the role and performance of the units and committees established and the project execution arrangements at all levels;
- (w) Assess the extent to which the project implementation met GEF environmental and social safeguards requirements.
- (x) Evaluate the effectiveness and efficiency of project management by the EA and how well the management was able to adapt to changes during the life of the project;
- (y) Assess the extent to which project management responded to direction and guidance provided by the Steering Committee and IA supervision recommendations;
- (z) Identify administrative, operational and/or technical problems and constraints that influenced the effective implementation of the project, and how the project partners tried to overcome these problems;

²¹ <http://www.thegef.org/gef/node/4562>

- (aa) Assess the extent to which MTE recommendations were followed in a timely manner.

Stakeholder²² Participation and Public Awareness. The term stakeholder should be considered in the broadest sense, encompassing project partners, government institutions, private interest groups, local communities etc. The assessment will look at three related and often overlapping processes: (1) information dissemination between stakeholders, (2) consultation between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (bb) the approach(es) used to identify and engage stakeholders in project design and implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities? What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during the course of implementation of the project?
- (cc) the degree and effectiveness of any public awareness activities that were undertaken during the course of implementation of the project; or that are built into the assessment methods so that public awareness can be raised at the time the assessments will be conducted;
- (dd) how the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) engaged key stakeholders in natural resource management etc..

The ROTI analysis should assist the consultants in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathway from activities to achievement of outputs and objectives to impact.

Country Ownership and Driven-ness. The evaluation will assess the performance of the Governments of the countries involved in the project, namely:

- (ee) in how the Governments have assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various contact institutions in the countries involved in the project and the timeliness of provision of counter-part funding to project activities;
- (ff) to what extent the political and institutional framework of the participating countries has been conducive to project performance. Look, in particular, at the extent of the political commitment to enforce (sub-) regional agreements promoted under the project;
- (gg) to what extent the Governments have promoted the participation of communities and their non-governmental organisations in the project; and
- (hh) how responsive the Governments were to UNIDO coordination and guidance, to UNDP and UNEP supervision and Mid-Term Evaluation recommendations.

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

- (ii) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (jj) Appreciate other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;

²² Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or stake in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (kk) Present to what extent co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
- (ll) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken by the EA or IA to prevent such irregularities in the future. Appreciate whether the measures taken were adequate.

UNEP Supervision and Backstopping. The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make. The evaluators should assess the effectiveness of supervision and administrative and financial support provided by UNEP including:

- (mm) The adequacy of project supervision plans, inputs and processes;
- (nn) The emphasis given to outcome monitoring (results-based project management);
- (oo) The realism and candour of project reporting and ratings (i.e. are PIR ratings an accurate reflection of the project realities and risks);
- (pp) The quality of documentation of project supervision activities; and
- (qq) Financial, administrative and other fiduciary aspects of project implementation supervision.

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

- (rr) *M&E Design.* Projects should have sound M&E plans to monitor results and track progress towards achieving project objectives. An M&E plan should include a baseline (including data, methodology, etc.), SMART indicators and data analysis systems, and evaluation studies at specific times to assess results. The time frame for various M&E activities and standards for outputs should have been specified. The evaluators should use the following questions to help assess the M&E design aspects:
 - Quality of the project logframe as a planning and monitoring instrument; analyse/compare logframe in Project Document, revised logframe (2008) and logframe used in Project Implementation Review reports to report progress towards achieving project objectives;
 - SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
 - Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable?
 - Arrangements for monitoring: Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the

frequency of various monitoring activities specified and adequate? In how far were project users involved in monitoring?

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

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

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- annual project reports and Progress Implementation Review (PIR) reports were complete, accurate and with well justified ratings;
- the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs;
- projects had an M&E system in place with proper training, instruments and resources for parties responsible for M&E.

Complementarities with UNEP strategies and programmes

UNEP aims to undertake GEF funded projects that are aligned with its own strategies. The evaluation should present a brief narrative on the following issues:

- (tt) *Linkage to UNEP's Expected Accomplishments and POW 2010-2011.* The UNEP MTS specifies desired results in six thematic focal areas. The desired results are termed Expected Accomplishments. Using the completed ROTI analysis, the evaluation should comment on whether the project makes a tangible contribution to any of the Expected Accomplishments specified in the UNEP MTS. The magnitude and extent of any contributions and the causal linkages should be fully described. Whilst it is recognised that UNEP GEF projects designed prior to the production of the UNEP Medium Term Strategy (MTS)²³/ Programme of Work (POW) 2010/11 would not necessarily be aligned with the Expected Accomplishments articulated in those documents, complementarities may still exist.
- (uu) *Alignment with the Bali Strategic Plan (BSP)*²⁴. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- (vv) *Gender.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Appreciate whether the intervention is likely to have any lasting differential impacts on gender equality and the relationship between women and the environment. To what extent do unresolved gender inequalities affect sustainability of project benefits?
- (ww) *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

²³ <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf>

²⁴ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

The Consultants' Team

For this evaluation, a team of ... independent consultants will be hired, preferably of mixed gender, at least one of which is from the project sub-region. The evaluation team will combine the following expertise and experience:

- (xx) Evaluation of environmental projects
- (yy) Expertise in ...
- (zz) Extensive knowledge of ...
- (aaa) ...

The **Team Leader** will be responsible for coordinating the data collection and analysis phase of the evaluation, and preparing the main report. (S)He will ensure that all evaluation criteria are adequately covered by the team. **Annex 6** provides a matrix which presents the distribution of responsibilities between evaluation team members (to be finalized in consultation with the Team Leader).

The **Supporting Consultant** will prepare a technical working paper that will be appended to the main report, the content of which will be agreed upon with the Team Leader. The Supporting Consultant is also expected to contribute to selected sections of the main report as agreed with the Team Leader, and provide constructive comments on the draft report prepared by the Team Leader.

By undersigning the service contract with UNEP/UNON, the consultants 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 their contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

The Team Leader will prepare an **inception report** containing a thorough review of the project design quality and the evaluation framework. The review of design quality will cover the following aspects:

- Project relevance (see paragraph 20 (b));
- A desk-based Theory of Change of the project (see Annex 8 - ROtI analysis);
- Sustainability consideration (see paragraphs 21-22) and measures planned to promote replication and upscaling (see paragraph 23);
- Preparation and readiness (see paragraph 25);
- Financial planning (see paragraph 30);
- M&E design (see paragraph 33(a));
- Complementarities with UNEP strategies and programmes (see paragraph 34);
- Using the above, complete and assessment of the overall quality of the project design (see Annex 9);
- The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. A draft schedule for the evaluation process should be presented.

The evaluation framework will present in further detail the evaluation questions under each criterion with their respective indicators and data sources. The inception report will be submitted for review by the Evaluation Office before the evaluation team conducts any field visits.

The main evaluation report should be brief (no longer than 35 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate.

Technical working paper. The format and contents of the working paper prepared by the Supporting Consultants should be agreed upon with the Team Leader and approved by the UNEP Evaluation Office before any data collection and analysis work is undertaken. It is recommended that the working papers follow the same structure as the main evaluation report, for easy reference by the Team Leader (Annex 2). The Team Leader will carry out a first review of the working papers and provide comments to the Supporting Consultants for improvement. Only a version acceptable to the Team Leader will be submitted to the EO as an appendix to the draft main report.

Report summary. The Team Leader will prepare a 15-slide presentation summarizing the key findings, lessons learned and recommendations of the evaluation. This presentation will be presented at the final Steering Committee meeting of the project (tentatively planned ...). The purpose of this presentation is to engage the main project partners in a discussion on the evaluation results.

Review of the draft evaluation report. The Team Leader will submit the zero draft report latest by ...2011 to the UNEP EO and revise the draft following the comments and suggestions made by the EO. The EO will then share the first draft report with the UNEP GEF Coordination Office (Nairobi) and the UNEP Division for [where the Task Manager is located]. The UNEP Task Manager will forward the first draft report to the other project stakeholders, in particular [add relevant partners] for review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the Team Leader for consideration in preparing the final draft report. The Team Leader will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The Team Leader will prepare a **response to comments** that contradict the findings of the evaluation team and could therefore not be accommodated in the final report. This response will be shared by the EO with the interested stakeholders to ensure full transparency.

