UN environment

United Nations Environment Programme

Terminal Evaluation of the UN Environment Project:

Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury

Final Report for

Evaluation Office of UN Environment

July 2018

Evaluation Office of UN Environment

This report has been prepared by Linda Ghanime, an independent consultant evaluator and is a product of the Evaluation Office of UN Environment. The findings and conclusions expressed herein do not necessarily reflect the views of Member States or the UN Environment Senior Management.

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Project Title: Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury
Project Number: PIMS ID 01753
July 2018

ACKNOWLEDGEMENTS

This Terminal Project Evaluation was prepared for the Evaluation Office of UN Environment by Linda Ghanimé. The report benefits from a peer review conducted within Evaluation Office of UN Environment.

The Evaluation Office of UN Environment would like to thank the Minamata project team and in particular, Ms. Sheila Logan, for her contribution and collaboration throughout the evaluation process. Sincere appreciation is also expressed to the project stakeholders interviewed for their time and insights on the project; the list of persons interviewed appears in Annex III. The Evaluation Office of UN Environment would also like to thank those stakeholders who took time to provide comments on the draft report.

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ABOUT THE EVALUATION[1]

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluation

Brief Description: This report is a terminal evaluation of a UN Environment project for Secretariat Support to the Intergovernmental Negotiating Committee to the Minamata Convention on Mercury, implemented between 2014 and 2017. The project consisted of Secretariat support to international negotiations to ensure a successful first Conference of the Parties (COP), informed by appropriate technical information and lessons learned from a range of country experiences towards sound management of mercury. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment.

Key words: Minamata Convention on Mercury; Secretariat Support; MEA; mercury; TE; Terminal Evaluation; UN.

[1] *This data is used to guide web searches of this report on the Evaluation Office of UN Environment Webpage*

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List of Acronyms and Abbreviations

ASGM	Artisanal and Small Scale Gold Mining
BRS	Basel, Rotterdam and Stockholm Conventions
COP	Conference of Parties
EC	European Commission
EU	European Union
GEF	Global Environment Facility
GMA	Global Mercury Assessment
GMP	Global Mercury Partnership
ILO	International Labour Organisation
IOMC	Inter-Organization Programme for the Sound Management of Chemicals
INC	Intergovernmental Negotiating Committee
IPEN	International POPs Elimination Network
MEA	Multilateral Environment Agreement
MIA	Minimata Initial Assessment
MTS	Medium Term Strategy
NAP	National Action Plan
NGO	Non-Governmental Organization
PRC	Project Review Committee
SIP	Specific International Programme
TOC	Theory of Change
UNITAR	United Nations Institute for Training and Research
UNIDO	United Nations Industrial Development Organization
UNOPS	United Nations Office for Project Services
UN	United Nations
WHO	World Health Organisation
ZMWG	Zero Mercury Working Group

Table 1. Project Identification				
UN Environment PIMS ID:	01753			
Implementing Partners/ External Executing Partners	Zero Mercury Working Group (ZMWG) + International POPs Elimination Network (IPEN)			
Sub-programme:	Chemicals and Waste	Expected Accomplishment(s):	Countries have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs[2]	
UN Environment Approval date:	8 Aug. 2014	Programme of Work Output(s):	5 A 2	
Expected start date:	Aug. 2014	Actual start date:	August 2014	
Planned completion date:	Aug. 2016	Actual completion date:	31 Dec 2017	
Planned project budget at approval (cash+in-kind)	$12,333,454[3]	Actual total expenditures reported as of [date]:	$11,357,305	
Planned Environment Fund allocation: posts	$1,338,550	Actual Environment Fund expenditures reported as of [date]:	$1,338,550	
Planned Extra-Budgetary Financing:	$5,972,000	Secured Extra-Budgetary Financing:	Over $ 10 M	
First disbursement:		Date of financial closure:	30 June 2018	
No. of revisions:	1 (increased budget: $12,333,454)	Date of last revision:	February 2017	
No. of Steering Committee meetings:	None	Date of last/next Steering Committee meeting:	Last: n/a	Next: n/a
Mid-term Review/ Evaluation *(planned date):*	Not planned	Mid-term Review/ Evaluation (actual date):	None	
Terminal Evaluation *(planned date):*	February 2018	Terminal Evaluation (actual date):	February to June 2018	
Coverage - Country(ies):	Global	Coverage - Region(s):	Global	
Dates of previous project phases:	52- P1: Mercury project	Status of future project phases:	Minamata Convention Implementation	

*[2] Indicator of expected accomplishment: Increased number and percentage of **countries reporting** the **adoption of policies and regulatory frameworks** for the sound management of chemicals and waste, with the assistance of UNEP, link to sdg target: Goal 3: Ensure healthy lives and promote well-being for all at all ages 3.9 – By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination.*

[3] All values are in US dollars.

Executive Summary

1. The Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury Project (ID #01753) was initiated to further the work of the Secretariat of the Intergovernmental Negotiating Committee (INC) to prepare a global legally binding instrument on mercury. The project, which commenced in late Summer 2014 and ended nearly three years later in December 2017, aimed to enhance the work of the Interim Secretariat for the Minamata Convention on Mercury following adoption of the Convention by a Diplomatic Conference of 2013. One project revision approved in early 2017, helped extend Secretariat support to the first Conference of Parties of the Convention (COP) and related activities. The project builds on technical work of the Global Mercury Programme of UN Environment, which started in the early 2000's and established the Global Mercury Partnership.