Consultations will be held between the consultants, EO staff, the UNEP/GEF, UNEP/[relevant Division], and key members of the project execution team. These consultations will seek feedback on the proposed recommendations and lessons.

Submission of the final Terminal Evaluation report. The final report shall be submitted by Email to:

Segbedzi Norgbey, Head
UNEP Evaluation Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel.: (+254-20) 762 3387
Email: segbedzi.norgbey@unep.org

The Head of Evaluation will share the report with the following persons:

Maryam Niamir-Fuller, Director
UNEP/GEF Coordination Office
P.O. Box 30552-00100
Nairobi, Kenya
Tel: (+254-20) 762 4686
Email: maryam.niamir-fuller@unep.org

Tim Kasten, Head
UNEP DTIE Chemicals Branch
International Environment House 1
13, chemin des Anémones
CH-1219 Chatelaine, Geneva
Switzerland
Phone: +41 22 917 81 83
Email: tim.kasten@unep.org

Jorge Ocana
Task Manager - POPs and Chemicals
UNEP - DTIE (Chemicals Branch / GEF Operations)
Chemin des Anemones 11-15
Chatelaine, 1219 Geneva
Switzerland
Tel: +41 22 917 8195
Email: Jorge.ocana@unep.org

The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou and may be printed in hard copy. Subsequently, the report will be sent to the GEF Office of Evaluation for their review, appraisal and inclusion on the GEF website.

As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against both GEF and UNEP criteria as presented in Annex 5.

The UNEP Evaluation Office will also prepare a **commentary** on the final evaluation report, which presents the EO ratings of the project based on a careful review of the evidence collated by the evaluation team and the internal consistency of the report. These ratings are the final ratings that the UNEP Evaluation Office will submit to the GEF Office of Evaluation.

Resources and Schedule of the Evaluation

This Terminal Evaluation will be undertaken by three independent evaluation consultants contracted by the UNEP Evaluation Office. The consultants will work under the overall responsibility of the UNEP Evaluation Office and they will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their travel, obtain documentary evidence, meetings with stakeholders, field visits, and any other logistical matters related to their assignment. The UNEP Task Manager, UNDP Regional Technical Advisor, UNDP Country Offices and regional and national project staff will provide logistical support (introductions, meetings, transport, lodging etc.) for the country visits where necessary, allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The **Team Leader** will be hired for X weeks. (S)He will travel to

The **Supporting Consultant** will be hired for Y weeks. (S)he will travel to ...

Schedule Of Payment

Lump Sum.

The consultants will be hired under an individual Special Service Agreement (SSA). The fee will be estimated as a lumpsum, inclusive of all expenses such as travel, accommodation and incidental expenses.

The consultants will receive an initial payment covering the travel costs upon signature of the contract.

Fee ONLY.

The consultant will be hired under an individual Special Service Agreement (SSA) and is NOT inclusive of all expenses such as airfares, in-country travel, accommodation, incidental and terminal expenses. Air tickets will be paid separately by UNEP and 75% of the DSA for each authorised travel mission will be paid up front. Local in-

country travel and communication costs will be reimbursed on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

The Team Leader will receive 40% of the honorarium portion of his/her fee upon acceptance of a draft report deemed complete and of acceptable quality by the EO. The remainder will be paid upon satisfactory completion of the work.

The Supporting Consultant will be paid the honoraria in one single payment upon satisfactory completion of their work. The Team Leader will advise the EO whether the Supporting Consultant has provided satisfactory inputs in the evaluation.

In case the consultants are not able to provide the deliverables in accordance with these TORs, in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld at the discretion of the Head of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

If the consultants fail to submit a satisfactory final product to UNEP in a timely manner, i.e. within one month after 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. Project outputs and demonstration projects

Table A1.1. Project components and outputs

Component	Outputs
<u>Component I</u>	Output 1.1:
...	Output 1.2:
	...
<u>Component II</u>	Output 2.1:
...	Output 2.2:
	...
<u>Component III</u>	Output 3.1:
...	Output 3.2:
	...
...	...

Table A1.2. Demonstration projects under the project

Demonstration project	Scope	Component
1.		
2.		
3.		
4.		
5.		
6.		
7.		
8.		
9.		

Annex 2. Annotated Table of Contents of the Main Report

Project Identification Table	An updated version of the table in Section I.A. of these TORs
Executive Summary	Overview of the main findings, conclusions and recommendations of the evaluation. It should encapsulate the essence of the information contained in the report to facilitate dissemination and distillation of lessons. The main points for each evaluation parameter should be presented here (with a summary ratings table), as well as the most important lessons and recommendations. Maximum 4 pages.
I. Evaluation Background	
A. Context	A. Overview of the broader institutional and country context, in relation to the project's objectives.
B. The Project	B. Presentation of the project: rationale, objectives, components, intervention areas and target groups, milestones in design, implementation and completion, implementation arrangements and main partners, financing (amounts and sources), modifications to design before or during implementation.
C. Evaluation objectives, scope and methodology	C. Presentation of the evaluation's purpose, evaluation criteria and key questions, evaluation timeframe, data collection and analysis instruments used, places visited, types of stakeholders interviewed, and limitations of the evaluation.
II. Project Performance and Impact	
A. Attainment of objectives and planned results B. Sustainability and catalytic role C. Processes affecting attainment of project results D. Complementarity with UNEP, UNDP and UNIDO programmes and strategies	This section is organized according to the 4 categories of evaluation criteria (see section D of these TORs) and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.
III. Conclusions and Recommendations	
A. Conclusions	This section should summarize the main findings of the evaluation, told in a logical sequence from cause to effect. It is suggested to start with the positive achievements and a short explanation why these could be achieved, and, then, to present the less successful aspects of the project with a short explanation why. The conclusions section should end with the overall assessment of the project. Findings should be cross-referenced to the main text of the report (using the paragraph numbering). The overall ratings table should be inserted here (see Annex 2).
B. Lessons Learned	Lessons learned should be anchored in the main findings of the evaluation. In fact, no lessons should appear which are not based upon a conclusion of the evaluation. The number of lessons learned should be limited. Lessons learned are rooted in real project experiences, i.e. based on good practices and successes which could be replicated or derived from problems encountered and mistakes made which should be avoided in the future. Lessons learned must have the potential for wider application and use. Lessons should briefly describe the context from which they are derived and specify the contexts in which they may be useful.

C. Recommendations	As for the lessons learned, all recommendations should be anchored in the conclusions of the report, with proper cross-referencing, and their number should be limited to 3 or 4. Recommendations are actionable proposals on how 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), specific in terms of who would do what and when, and set a measurable performance target. In some cases, it might be useful to propose options, and briefly analyze the pros and cons of each option.
Annexes	<p>These may include additional material deemed relevant by the evaluator but must include:</p> <ol style="list-style-type: none"> 1. Evaluation TORs 2. The evaluation framework (second part of the inception report) 3. Evaluation program, containing the names of locations visited and the names (or functions) of people met 4. Bibliography 5. Summary co-finance information and a statement of project expenditure by activity (See annex of these TORs) 6. The review of project design (first part of the inception report) 7. Technical working paper 8. Brief CVs of the consultants <p>TE reports will also include any formal response/ comments from the project management team and/ or the country focal point regarding the evaluation findings or conclusions as an annex to the report, however, such will be appended to the report by UNEP Evaluation Office.</p>

Examples of UNEP GEF Terminal Evaluation Reports are available at www.unep.org/eou.

ANNEX 3. EVALUATION RATINGS

The evaluation will provide individual ratings for the evaluation criteria described in section II.D. of these TORs. Some criteria contain sub-criteria which require separate ratings (i.e. sustainability and M&E). Furthermore, an aggregated rating will be provided for Relevance, effectiveness and efficiency under the category “Attainment of project objectives and results”.