2. The initial planned project budget of $8,158,205, with $1,066,205 in unsecured funds, eventually increased to $12,333,454. During the life of the project $11,357,305 was spent. Over a dozen donors contributed to project financing, including Switzerland, the European Commission, Germany, Japan, Sweden, Norway, Canada and the USA. The Secretariat Support project facilitated ratification of the convention by 92 countries.[4] The Secretariat Support project also included technical assistance and awareness raising activities to facilitate the early implementation of the Convention. Additionally, the project financed technical assistance to pilot early implementation of sound management of mercury in nine countries.

3. This report presents findings of the project's Terminal Evaluation (TE) that involved several phases including firstly, an inception phase that included formulation, development and revision of a Theory of Change and, secondly, a data gathering phase that involved both data and report desk reviews and in-depth interviews with an array of stakeholders both in-person and by skype. The data collection phase also involved field visits to Canada and Switzerland in Spring 2018. In a final phase, data was subsequently analysed and evaluation ratings assigned based on the guidance framework for the standard evaluation criteria of the UN Environment Evaluation Office. This analysis helped to address six strategic questions related to the project's role with respect to key interagency linkages, mobilization within UN Environment, member country exchanges, use of project tools and secured financing.

4. The Secretariat Support project comprised arrangements for further sessions of the Intergovernmental Negotiating Committee and relevant intersessional meetings, preparation and support for the first Conference of the Parties held in September 2017, including arrangements for the meeting and intersessional work of technical expert groups. In brief, the project consisted of Secretariat support for international negotiations to ensure a successful first Conference of Parties, informed by appropriate technical information and lessons learned from a range of country experiences on the sound management of mercury. The Project was organised around three main outputs contributing to the project outcomes of countries increasing ratification of the Minamata Convention and adopting policies and measures for the sound management of mercury.

[4] As of December 2017, the project end date, 85 countries had ratified the Convention. By May 2018, the number of countries having ratified had reached 92.

5. The overall project performance is rated as 'Highly Satisfactory'[5]. This was due in part to strengths of the project in the key areas of strategic relevance and efficiency. The project also had a relatively high level of effectiveness, particularly with respect to the project's delivery of outputs. The achievement of direct outcomes and likelihood of project impact were also determined to be strong. The project also did well with respect to a relatively strong original design, financial management, monitoring and reporting, with the project's overall sustainability rated as 'likely'. Thus, this project was deemed highly successful, because of the consistency in the strong quality of delivery across an array of evaluative categories.

6. The project excelled in two areas. With respect to strategic relevance, the project demonstrates clear alignment with the UN Environment Medium Term Strategy and Programme of Work. The implementation strategy is explicit and helps operationalize the UN Environment mandate and thematic as well as regional, sub-regional and national priorities and overall stakeholder needs. The intervention was complementary to both past and current interventions of UN Environment to reduce anthropogenic sources of mercury through the Global Mercury Partnership and responded to issues flagged in the series of Global Mercury Assessments.[6] Project delivery was also highly congruent with UN Environment Capacity Building and South-South Cooperation policies, involving the assessment of needs and encouraging country exchanges.

7. Project efficiency is a second area of strength. The project was successfully implemented within the budget and time frame, with only one revision increasing the budget through additional funding and the project scope, to organise and service the first Conference of Parties. Evidence suggests that the application of cost-effective approaches strongly supported the achievement of project targets with the array of project activities sequenced efficiently. All interviewees commended the small interim Secretariat team in managing efficient additional meetings exceeding targets in terms of the number of countries who ratified. As well, meetings were mainly held back to back to spread staff costs across multiple meetings in combined missions. Those interviewed were overwhelmingly impressed with the Secretariat's capacity to produce high quality documents on time, and its aptitude to ensure the advice and support was fully in tune with the negotiations facilitating the advancement of discussions.

8. The original project design was also strong, not only because of its relevance, but also because of the clarity of the logical framework, as well as the sustainability strategy and potential catalytic effects. The primary design weaknesses involved the inclusion of partial budget information; some vaguely defined outcome indicators for monitoring the country adoption of policies and measures for sound management of mercury; identification of project risks and some aspects of incomplete response to design weaknesses flagged by the Project Review Committee. The external context was rated as favourable for the project, since few countries noted conflict, natural disasters or change of government as reasons for delayed Convention ratification and/or the sound management of mercury.

9. With respect to effectiveness, particular strengths related to the full achievement of all three planned outputs that were delivered on time in a highly satisfactory manner. Thus, global meetings were effectively prepared and serviced, and technical guidance documents were delivered (4) as well as the required array of awareness-raising workshops and pilots to support

[5] *The Evaluation Office of UN Environment applies a six-point rating scale for each evaluation criterion: Highly Unsatisfactory, Unsatisfactory, Moderately Unsatisfactory, Moderately Satisfactory, Satisfactory and Highly Satisfactory. Similar scales using the word 'Likely' are applied to the Likelihood of Impact and Sustainability.*

[6] *Global Mercury Assessment 2002, 2009, 2014*

individual countries. The global meetings related to the International Negotiating Committees 6 and 7 and the first Conference of Parties paved the way for effective Convention implementation. Guidance documents produced with Secretariat support and adopted by the first Conference of Parties, informed ratification and implementation as well as prioritizing areas of Global Environment Facility support. Secretariat's effective networking was critical in producing quality documents that could be adopted early in the COP 1 meeting process. It is particularly significant that stakeholders praised the Secretariat's capacity on a variety of fronts including document production and management of negotiations. Awareness raising workshops were inclusive and well appreciated by participants. A series of project supported country pilot projects led to diverse activities in nine countries across Africa and Asia and served as preliminary work for the more comprehensive assessment and planning supported by the Global Environment Facility.