Most criteria will be 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 is rated from Highly Likely (HL) down to Highly Unlikely (HU).

In the conclusions section of the report, ratings will be presented together in a table, with a brief justification cross-referenced to the findings in the main body of the report. Please note that the order of the evaluation criteria in the table will be slightly different from the order these are treated in the main report; this is to facilitate comparison and aggregation of ratings across GEF project evaluation reports.

CRITERION	SUMMARY ASSESSMENT	RATING
A. Attainment of project objectives and results		HS → HU
1. Effectiveness		HS → HU
2. Relevance		HS → HU
3. Efficiency		HS → HU
B. Sustainability of project outcomes		HL → HU
1. Financial		HL → HU
2. Socio-political		HL → HU
3. Institutional framework		HL → HU
4. Environmental		HL → HU
C. Catalytic role		HS → HU
D. Stakeholders involvement		HS → HU
E. Country ownership / driven-ness		HS → HU
F. Achievement of outputs and activities		HS → HU
G. Preparation and readiness		HS → HU
H. Implementation approach		HS → HU
I. Financial planning and management		HS → HU
J. Monitoring and Evaluation		HS → HU
1. M&E Design		HS → HU
2. M&E Plan Implementation		HS → HU
3. Budgeting and funding for M&E activities		HS → HU
K. UNEP and UNDP Supervision and backstopping		HS → HU
1. UNEP		HS → HU
2. UNDP		HS → HU

Rating of Attainment of project objectives and results. A compound rating is given to the category based on the assessment of relevance, effectiveness and efficiency. This aggregated rating is not a simple average of the separate ratings given to the evaluation criteria, but an overall judgement by the consultants. Relevance and effectiveness, however, will be considered as critical criteria. This means that the aggregated rating for Attainment of objectives and results may not be higher than the lowest rating on either of these two criteria.

Ratings on sustainability. According to the GEF Office of Evaluation, all the dimensions of sustainability are deemed critical. Therefore, the overall rating for sustainability will not be higher than the lowest rating on the separate dimensions.

Ratings of monitoring and evaluation. The M&E system will be rated on M&E design, M&E plan implementation, and budgeting and funding for M&E activities (the latter sub-criterion is covered in the main report under M&E design) as follows:

Highly Satisfactory (HS): There were no shortcomings in the project M&E system.

Satisfactory(S): There were minor shortcomings in the project M&E system.

Moderately Satisfactory (MS): There were moderate shortcomings in the project M&E system.

Moderately Unsatisfactory (MU): There were significant shortcomings in the project M&E system.

Unsatisfactory (U): There were major shortcomings in the project M&E system.

Highly Unsatisfactory (HU): The Project had no M&E system.

M&E plan implementation will be considered critical for the overall assessment of the M&E system. Thus, the overall rating for M&E will not be higher than the rating on M&E plan implementation.

Annex 4. Project costs and co-financing tables

Project Costs

Component/sub-component	Estimated cost at design	Actual Cost	Expenditure ratio (actual/planned)

Co-financing

Co financing (Type/Source)	IA own Financing (mill US\$)		Government (mill US\$)		Other* (mill US\$)		Total (mill US\$)		Total Disbursed (mill US\$)
	Planned	Actual	Planned	Actual	Planned	Actual	Planned	Actual	
- Grants									
- Loans									
- Credits									
- Equity investments									
- In-kind support									
- Other (*)									
-									
-									
Totals									

* This refers to contributions mobilized for the project from other multilateral agencies, bilateral development cooperation agencies, NGOs, the private sector and beneficiaries.

Annex 5. Quality Assessment of the Evaluation Report

All UNEP evaluation reports are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants. The quality of the draft evaluation report is assessed and rated against the following criteria:

GEF Report Quality Criteria	UNEP EO Assessment	Rating
A. Did the report present an assessment of relevant outcomes and achievement of project objectives in the context of the focal area program indicators if applicable?		
B. Was the report consistent and the evidence complete and convincing and were the ratings substantiated when used?		
C. Did the report present a sound assessment of sustainability of outcomes?		
D. Were the lessons and recommendations supported by the evidence presented?		
E. Did the report include the actual project costs (total and per activity) and actual co-financing used?		
F. Did the report include an assessment of the quality of the project M&E system and its use for project management?		
UNEP additional Report Quality Criteria		
G. Quality of the lessons: Were lessons readily applicable in other contexts? Did they suggest prescriptive action?		
H. Quality of the recommendations: Did recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented? Did the recommendations specify a goal and an associated performance indicator?		
I. Was the report well written? (clear English language and grammar)		
J. Did the report structure follow EOU guidelines, were all requested Annexes included?		
K. Were all evaluation aspects specified in the TORs adequately addressed?		
L. Was the report delivered in a timely manner		

$$\text{Quality} = (2 * (0.3 * (A + B) + 0.1 * (C + D + E + F)) + 0.3 * (G + H) + 0.1 * (I + J + K + L)) / 3$$

The Totals are rounded and converted to the scale of HS to HU

Rating system for quality of Terminal Evaluation reports: A number rating between 1 and 6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1.

Annex 6 – Matrix for Distribution of responsibilities and tasks among evaluation consultants

L: Lead assessor

S: Support in data collection and analysis

Evaluation Criteria		Team Leader	Supporting Consultant 1	Supporting Consultant 2
Attainment of Objectives and Planned Results	Achievement of Outputs and Activities	See table below		
	Relevance	L		
	Effectiveness			
	<ul style="list-style-type: none"> Achievement of main objective 	L		
	<ul style="list-style-type: none"> Achievement of component objectives: 			
	<ul style="list-style-type: none"> o Component I 	L		
	<ul style="list-style-type: none"> o Component II 		L	
	<ul style="list-style-type: none"> o Component III 			L
	<ul style="list-style-type: none"> o Component IV 		L	
	<ul style="list-style-type: none"> o Component V 	L		
	Efficiency	L		
	Review of Outcomes to Impacts (ROtI)	L	S	S
Sustainability and catalytic role	Socio-political sustainability	L		
	Financial resources	L		
	Institutional framework	L		
	Environmental sustainability			L
	Catalytic Role and Replication	L		
Processes affecting attainment of project results	Preparation and Readiness	L		
	Implementation Approach and Adaptive Management	L		
	Stakeholder Participation and Public Awareness	L		
	Country Ownership and Driven-ness	L		
	Financial Planning and Management	L		
	UNEP and UNDP Supervision and Backstopping	L		
	Monitoring and Evaluation	L		
Complementarities with the UNEP Medium Term Strategy and Programme of Work	Linkage to UNEP's EAs and POW 2010-2011	L		
	Alignment with the Bali Strategic Plan (BSP)	L		
	South-South Cooperation	L		

	Achievement of Outputs and Activities	Team Leader	Supporting Consultant 1	Supporting Consultant 2
Component I	Output 1.1: Filling of gaps in regional monitoring methods/standards/etc. by training and at-sea demonstrations for contaminant levels in water, sediments, and biota.		L	
	Output 1.2: Identifying and filling of gaps in the TDA, including biodiversity, socio-economic conditions, legal/regulatory review, stakeholder analysis, hot spots, contaminant levels	L		
	Output 1.3: Updating of TDA following filling of gaps	L		
	Output 1.4: Preparation and endorsement of National Risk management approaches	L		
	Output 1.5: Finalizing and endorsement of regional Strategic Action Programme using methodological guidance from Train-Sea-Coast TDA/SAP course	L		

	Output 1.6: Holding of donors' conference to mobilize commitments to SAP implementation	L		
	Output 1.7: Formulation of arrangements for sustainable financing of ecosystem management of the GCLME	L		
	Output 1.8: Development and recommendation of economic instruments and incentives to promote preventive measures to decrease both land and sea-based sources of pollution as well as promote adequate ecosystem management in the region		L	
<u>Component II</u>	Output 2.1: Demonstration of ecosystem-wide stock assessment methods including regional surveys (Regional Demonstration Project)		L	
	Output 2.2: Development of methods and estimates for sustainable yields for dominant commercially-important fisheries species		L	
	Output 2.3: Evaluation of productivity with regards to its carrying capacity for living marine resources of the ecosystem (Regional Demonstration Project)		L	
	Output 2.4: Development of Regional Agreements and Guinea Current Commission		L	
	Output 2.5: Assessment and modifications drafted to the National legal Frameworks to achieve sustainable fisheries		L	
	Output 2.6: Development of fisheries Management Plans for at least three fisheries		L	
	Output 2.7: Assessment of existing coastal aquaculture and mariculture and determination of ecosystem sustainable capacity for future development, including identification of investments and legislation for SAP		L	
<u>Component III</u>	Output 3.1: Development of GCLME Ecosystem-wide Biodiversity Risk management approaches, including Protected Areas based on Biodiversity Risk management approaches (National Demonstration Project)			L
	Output 3.2: Demonstration of establishment of Marine Protected Area in Benin [BENIN]			L
	Output 3.3: Demonstration of restoration of priority mangrove areas (National Demonstration Project Nigeria Nyapa Palm) [NIGERIA]			L
	Output 3.4: Demonstration of use of Integrated Coastal Area and River Basin Management (ICARM) and assessment of Physical Alteration and Destruction of Habitat (PADH) for habitat protection (National Demonstration Project Cameroun) [CAMEROUN]			L
	Output 3.5: Assessment of status of introduced species and their threats to the biodiversity of the GCLME region; development of legal/regulatory mechanisms for their control, including promoting adoption and/or ratification of new international Convention on Ballast Water and Sediments.			L
	Output 3.6: Performing of analysis of gaps in national legislation and drafting of improvements to legislation regarding key elements of biodiversity identified in the TDA, and habitats			L
	Output 3.7: Development of cost-effective mitigation strategies for restoring natural littoral sediment flow/budget protection of shorelines and critical coastal habitats, including studies, investments for SAP, and legal/regulatory mechanisms (National Demonstration Project) [COTE D'IVOIRE]			L

<u>Component IV</u>	Output 4.1: Facilitation of development of regionally-integrated and consistent National Programmes of Action for Land-Based Activities (NPA-LBA), including updating inventories of pollution and habitat hot spots		L	
	Output 4.2: Integration of NPA-LBA into NAPs		L	
	Output 4.3: Development of a protocol on LBA for the Abidjan Convention		L	
	Output 4.4: Completion of ecosystem-wide assessment of marine maritime pollution prevention measures, contingency planning, and spill response capabilities		L	
	Output 4.5: Development of regional systems for cooperation in cases of oil spills and any other major marine pollution incidents (customs, communications, response, liability and compensation)		L	
	Output 4.6: Facilitation of process to reform legislation in selected countries to adopt and implement international conventions (e.g., MARPOL, OPRC) as related to oil and gas activities		L	
	Output 4.7: Strengthening, improvement, and demonstration of methods to reduce nutrient influx to the ecosystem (National Demonstration Project) [TOGO]		L	
	Output 4.8: Development of investment opportunities for the SAP to reduce ecosystem threats identified in the updated TDA (National Demonstration Project) [GHANA]		L	
<u>Component V</u>	Output 5.1: Development of a regional project coordination mechanism	L		
	Output 5.2: Development of effective Steering Committee	L		
	Output 5.3: Establishment of Intersectoral/ Interministerial/ Ministerial Coordination	L		
	Output 5.4: Identification, strengthening and involvement of stakeholders and communication	L		
	Output 5.5: Development of Ecosystem Information System (EIS) for GCLME, including cooperation with other available regional EIS (Regional Demonstration Project)			L
	Output 5.6: Monitoring and Evaluation (M&E)	L		
	Output 5.7: Development of regional coordination mechanism (an Interim Guinea Current Commission, followed by establishment of a full-fledged Commission)	L		
	Output 5.8: Capacity building for the IGCC/GCC	L		

Annex 7. Documentation list for the evaluation to be provided by the UNEP Task Manager

- Project design documents
- Project supervision plan, with associated budget
- Correspondence related to project
- Supervision mission reports
- Steering Committee meeting documents, including agendas, meeting minutes, and any summary reports
- Project progress reports, including financial reports submitted
- Cash advance requests documenting disbursements
- Annual Project Implementation Reports (PIRs)
- Management memos related to project
- Other documentation of supervision feedback on project outputs and processes (e.g. comments on draft progress reports, etc.).
- Extension documentation. Has a project extension occurred?
- Project revision documentation.
- Budget revision documentation.
- Project Terminal Report (draft if final version not available)

Annex 8. Introduction to Theory of Change / Impact pathways, the ROtI Method and the ROtI Results Score sheet

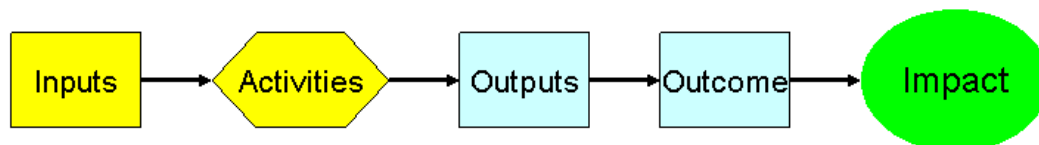
Terminal evaluations of projects are conducted at, or shortly after, project completion. At this stage it is normally possible to assess the achievement of the project's outputs. However, the possibilities for evaluation of the project's outcomes are often more limited and the feasibility of assessing project **impacts** at this time is usually severely constrained. Full impacts often accrue only after considerable time-lags, and it is common for there to be a lack of long-term baseline and monitoring information to aid their evaluation. Consequently, substantial resources are often needed to support the extensive primary field data collection required for assessing impact and there are concomitant practical difficulties because project resources are seldom available to support the assessment of such impacts when they have accrued – often several years after completion of activities and closure of the project.

Despite these difficulties, it is possible to enhance the scope and depth of information available from Terminal Evaluations on the achievement of results **through rigorous review of project progress along the pathways from outcome to impact**. Such reviews identify the sequence of conditions and factors deemed necessary for project outcomes to yield impact and assess the current status of and future prospects for results. In evaluation literature these relationships can be variously described as 'Theories of Change', Impact 'Pathways', 'Results Chains', 'Intervention logic', and 'Causal Pathways' (to name only some!).

Theory of Change (ToC) / impact pathways

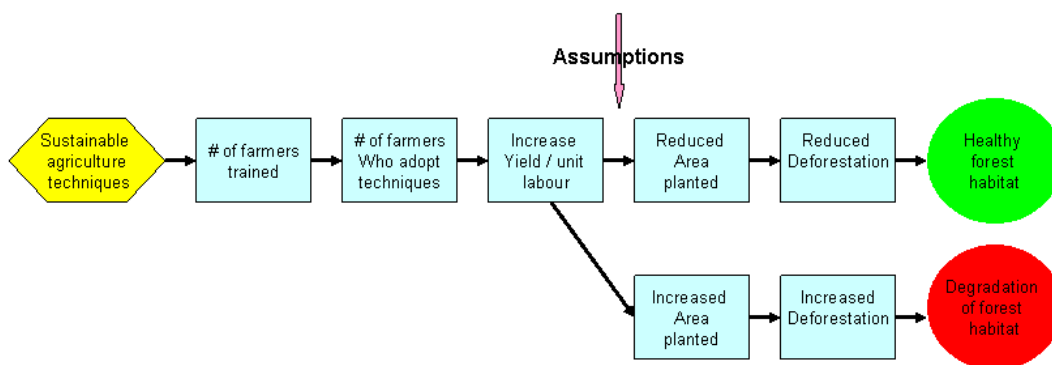
Figure 1 shows a generic impact pathway which links the standard elements of project logical frameworks in a graphical representation of causal linkages. When specified with more detail, for example including the key users of outputs, the processes (the arrows) that lead to outcomes and with details of performance indicators, analysis of impact pathways can be invaluable as a tool for both project planning and evaluation.