10. Thus, the project was able to go well beyond the targets framed in the original outcome. With respect to Minamata Convention ratification, 92 countries ratified by Spring 2018, compared to the target of 50 countries.[7] Independent of the project, several countries continue to adopt policies and measures for the sound management of mercury prior to, or after, ratification. Systematic follow up of these measures by the project is less obvious, as there are no obligations for ongoing reporting on measures implemented at this time. Overall evidence of country-level institution strengthening still limited, despite Project-supported early implementation grants for nine countries. (China Fund: 600,000$). As noted earlier, the monitoring of country policies and measures relies on voluntary country reports, available on the Convention website[8] that does not fully reflect all concrete country advances on policies and measures, and the results of over 100 Minamata Initial Assessments (MIAs), covering enabling country advances on mercury management.

11. Nevertheless, the project impact of both ratification and implementation of mercury management measures is deemed likely, as assumptions of national participation and political support hold, and all drivers are in place. The Secretariat cooperates with the Global Environment Facility, and countries and financial partners are mobilized and well positioned to ensure financing and support to achieve the necessary intermediate states. The Secretariat, with support of competent project staff, successfully built trust with Parties and laid a strong foundation for collaboration, both during the project and for the future.

12. Financial management and monitoring and reporting were other generally solid areas of performance. Financial information for the project was complete with good communication between the project and financial management staff. The project moved through the transition from IMIS to the UMOJA financial systems and budget information for secured and unsecured budget funds was available, as were donor funding sources detailed by year. Project progress was tracked and logged in the UN Environment PIMS system with regular reporting to donors requiring project reports.

13. Sustainability of project outcomes is rated as 'likely' based on consideration of factors affecting socio-political, institutional and financial sustainability. Evidence suggests the socio-political sustainability is 'likely' with only moderate dependency on social factors and political priorities and a strong ownership, interest and commitment among governments and stakeholders working closely with governments. Not only have a significant number of countries (92) taken action at the national level through Convention ratification but 106 countries are

[7] *List of Country ratification and notifications are tracked and made available on the convention website: www.mercuryconvention.org*

[8] *www.mercuryconvention.org/Countries/Parties/Notifications*

undertaking or completing Minamata Initial Assessments that involve legislative assessment and inventories in preparation for implementation. These are good conditions for continuation and further development of project outcomes. Financial sustainability is likely with low dependency on UN Environment financing. The Convention builds in party financing and commitments from financing sources such as the Global Environmental Facility and Specific International Programme. The Global Environmental Facility has financed over 141 million dollars in its sixth replenishment, and the outlook for the seventh replenishment is significantly higher. The Specific International Programme has $800 000 of financing available for 2018. The financing of the Secretariat and its program of work is also secured for the 2018-2019 biennium, with established Party contributions.

14. The main lessons and recommendation for future phases of Secretariat support to convention implementation are to emphasize knowledge management by the continued and widespread sharing of the lessons learned from country practice in the different dimensions of the Convention, by setting up expert network systems of technical assistance on implementation and expanding the expertise base to industry and technical expertise on solutions. The evaluation team proposes a rigorous evaluation process for country level capacity building grants that the Secretariat will administer. The Convention has the advantage of a built-in compliance and effectiveness mechanism, which would benefit from a continual improvement approach focused on substantive achievements of the Convention in advances towards the Convention's intended impact.

1. Introduction

15. This is the report of the terminal evaluation of the UN Environment project: Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury (the Secretariat Support project). The Minamata Convention on Mercury is a global agreement to protect human health and the environment from anthropogenic emissions and releases of mercury and mercury compounds. The Convention also includes measures for technical exchange and international support to implementation.

16. Mercury is released to the environment from a variety of sources. The Convention comprises measures to control the supply and trade of mercury and to phase-out certain products and processes that use mercury. The Convention includes control measures for air, land and water emissions and releases, waste management requirements, actions to address contaminated sites, as well as steps to reduce, and where feasible, eliminate mercury use in artisanal and small-scale gold mining (ASGM).

17. This global, legally binding instrument is the most recent multilateral environmental agreement (MEA) to control harmful chemical substances. The Convention, agreed by an Intergovernmental Negotiating Committee (INC) in January 2013, was opened for signature in October 2013 and formally adopted in August 2017, following its ratification by at least 50 countries. As of December 2017, 85 countries had ratified the convention and by end of May 2018, 92 had ratified.

18. This terminal evaluation is an assessment of project performance, in terms of relevance, effectiveness and efficiency, and of the resulting outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and stakeholders. There was no mid-term evaluation of the project.

19. The main target audience for the evaluation findings is the management and staff of the Secretariat, partners and stakeholders involved in the planning and delivery of implementation support to the Convention as well as the Evaluation Office Unit. Other UN environment staff involved in Secretariat support to global Conventions may also benefit from the findings, lessons and recommendations of the evaluation.

20. The project is a continuation of the work of the Secretariat of the Intergovernmental Negotiating Committee (INC) to prepare a global legally binding instrument on mercury.[9] It covers the work of the Interim Secretariat for the Minamata Convention on Mercury following the adoption of the Convention by a Diplomatic Conference in 2013. The project started in August 2014 and was targeted to end on 31 December 2017. There was a project revision approved in February 2017, to extend Secretariat support to the first Conference of Parties of the Convention (COP) and related activities. The project also built on technical work of the Global Mercury Programme of the UN Environment, and its Global Mercury Partnership initiated in the early

[9] *Project 53 P1*

2000's, which had contributed to technical dimensions of convention text and related guidance material. The ongoing Global Mercury Partnership contributed to project delivered guidance material.