Figure 1. A generic results chain, which can also be termed an 'Impact Pathway' or Theory of Change.



The pathways summarise casual relationships and help identify or clarify the assumptions in the intervention logic of the project. For example, in the Figure 2 below the eventual impact depends upon the behaviour of the farmers in using the new agricultural techniques they have learnt from the training. The project design for the intervention might be based on the upper pathway assuming that the farmers can now meet their needs from more efficient management of a given area therefore reducing the need for an expansion of cultivated area and ultimately reducing pressure on nearby forest habitat, whereas the evidence gathered in the evaluation may in some locations follow the lower of the two pathways; the improved farming methods offer the possibility for increased profits and create an incentive for farmers to cultivate more land resulting in clearance or degradation of the nearby forest habitat.

Figure 2. An impact pathway / TOC for a training intervention intended to aid forest conservation.



The GEF Evaluation Office has recently developed an approach that builds on the concepts of theory of change / causal chains / impact pathways. The method is known as Review of Outcomes to Impacts (ROtI)²⁵ and has three distinct stages:

- a. Identifying the project's intended impacts
- b. Review of the project's logical framework
- c. Analysis and modelling of the project's outcomes-impact pathways

The **identification of the projects intended impacts** should be possible from the 'objectives' statements specified in the official project document. The next stage is to **review the project's logical framework** to assess whether the design of the project is consistent with, and appropriate for, the delivery of the intended impact. The method requires verification of the causal logic between the different hierarchical levels of the logical framework moving 'backwards' from impacts through outcomes to the outputs; the activities level is not formally considered in the ROtI method²⁶. The aim of this stage is to develop an understanding of the causal logic of the project intervention and to identify the key 'impact pathways'. In reality such process are often complex; they often involve multiple actors and decision-processes and are subject to time-lags, meaning that project impact often accrue long after the completion of project activities.

The third stage involves analysis of the 'impact pathways' that link project outcomes to impacts. The pathways are analysed in terms of the '**assumptions**' and '**impact drivers**' that underpin the processes involved in the transformation of outcomes to impacts via **intermediate states** (see Figure 3). Project outcomes are the direct intended results stemming from the outputs, and they are likely to occur either towards the end of the project or in the short term following project completion. **Intermediate states** are the transitional conditions between the project's immediate outcomes and the intended impact. They are necessary conditions for the achievement of the intended impacts and there may be more than one intermediate state between the immediate project outcome and the eventual impact.

Impact drivers are defined as the significant factors that if present are expected to contribute to the realization of the intended impacts and **can be influenced** by the project / project partners & stakeholders. **Assumptions** are the significant factors that if present are expected to contribute to the realization of the intended impacts but are largely **beyond the control of the project** / project partners & stakeholders. The impact drivers and assumptions are ordinarily considered in Terminal Evaluations when assessing the sustainability of the project.

Since project logical frameworks do not often provide comprehensive information on the processes by which project outputs yield outcomes and eventually lead, via 'intermediate states' to impacts, the impact pathways need to be carefully examined and the following questions addressed:

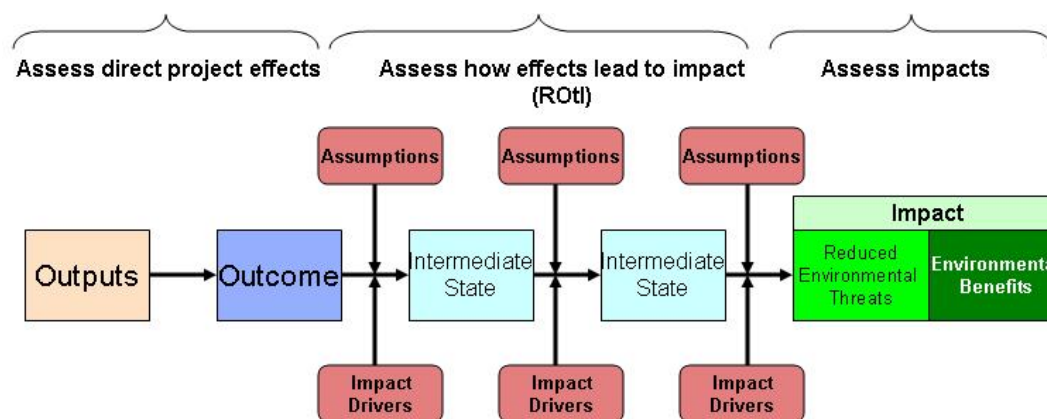
- Are there other causal pathways that would stem from the use of project outputs by other potential user groups?
- Is (each) impact pathway complete? Are there any missing intermediate states between project outcomes and impacts?
- Have the key impact drivers and assumptions been identified for each 'step' in the impact pathway.

Figure 3. A schematic 'impact pathway' showing intermediate states, assumptions and impact drivers (adapted from GEF EO 2009).

²⁵ GEF Evaluation Office (2009). ROtI: Review of Outcomes to Impacts Practitioners Handbook.

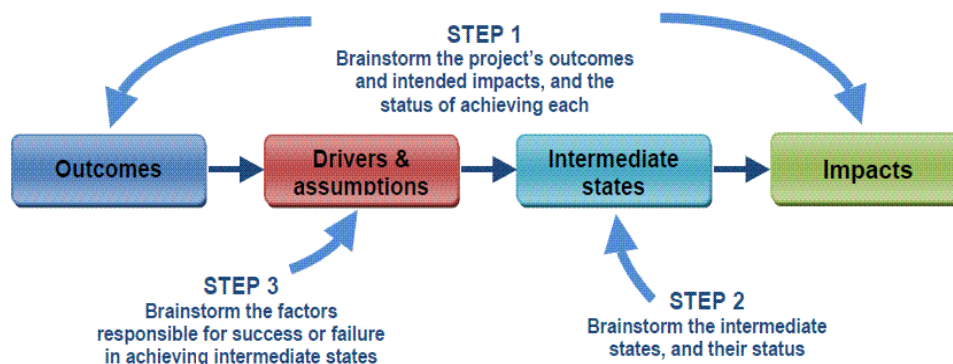
http://www.gefweb.org/uploadedFiles/Evaluation_Office/OPS4/RotI%20Practitioners%20Handbook%2015%20June%202009.pdf

²⁶ Evaluation of the efficiency and effectiveness in the use of resources to generate outputs is already a major focus within UNEP Terminal Evaluations.



The process of identifying the impact pathways and specifying the impact drivers and assumptions can be done as a desk exercise by the evaluator or, preferably, as a group exercise, led by the evaluator with a cross-section of project stakeholders as part of an evaluation field mission or both. Ideally, the evaluator would have done a desk-based assessment of the project's theory of change and then use this understanding to facilitate a group exercise. The group exercise is best done through collective discussions to develop a visual model of the impact pathways using a card exercise. The component elements (outputs, outcomes, impact drivers, assumptions intended impacts etc.) of the impact pathways are written on individual cards and arranged and discussed as a group activity. Figure 4 below shows the suggested sequence of the group discussions needed to develop the ToC for the project.

Figure 4. Suggested sequencing of group discussions (from GEF EO 2009)



Once the theory of change model for the project is complete the evaluator can assess the design of the project intervention and collate evidence that will inform judgments on the extent and effectiveness of implementation, through the evaluation process. Performance judgments are made always noting that project contexts can change and that adaptive management is required during project implementation.

The ROtI method requires ratings for outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. According to the GEF guidance on the method; *"The rating system is intended to recognize project preparation and conceptualization that considers its own assumptions, and that seeks to remove barriers to future scaling up and out. Projects that are a part of a long-term process need not at all be "penalized" for not achieving impacts in the lifetime of the project: the system recognizes projects' forward thinking to eventual impacts, even if those impacts are eventually achieved by other partners and stakeholders, albeit with achievements based on present day, present project building blocks."* For example, a project receiving an "AA" rating appears likely to deliver impacts, while for a project receiving a "DD" this would seem unlikely, due to low achievement in outcomes and the limited likelihood of achieving the intermediate states needed for eventual impact (see Table 1).