21. The initial planned budget was $8,158,205 with only $1,066,025 unsecured funds. The revision augmented the planned budget to $12,333,454, of which $11,357, 305 was spent over the project period (92 percent of expanded budget).

22. The outcome text of the Diplomatic Conference of 2013, referred to as the Final Act, defined the mandate of the Interim Secretariat given to UN Environment. There was agreement to various resolutions which, inter alia, requested the Executive Director of UN Environment to provide the Interim Secretariat services for further sessions of the Intergovernmental Negotiating Committee (INC) until the first Conference of the Parties in 2017. Secretariat responsibilities included preparing for, and servicing, further meetings of the INC, implementing a work programme to assist countries towards early implementation and ratification of the Convention, and developing guidance and other tools as required by the Convention for the INC in preparation for adoption or approval by the Conference of the Parties (COP 1). The Secretariat Support project was designed around the key activities set out in this Final Act.

23. The Interim Secretariat became the permanent Secretariat of the Minamata Convention by decision of the first COP in September 2017, close to the technical completion of the project in December 2017. The functions of the permanent Secretariat are defined in Article 24 of the Convention. These consist of arranging and servicing meetings of the COP and its subsidiary bodies, facilitating assistance to parties in the implementation of the Convention, coordinating with others, namely the Basel, Rotterdam and Stockholm (BRS) Conventions, assisting in information exchange, making country reports available, making necessary contractual and administrative arrangements and carrying out other functions that may be determined by the Conference of Parties. Three governance and Secretariat models were proposed by UN Environment. Some uncertainty remains regarding the future location and governance arrangements for the Secretariat, with a final decision expected at the second COP in 2018.

24. In this context, the Secretariat Support project facilitated the arrangements for the further sessions of the INC and relevant intersessional meetings, supported the first COP in September 2017, arranged the meeting of technical expert groups and supported the intersessional work of these technical expert groups. The Secretariat Support project also included technical assistance and awareness raising activities to facilitate country ratification of the Convention and its early implementation in nine countries financed by the China Fund.

25. The project aimed to contribute to the overall Expected Accomplishment[10] of countries increasing the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including implementation of related provisions in the MEAs. This is one of three Expected Accomplishments of the UN Environment sub-programme on Chemicals and Waste. The sub-programme has an objective of promoting a transition among countries to the sound management of chemicals and waste, and to minimize impacts on the environment and human health, as stated in the UN Environment Medium Term Strategy for 2014-2017.

[10] *Expected Accomplishments are the highest level of results articulated in the UN Environment Programme of Work.*

2. Evaluation Methods

26. This terminal evaluation is designed around the Theory of Change (TOC) underpinning project planning. A TOC at Design was prepared during the inception phase through the analysis of project documents and exchanges with project management. This reconstruction involved slight adjustments to the project document TOC to better reflect the intended results captured in the project logical framework and to ensure consistency with UN Environment results' definitions. The TOC at Evaluation refined the design TOC based on further interviews with the project team and project stakeholders. Interviews were informed by an evaluation framework (Annex I) structured around the standard evaluation criteria and strategic questions, and verified whether the key assumptions and drivers of the TOC at Evaluation held. The TOC reconstruction is described in section 4 (Table 3). The Terms of Reference contained key strategic questions as follows:

i. To what extent did the project cooperate and involve Global Environment Facility and promote cooperation between the Minamata Secretariat and the Global Environment Facility implementing agencies as well as other partners such as NGOs (ZMWG & IPEN), target countries and the private sector in the Convention process?

ii. To what extent did the project succeed in mobilizing cooperation with and support from within UN Environment?

iii. What were the intended and unintended outcomes of project-facilitated exchanges between member countries prior to and following the formal meetings?

iv. Is there any emerging evidence that the project contributed to improvements in the institutional structure of target countries which is likely to lead to the achievement of the project's overall objective?

v. To what extent are the project results/products (policy instruments, outreach materials, tools for presentation and visualization of results, etc.) being used by policy makers in the target countries?

vi. To what extent did the project secure sufficient funding for the Convention process, including from the national Governments, the international community (e.g. Global Environment Facility, UN Environment) and the private sector?

27. The findings of this evaluation are largely based on evidence gathered from the review and analysis of documents related to project approval, outputs and mercury management. A list of the documents consulted appears in Annex II. Facilitating the desk review, the project documentation was well organized and mostly accessible on the Convention web site http://www.mercuryconvention.org.

28. The desk review was complemented by a series of individual interviews with key project stakeholders. The interviews were carried out in three phases: i) in the margins of expert group meetings on effectiveness held in Ottawa in March 2018; ii) by phone and skype during the months of April and May 2018 and; iii) in Geneva from May 14 to May 18, 2018. A total of 20 interviews were carried out and the list of interviewees by location appears in Annex III. They include key Secretariat staff and UN Environment collaborators, active government partners, including Bureau members, external partners and a sample of national stakeholders. Interviewees

were sent the evaluation objective and purpose, and evaluation questions adapted to their role in the project.

29. Output and outcome effectiveness was assessed through the review of documentation, complemented by the interviews and exchanges with key participants and participant feedback on effectiveness of meetings and workshops. Outcome achievement was also assessed against official UN documentation of country ratification. Furthermore, the evaluation investigated the rate of ratification and evidence of progress towards implementation of Convention prescriptions. The indications of likelihood of achieving impact, reducing mercury emissions and releases and protecting human health and the environment from adverse effects of mercury, were also reviewed. The specific contribution of the Secretariat Support project was examined in this context. The underlying premise is that the Secretariat is accountable for both project outputs and direct outcomes. The Secretariat is also accountable for carrying out all feasible activities to maximise the likelihood of impact.