Table 1. Rating scale for outcomes and progress towards 'intermediate states'

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with no prior allocation of responsibilities after project funding	B: The measures designed to move towards intermediate states have started and have produced results, which give no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long term impact.

Thus a project will end up with a two letter rating e.g. AB, CD, BB etc. In addition the rating is given a '+' notation if there is evidence of impacts accruing within the life of the project. The possible rating permutations are then translated onto the usual six point rating scale used in all UNEP project evaluations in the following way.

Table 2. Shows how the ratings for 'achievement of outcomes' and 'progress towards intermediate states translate to ratings for the 'Overall likelihood of impact achievement' on a six point scale.

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

In addition, projects that achieve documented changes in environmental status during the project's lifetime receive a positive impact rating, indicated by a "+". The overall likelihood of achieving impacts is shown in Table 11 below (a + score above moves the double letter rating up one space in the 6-point scale).

The ROTI method provides a basis for comparisons across projects through application of a rating system that can indicate the expected impact. However it should be noted that whilst this will provide a relative scoring for all projects assessed, it does not imply that the results from projects can necessarily be aggregated. Nevertheless, since the approach yields greater clarity in the 'results metrics' for a project, opportunities where aggregation of project results might be possible can more readily be identified.

Results rating of project entitled:							
		Rating (D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
1.	1.		1.		1.		
2.	2.		2.		2.		
3.	3.	3.	3.				
	Rating justification:		Rating justification:		Rating justification:		

Scoring Guidelines

The achievement of **Outputs** is largely assumed. Outputs are such concrete things as training courses held, numbers of persons trained, studies conducted, networks established, websites developed, and many others. Outputs reflect where and for what project funds were used. These were not rated: projects generally succeed in spending their funding.

Outcomes, on the other hand, are the first level of intended results stemming from the outputs. Not so much the number of persons trained; but how many persons who then demonstrated that they have gained the intended knowledge or skills. Not a study conducted; but one that could change the evolution or development of the project. Not so much a network of NGOs established; but that the network showed potential for functioning as intended. A sound outcome might be genuinely improved strategic planning in SLM stemming from workshops, training courses, and networking.

Examples

Funds were spent, outputs were produced, but nothing in terms of outcomes was achieved. People attended training courses but there is no evidence of increased capacity. A website was developed, but no one used it. (Score – D)

Outcomes achieved but are dead ends; no forward linkages to intermediary stages in the future. People attended training courses, increased their capacities, but all left for other jobs shortly after; or were not given opportunities to apply their new skills. A website was developed and was used, but achieved little or nothing of what was intended because users had no resources or incentives to apply the tools and methods proposed on the website in their job. (Score – C)

Outcomes plus implicit linkages forward. Outcomes achieved and have *implicit forward linkages* to intermediary stages and impacts. Collaboration as evidenced by meetings and decisions made among a loose network is documented that should lead to better planning. Improved capacity is in place and should lead to desired intermediate outcomes. Providing implicit linkages to intermediary stages is probably the most common case when outcomes have been achieved. (Score - B)

Outcomes plus explicit linkages forward. Outcomes have *definite and explicit forward linkages* to intermediary stages and impacts. An alternative energy project may result in solar panels installed that reduced reliance on local wood fuels, with the outcome quantified in terms of reduced C emissions. Explicit forward linkages are easy to recognize in being concrete, but are relatively uncommon. (Score A)

Intermediary stages:

The **intermediate stage** indicates achievements that lead to Global Environmental Benefits, especially if the potential for scaling up is established.

“Outcomes” scored C or D. If the outcomes above scored C or D, there is no need to continue forward to score intermediate stages given that achievement of such is then not possible.

In spite of outcomes and implicit linkages, and follow-up actions, the project dead-ends. Although outcomes achieved have *implicit forward linkages* to intermediary stages and impacts, the project dead-ends. Outcomes turn out to be insufficient to move the project towards intermediate stages and to the eventual achievement of GEBs. Collaboration as evidenced by meetings and among participants in a network never progresses further. The implicit linkage based on follow-up never materializes. Although outcomes involve, for example, further participation and discussion, such actions do not take the project forward towards intended intermediate impacts. People have fun getting together and talking more, but nothing, based on the implicit forwards linkages, actually eventuates. (Score = D)

The measures designed to move towards intermediate states have started, but have not produced result, barriers and/or unmet assumptions may still exist. In spite of sound outputs and in spite of explicit forward linkages, there is limited possibility of intermediary stage achievement due to barriers not removed or unmet assumptions. This may be the fate of several policy related, capacity building, and networking projects: people work together, but fail to develop a way forward towards concrete results, or fail to successfully address inherent barriers. The project may increase ground cover and or carbon stocks, may reduce grazing or GHG emissions; and may have project level recommendations regarding scaling up; but barrier removal or the addressing of fatal assumptions means that scaling up remains limited and unlikely to be achieved at larger scales. Barriers can be policy and institutional limitations; (mis-) assumptions may have to do with markets or public – private sector relationships. (Score = C)

Barriers and assumptions are successfully addressed. Intermediary stage(s) planned or conceived have feasible direct and explicit forward linkages to impact achievement; barriers and assumptions are successfully addressed. The project achieves measurable intermediate impacts, and works to scale up and out, but falls well short of scaling up to global levels such that achievement of GEBs still lies in doubt. **(Score = B)**

Scaling up and out over time is possible. Measurable intermediary stage impacts achieved, scaling up to global levels and the achievement of GEBs appears to be well in reach over time. **(Score = A)**

Impact: Actual changes in environmental status

“Intermediary stages” scored B to A.

Measurable impacts achieved at a globally significant level within the project life-span. . (Score = ‘+’)

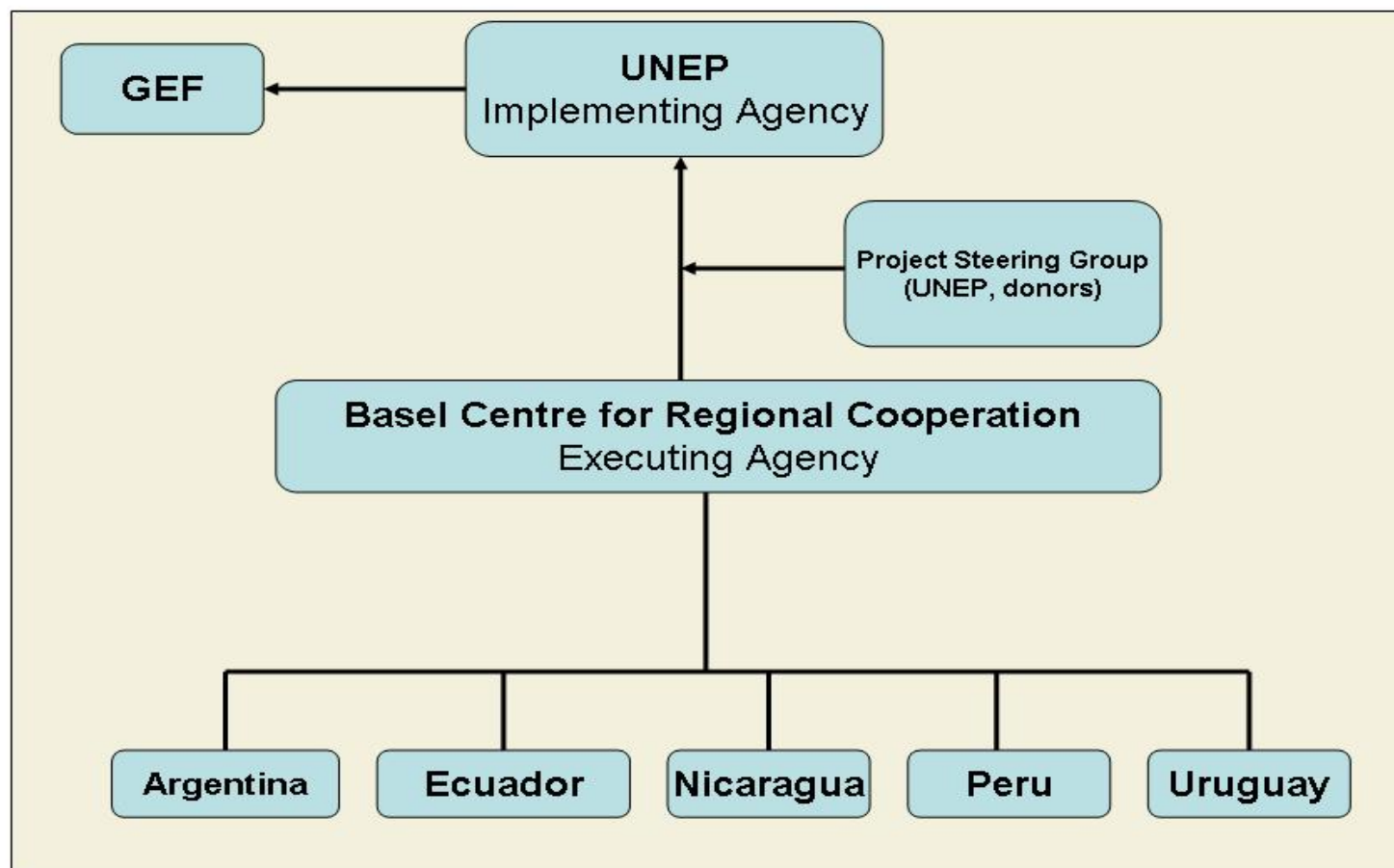
Template for the assessment of the Quality of Project Design – UNEP Evaluation Office September 2011