30. The evaluation ratings were based on the framework guidance on evaluation criteria of UN Environment. Some operational definitions were applied to adjust to project specificities, for example, the term collaboration was applied to interdivisional work among all appropriate UN Environment staff, as well as to all work with contracted parties. The term cooperation was used to describe voluntary sharing of work based on goodwill and common objectives of organisations or partners. Gender considerations were verified utilizing the UN Environment Evaluation Office guidance framework.

31. The evaluation approach promoted reflection and learning through a participatory data collection approach. The key findings of the evaluation, as well as initial recommendations and lessons learned, were shared with Secretariat management and staff in a group meeting held during the Geneva mission in May 2018. The participatory format of the interviews encouraged feedback, with the outcome incorporated into this report.

32. Skype interviews with purposively sampled country and regional representatives were conducted instead of in-person interviews, as the evaluation budget did not allow for surveys, country visits, nor extensive sampling among government and stakeholders. Country cases were highlighted as illustrative examples. Data was then triangulated from all sources to inform the findings. The Evaluation Office Unit ratings criteria matrix was then applied to determine the project ratings in keeping with OECD criteria.

3. The Project

3.1 Context

33. The Convention objective of protecting human health and the environment from anthropogenic emissions and releases of mercury reflects the critical findings of UN Environment's 2013 Global Mercury Assessment. This assessment reinforced the previous ones[11] highlighting the adverse impacts of mercury to human health and the environment, mercury's increased emissions and global reach with long range transport beyond borders, and the serious challenges and risks facing its continued use and risk. In 2009, after considering

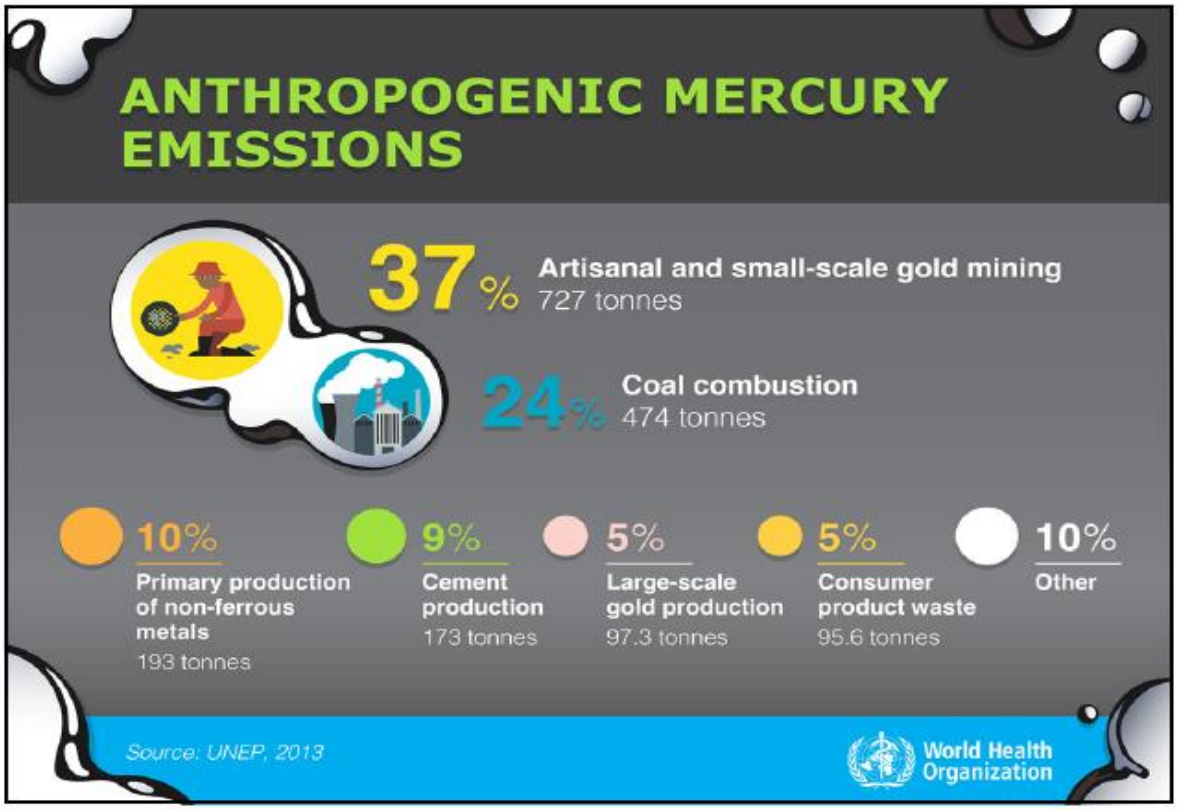
[11] *Namely UNEP 2002 Global Mercury Assessment*

options for international actions on mercury issues, the UN Environment Governing Council agreed[12] to establish an Intergovernmental Negotiating Committee (INC) to prepare a legally binding international agreement. This would supplement the work undertaken through UN Environment's voluntary partnership programme. Negotiations commenced in 2010 and took place over five INC meetings. Following the conclusion of the negotiations, the text was formally adopted and opened for signature at the Diplomatic Conference held in Japan, in October 2013. The Conference also agreed on the mandate of the Interim Secretariat.

34. The Convention has the advantage of being focused on one substance, with a history of consequences on human health and cross-border contamination that provides a solid justification. The Convention benefits from the experience of long established MEAs, and built in compliance and effectiveness measures. The political engagement of the USA and related financing is also an advantage.

35. Artisanal and small-scale gold mining (ASGM) and coal burning are the major sources of anthropogenic mercury emissions to air, which together account for over 60% of emissions. Other major industrial sources are the production of non-ferrous metals and cement production facilities. (Figure 1). [13]

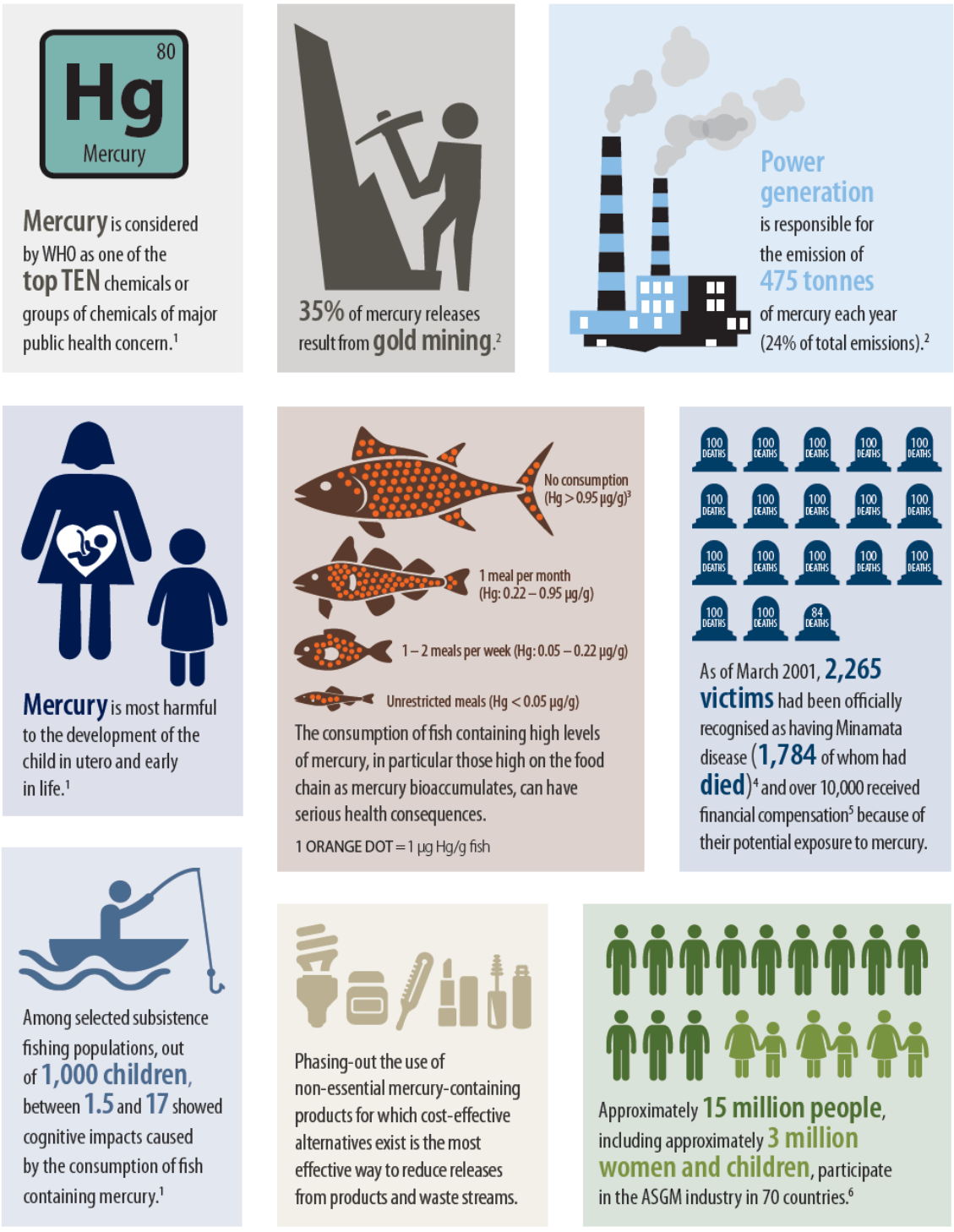
Figure 1: Anthropogenic Mercury Emissions



[12] *Decision GC25/5 III*

[13] *UNEP Global Mercury Assessment 2013*

Figure 2. Key Mercury Issues [14]



[14] *Figure extracted from UNDP brochure: Mercury management for Sustainable Development.*

36. Major emitters and consumers of mercury are located in East and South East Asia, where the use of coal for power generation and industry is increasing. Asia currently contributes almost half of global anthropogenic mercury emissions. Global Emissions peaked in the 1950s to 1970s and subsequently declined because of reductions in Russia, Europe and North America. There are some indications that emissions may be rising again with increases in Asia offsetting reductions in Europe and North America.[15]

37. Emissions over time have increased the environmental burden. Natural processes convert mercury into toxic methyl mercury which concentrates and accumulates in the food chain, leading to high concentrations in seafood and fish that many people consume.[16] The case for reducing mercury emissions, releases and exposure and the need for an international and legally binding treaty has been made.

38. The Minamata Convention establishes specific measures for each stage of the lifecycle of mercury, from mining to storage and waste management, including a phase-out of primary mercury mining. It also addresses mercury emissions from sources such as coal combustion and cement production.

39. The deleterious health effects of mercury exposure are specifically addressed with the Convention encouraging measures that can be adopted by parties to prevent, diagnose, treat and monitor health risks. The Convention emphasizes engagement with WHO, ILO and others in the health sector.