Relevance		Evaluation Comments	Prodoc reference
Are the intended results likely to contribute to UNEPs Expected Accomplishments and programmatic objectives?			
Does the project form a coherent part of a UNEP-approved programme framework?			
Is there complementarity with other UNEP projects, planned and ongoing, including those implemented under the GEF?			
Are the project's objectives and implementation strategies consistent with:	i) Sub-regional environmental issues and needs?		
	ii) the UNEP mandate and policies at the time of design and implementation?		
	iii) the relevant GEF focal areas, strategic priorities and operational programme(s)? (if appropriate)		
	iv) Stakeholder priorities and needs?		
Overall rating for Relevance			
Intended Results and Causality			
Are the objectives realistic?			
Are the causal pathways from project outputs [goods and services] through outcomes [changes in stakeholder behaviour] towards impacts clearly and convincingly described? Is there a clearly presented Theory of Change or intervention logic for the project?			
Is the timeframe realistic? What is the likelihood that the anticipated project outcomes can be achieved within the stated duration of the project?			
Are the activities designed within the project likely to produce their intended results			
Are activities appropriate to produce outputs?			
Are activities appropriate to drive change along the intended causal pathway(s)			
Are impact drivers, assumptions and the roles and capacities of key actors and stakeholders clearly described for each key causal pathway?			
Overall rating for Intended Results and causality			
Efficiency			
Are any cost- or time-saving measures proposed to bring the project to a successful conclusion within its programmed budget and timeframe?			
Does the project intend 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?			
Overall rating for Efficiency			
Sustainability / Replication and Catalytic effects			
Does the project design present a strategy / approach to sustaining outcomes / benefits?			
Does the design identify the social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Does the design foresee sufficient activities to promote government and stakeholder awareness, interests,			

commitment and incentives to execute, enforce and pursue the programmes, plans, agreements, monitoring systems etc. prepared and agreed upon under the project?			
If funding is required to sustain project outcomes and benefits, does the design propose adequate measures / mechanisms to secure this funding?			
Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?			
Does the project design adequately describe the institutional frameworks, governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustain project results?			
Does the project design identify environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits?			
Does the project design foresee adequate measures to catalyze behavioural changes in terms of use and application by the relevant stakeholders of (e.g.):	i) technologies and approaches show-cased by the demonstration projects;		
	ii) strategic programmes and plans developed		
	iii) assessment, monitoring and management systems established at a national and sub-regional level		
Does the project design foresee adequate measures to contribute to institutional changes? [An important aspect of the catalytic role of the project is its contribution to institutional uptake or mainstreaming of project-piloted approaches in any regional or national demonstration projects]			
Does the project design foresee adequate measures to contribute to policy changes (on paper and in implementation of policy)?			
Does the project design foresee adequate measures to contribute to sustain follow-on financing (catalytic financing) from Governments, the GEF or other donors?			
Does the project design foresee adequate measures to create opportunities for particular individuals or institutions (“champions”) to catalyze change (without which the project would not achieve all of its results)?			
Are the planned activities likely to generate the level of ownership by the main national and regional stakeholders necessary to allow for the project results to be sustained?			
Overall rating for Sustainability / Replication and Catalytic effects			
Risk identification and Social Safeguards			
Are critical risks appropriately addressed?			
Are assumptions properly specified as factors affecting achievement of project results that are beyond the control of the project?			
Are potentially negative environmental, economic and social impacts of projects identified?			
Overall rating for Risk identification and Social Safeguards			
Governance and Supervision Arrangements			
Is the project governance model comprehensive, clear and appropriate?			
Are roles and responsibilities clearly defined?			
Are supervision / oversight arrangements clear and appropriate?			
Overall rating for Governance and Supervision Arrangements			

Management, Execution and Partnership Arrangements			
Have the capacities of partner been adequately assessed?			
Are the execution arrangements clear?			
Are the roles and responsibilities of internal and external partners properly specified?			
Overall rating for Management, Execution and Partnership Arrangements			
Financial Planning / budgeting			
Are there any obvious deficiencies in the budgets / financial planning			
Cost effectiveness of proposed resource utilization as described in project budgets and viability in respect of resource mobilization potential			
Financial and administrative arrangements including flows of funds are clearly described			
Overall rating for Financial Planning / budgeting			
Monitoring			
Does the logical framework:			
<ul style="list-style-type: none"> capture the key elements in the Theory of Change for the project? have 'SMART' indicators for outcomes and objectives? have appropriate 'means of verification' adequately identify assumptions 			
Are the milestones and performance indicators appropriate and sufficient to foster management towards outcomes and higher level objectives?			
Is there baseline information in relation to key performance indicators?			
Has the method for the baseline data collection been explained?			
Has the desired level of achievement (targets) been specified for indicators of Outcomes and are targets based on a reasoned estimate of baseline??			
Has the time frame for monitoring activities been specified?			
Are the organisational arrangements for project level progress monitoring clearly specified			
Has a budget been allocated for monitoring project progress in implementation against outputs and outcomes?			
Overall, is the approach to monitoring progress and performance within the project adequate?			
Overall rating for Monitoring			
Evaluation			
Is there an adequate plan for evaluation?			
Has the time frame for Evaluation activities been specified?			
Is there an explicit budget provision for mid term review and terminal evaluation?			
Is the budget sufficient?			
Overall rating for Evaluation			

APPENDIX 11
DECISION MAKING FLOWCHART AND ORGANIGRAMME



APPENDIX 12: TERMS OF REFERENCE

Project Coordinator Terms of Reference Job Description

Project: Development of mercury risk management approaches in Latin America and Caribbean

Post title: Project Coordinator

Duration: 24 Months

Date Required: 1 May 2013

Duty station: Montevideo, Uruguay

Counterpart: Basel Convention Coordinating Centre-Stockholm Convention Regional Office for Latin America and the Caribbean Region (BCRC) based in Uruguay

Duties: Working within the BCRC premises or place designated by the BCRC and with recruited experts, the Project Coordinator will be responsible for the supervision, coordination and execution, of the implementation of the mentioned project.