40. The Convention also calls for the Secretariat to cooperate and coordinate with other relevant actors, including the Secretariat of the Basel, Rotterdam and Stockholm conventions to make full use of relevant experience and expertise.

3.2 Objectives and components

41. The project consisted of Secretariat Support to international negotiations to ensure a successful first Conference of Parties, informed by appropriate technical information and lessons learned from a range of country experiences towards sound management of mercury.

42. The Secretariat Support work is captured in three main planned project outputs, as stated in the project document and its revision:

Output 1: Sessions of the INC result in provisionally approved documents which will be forwarded to first meeting of the Conference of the Parties for formal adoption.

Output 2: Technical process develops guidance required under the Convention, with the formulated guidance presented to the intergovernmental negotiating committee for its consideration, in time to be forwarded to the first meeting of the Conference of the Parties.

Output 3: Awareness raising activities delivered globally, with an anticipated effect of an increase in ratification and early implementation of the Convention following the awareness raising.

[15] *UNEP Global Mercury Assessment 2013*

[16] *UNEP Global Mercury Assessment 2013*

43. These project outputs were to contribute to a project outcome that countries are increasingly ratifying the Minamata Convention and adopting policies and measures for the sound management of mercury.

44. In terms of country level implementation support, the project document indicated tentative plans for pilot projects:

> For the countries with national projects, the pilot project may include guidance on the assessment of the current legislative structure, the preparation of new or revised legislation or regulations to ensure compliance with the provisions of the mercury instrument and/or the national development of plans and strategies towards ratification and implementation. One important component of these pilot projects will also be the mapping of relevant stakeholders and national consultations. As the countries will determine their needs at the sub-regional workshops, the selection of countries for national pilot projects will be done following these workshops and will be based on a best match of their requirements and the resources, financial and technical, available through UNEP.[17]

45. In project delivery, five pilot interventions were supported with funding from the China Trust Fund. Results of these pilots are discussed in section 5.4.1 on the achievement of outputs. The project document further specifies that:

> Awareness raising activities are intended to address current problems including a lack of awareness and understanding of the provisions of the Minamata Convention on Mercury, a lack of awareness of the current mercury challenges within each country, and a lack of understanding of the resources available to address mercury issues through a range of funding sources, including the Global Environment Facility.[18]

3.3 Stakeholders

46. The project design recognizes that effective Secretariat support is largely about enabling continual engagement and participation of key stakeholders in the process. The project design is informed by a comprehensive stakeholder analysis outlining the stakeholder group's key strengths and respective roles in the process. This comprises the Governments that are signatories, intergovernmental organizations (UNIDO, WHO, UNDP, UNITAR), the Global Mercury Partnership, the Secretariat of the Basel, Rotterdam and Stockholm Conventions, non-governmental organizations and key industrial sectors.

47. Stakeholders are a vast network reaching from global to local. The project design document further outlines the government types, in terms of their respective engagement and level of involvement for advancing the negotiation and the technical dimensions of the Convention process.

48. Engaging key stakeholders in the project delivery is captured in the project Theory of Change (TOC) as a key mitigation activity for all three project outputs. Stakeholder engagement is further recognised in the TOC at Evaluation, as a key element driving change from outputs to outcomes and towards intermediary steps leading to the intended impact. Country participants in subnational workshops were invited to carry out stakeholder consultations on draft road maps

[17] *Project document page 8*

[18] *Project document page 8*

to ratification and early implementation of the convention. Country pilot projects call for these to include a mapping of relevant stakeholders.

49. The project approach to regional meetings was inclusive and facilitated discussions among different country-level stakeholders to discuss possible activities with the Global Environment Facility. UN Environment, the implementing agency, provided assistance to countries in obtaining relevant technical and financial support.

50. Meetings were attended by country-level negotiators, as well as technical specialists in mercury and umbrella NGOs. The invitations to subnational workshops and to regional and global meetings were made to countries through the UN Environment focal point with copies to participants of previous mercury meetings. The participants in workshops that were held back to back with the Basel, Rotterdam and Stockholm Conventions (BRS) regional meetings, were generally those attending the BRS meetings. In many instances countries delegated additional mercury representatives, either negotiators or technical specialists, according to the particular meeting agenda.

51. The non-governmental organizations (NGOs) participating in the process comprised two umbrella organizations (International POPs Elimination Network-IPEN and Zero Mercury Working Group -ZMWG) acting as leading actors of the involvement of an extensive list of international, national and local NGOs.

52. Stakeholder engagement at different levels is built into the Convention obligations. As an example, Article 7 of the Minamata Convention requires that countries where mercury is used in artisanal and small-scale gold mining (ASGM) take steps to reduce, and where feasible eliminate, the use of mercury. Countries then prepare National Action Plans (NAPs). The required elements of these country NAPs include strategies for involving stakeholders in the implementation and continuing development of the NAPs. The corresponding guidance to countries was prepared by the Global Mercury Partnership, building on past work of this partnership and with substantive and administrative Secretariat support. The resulting ASGM guidance calls for in-depth stakeholder analysis with respective roles in NAPs and their implementation.

3.4 Project Implementation Structure and Partners

53. The Secretariat is a small team, and was very small during the bulk of the project period. Essentially, from August 2014 to August 2016, the Secretariat Support project involved the work of only a part time (30%) project supervisor/coordinator, three project officers and two administrative assistants. They relied on an extensive mercury community network that includes UN Environment divisions, regional offices and non-governmental organizations. From August 2016, a senior program officer was added to the team, to support the COP preparation.