The main duties are as follows:

	Main Duty	Output	Timing
1	Elaborate a detailed work plan and budget for the MSP project.	Work Plan and budget	For consideration at the first meeting of the Steering Committee
2	Liaise with the countries participating in the project and assist them to: <ul style="list-style-type: none"> Link project activities to related sub-project institutions 	National Activities and national management structures identified	At project start to coordinate national representation to the Steering Committee
3	Prepare, in consultation with BCRC, and UNEP, draft Terms of Reference for the experts to be contracted in the context of the MSP project	Draft Terms of Reference	For consideration at the first meeting of the Steering Committee
4	Provide a secretariat function for the Project Steering Committee of the project including: <ul style="list-style-type: none"> Prepare necessary documents and logistics for the meetings of the Committee; Facilitate meetings, providing progress and draft technical papers for consideration Prepare formal reports of meetings 	Meeting papers and Reports	Meetings of the Steering Committee are envisaged at the inception and during the implementation (2 meetings) of the project. Exact timing to be determined in the work plan.
5	Prepare, in conformity with the project document, periodic progress and financial reports of the project	Progress and financial reports in UNEP format Terminal report of the MSP project	At the end of each year Within 60 days of the end of the MSP project
6	Coordinate, in close collaboration with the UNEP DTIE, all activities under the MSP project, as stated in Annex 9 of this document	Regular supervision and coordination	24 months
7	A review of the mercury inventory data produced in the project	Analysis of mercury inventory	During the first year of the project
8	Organize a series of training sessions on mercury inventory taking, priority setting, risk management approaches development and measures at the source	Report on training sessions	To be undertaken during the first and second year of the project

	Main Duty	Output	Timing
9.	Identify lessons learned and replicable elements to be disseminated with Parties to mercury inventory	Final report on lessons learned identified and shared with Parties	At month 24 of the project

Expected Outputs/ Outcomes

- Approved half-yearly and terminal progress and financial reports in UNEP formats as specified in the project document
- Terms of Reference for experts to be recruited for the project
- Terms of Reference for National Coordination Group linked to the project
- Coordination and final delivery of reports as stated in Appendix 9 of the Project document
- Terminal report to UNEP
- Final written outputs will be required in Spanish and English.

Reporting

The Coordinator will report to UNEP DTIE, Steering Committee, Partner countries and SSC.

Qualifications

At least 5 years experience with proven records as project coordinator in the field of heavy metals releases.

Expert knowledgeable on the following matters:

- Knowledge of analysis of mercury management or research;
- Knowledge of good practices to mercury and experience in setting up a coordination mechanism for mercury management;
- Familiarity with the Toolkit for Identification and Quantification of Mercury Releases and mercury Convention papers (including COP decisions);
- Familiarity with the regulation and standards of the mercury;
- Familiarity with the mercury processes and available technologies.

Language:

Excellent command of spoken and written Spanish and English

Background

The duties and tasks of the Coordinator as set out above are derived from the project document approved by the GEF.

APPENDIX 13
CO-FINANCE COMMITMENT LETTERS FROM PROJECT PARTNERS

APPENDIX 14
ENDORSEMENT LETTERS FROM GEF NATIONAL FOCAL POINTS

APPENDIX 15: DRAFT PROCUREMENT PLAN

From:	October 2013			
To:	November 2016			
UNEP Budget Line	GEF USD	Co-finance USD	TOTAL USD	
20 SUB-CONTRACT COMPONENT				
2101 UNEP subcontract to complete laboratory proficiency survey and assessment	90'000	100'819	190'819	
2102 Argentina - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	127'000	150'000	277'000	
2103 Ecuador - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	100'000	150'000	250'000	
2104 Nicaragua - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	43'000	290'000	333'000	
2105 Peru - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	108'000	394'000	502'000	
2106 Uruguay - subcontract to complete mercury inventory (inclusive of internal travel), convene national planning workshop, and develop national mercury action plan	46'000	282'000	328'000	
2299 Sub-total	514'000	1'366'819	1'880'819	
2999 Component total	514'000	1'366'819	1'880'819	
40 EQUIPMENT AND PREMISES COMPONENT				
4200 Non-expendable equipment				
4201 Maintenance of equipment	0	59'600	59'600	
4299 Sub-total	0	59'600	59'600	
4999 Component total	0	59'600	59'600	
50 MISCELLANEOUS COMPONENT				
5200 Reporting costs				
5201 Production of inventory and national action plans, 7 countries	16'000	571'415	587'415	
5299 Sub-total	16'000	571'415	587'415	
5300 Sundry				
5301 Communications,	9'000	150'000	159'000	
5302 Dissemination of regional lessons learned report	10'000	180'000	190'000	
5399 Sub-total	19'000	330'000	349'000	
5500 Evaluation				
5501 Mid-term review	10'000	0	10'000	
5502 Terminal Evaluation	28'000	0	28'000	
5503 Financial Audit	18'000	0	18'000	
5599 Sub-total	56'000	0	56'000	
5999 Component total	91'000	901'415	992'415	
99 GRAND TOTAL	605'000	2'327'834	2'932'834	

APPENDIX 16 TRACKING TOOLS

Not yet available for mercury projects

APPENDIX 17: Supervision Plan

Project implementation period (add additional years as required):			Year 1												Year 2												Year 3												
Month			O	N	D	J	F	M	A	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N	D	J	F	M	A	M	J	J	A	S	O	N
Mth no			1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	
Executing partner																																							
/DTIE Chemicals (Implementing)																																							
Output																																							
Activity/Task/Output																																							
Project Management, Coordination & Sustainability																																							
Inception meeting and report of meeting																																							
Progress report - Dec 31 + 30 days																																							
Annual audit report - Dec 31 + 180 days																																							
Annual co-financing report - Dec 31+30 days																																							
Establish M&E system																																							
Expenditure report - Mar, June, Sep and Dec 31 + 30 days																																							
Mid-term review/evaluation																																							
Procurement of equipment & hiring of consultants																																							
Progress reports to co-financiers																																							
Project brochure/newsletter/banner																																							
Project Implementation Review																																							
Project website design & development + updates/revamps																																							
PSC/PMC meetings + minutes of meetings																																							
GEFSEC communications (Inception, midterm & completion)																																							
Site visits + mission reports																																							
Final report																																							
Training workshops/seminars																																							
Pipeline of projects																																							
Terminal evaluation																																							
Final audit report for project																																							
Outcome 1: Information needs identified in participating countries																																							
1.1 Agreement on the workplan and budget																																							
Output: Workplan, budget and M&E plan endorsed by all participating countries and used to guide the achievement of the project																																							
1.2 Identify initial guidance materials and existing studies and information needs																																							
Output: Basic information and guidance on mercury management available																																							
Outcome 2: Comprehensive information on mercury sources and releases enable a better understanding of mercury risks to human health and the environment for participating countries																																							
2.1 Develop and/or upgrade mercury 1 and 2 level inventories in participating countries																																							
Output: Mercury level 1 and 2 inventories available in each participating country																																							
Outcome 3: Enhanced understanding of mercury priority sources and capacity for mercury management through the development/ identification of national mercury risk management approaches including the identification of management gaps and needs																																							
3.1 Develop criteria and prioritize mercury sources in each participating country																																							
Output: National priorities identified in each participating country																																							
3.2 Assess the regulatory aspect of mercury management in each participating country																																							
Output: National regulatory framework for mercury assessed (report) and recommendation provided in each participating country																																							
3.3 Collect data of good quality on mercury levels in the environment, including biota and human, and mercury emissions at the source																																							
Output: Good quality data on mercury levels in the environment, biota and humans, and on mercury in emissions from key sectors in participating countries collected and supporting the mercury risk management approaches																																							
3.4 Identify and/ or develop national mercury risk management approaches in each participating country																																							
Output: Risk management approaches for mercury reduction developed including long, medium and short term measures to decrease mercury releases																																							
Outcome 4: Lessons learned available and shared regionally allow better practices in future projects																																							
4.1 Compile regional lessons learned in key sectors and develop regional report and organize 1st lessons learned workshop																																							
Output: Report on existing lessons learned in key sectors developed																																							
4.2 Develop and disseminate a final report on lessons learned report and organise last lessons learned workshop																																							
Output: Final regional lessons learned report developed and disseminated																																							
4.3 Implement a Monitoring and Evaluation Plan																																							
Output: Monitoring and evaluation plan fully implemented assess rate of project's success																																							