54. The Secretariat has no formal executing partners. They hired occasional consultants, and experts from NGOs to support delivery. Project partners (namely lead government, intergovernmental organizations and numerous NGOs led by the umbrella organizations IPEN and ZMWG) are for the most part, have been engaged in the advancement and negotiations of the Convention for some time. There is strong technical capacity among partners.

55. The project implementation structure is situated within UN Environment's Chemicals and Waste Branch. The Secretariat coordinator reports to and obtains guidance from the Head of Chemicals branch. There is no project steering committee. The Bureau of the INC, comprising a selected group of countries fulfilled some functions of a steering committee, particularly related

to orientation. The Bureau made use of thematic contact groups between sessions, to advance negotiations.

56. A key driver to project outcomes, collaboration with the Global Mercury Partnership and the BRS Secretariat, and close cooperation with the Global Environment Facility, other intergovernmental organizations and engaged governments was built into project design and the delivery strategy.

3.5 Changes in Design During Implementation

57. There were no changes in project design during implementation. A single project revision was approved in February 2017 extending the project scope and budget to cover Secretariat support to the first Conference of Parties (total planned budget increased from $8,158,205 to $12,333,454). By August 2016, the number of countries having ratified (28) was not sufficient for adoption of the Convention. Meanwhile, the process of negotiations and technical work continued, in preparation for a first Conference of Parties. There was consequently an extension of time and associated budget.

3.6 Project Financing

58. The initial planned budget was $8,158,205 with only $1, 066,205 in unsecured funds. The revision augmented the planned budget to $12,333,454 of which $11, 357, 305 was spent over the project period.

59. The project benefitted from funding from over a dozen donors, totalling $12,832,720 with an over four-million dollar contribution from Switzerland and over a million-dollar contributions from the European Commission, Germany, Japan, Sweden and the USA as shown in table 2. There was an additional $300,000 contribution from the China Trust Fund. The UN Environment Fund financed approximately half of the staff post costs.

Table 2. Project Funding Sources

Funding source All figures as USD	Planned funding	% of planned funding	Secured funding	% of secured funding
Cash				
Funds from the Environment Fund	0		n/a	
Funds from the Regular Budget	0		n/a	
China Trust Fund	600,000		600,000	
Extra-budgetary funding (listed per donor):				
Austria	60,697		60,697	
Belgium	73,355		73,355	
Canada	340,703		340,703	
Denmark	294,099		294,099	
European Commission	1,200,000		1,200,000	
Finland	59,019		59,019	
France	87,223		87,223	
Germany	1,670,201		1,670,201	

Indonesia	44,105		44,105	
Japan	1,280,000		1,280,000	
Netherlands	120,000		120,000	
Norway	741,246		741, 246	
Sweden	1,018,967		1, 018,967	
Switzerland	4,409,812		4,409,812	
United Kingdom	144,040		144,040	
United States of America	1,289,252		1,289,252	
Sub-total: Cash contributions	$ 13,132,720		$ 13, 132 720	
In-kind				
Environment Fund staff-post costs	$1,338,550	100	1,338,550	
Regular Budget staff-post costs				
Extra-budgetary funding for staff-posts (listed per donor)	$2,777, 570	100	2,867,570	102
Sub-total: In-kind contributions	4,116,120		4,206,120	102
Co-financing*				
Co-financing cash contribution	0			0
Co-financing in-kind contribution:	NA[19]			
Sub-total: Co-financing contributions				
Total	$14,471,270			

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

60. The project budget and expenditure figures structured by output are partial, essentially because the project start in 2014 was before the merging to a financial management system allowing such accounting. There are, however, comprehensive costs by budget line for the project early years and current budgets are structured by outputs. There was some limited parallel manual accounting to compile project cost by outputs. Major meetings were financed through a service agreement with United Nations Office for Project Services (UNOPS) facilitating expenditure tracking. (Table 3)

[19] There were in kind donor contributions to meetings. For example the Swedish government provided lunch and coffee breaks and a meeting room – estimated at 25000 USD.

Table 3. Expenditure by Key Output

Component/sub-component/output All figures as USD	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
Output 1 -total	$ 2,677,500[20]		
INC 6 Bangkok Travel (UNOPS)	 $425, 000	 $474,543	
INC7 Jordan- total -Conference services -Travel (UNOPS)	$1,315,000 $865,000 $450,000	$1,496,851 $864,906 $631, 945[21]	113%
COP1-total -Conference services -Communications -CICG -Participant travel -tickets	$2, 313, 099	$2, 313, 099 $865, 568 $282, 917 $268, 275 $500, 890 $399, 449	
Output 2-total Technical guidance	656, 000 [22] 467, 290[23]	- 2 consultancies and 4 meetings (Feb 2014, Sep 2014, Stockholm- travel- Sept 2015, Feb 2015)	
Output 3-total Subnational workshop Regional meetings Asia Pacific March2017[24] Africa March2017 Pilot projects	2, 895, 000[25] 42, 000 30, 000	Not available example: Caribbean – SSFA – Trinidad, Feb 2015	

[20] Source: TOR of evaluation

[21] *UNON conference costs : 6 days were needed while the plan and initial agreement was for 5 days*

[22] *Source: Evaluation Consultant TOR*

[23] *Expert group cost from report to European commission, June 2017*

[24] *Incremental Cost sample of meetings see section 5.6*

[25] *Source: Evaluation Consultant TOR*

4. Theory of Change

4.1 Reconstructed Theory of Change

61. The Theory of Change (TOC) underpinning the project is illustrated in diagram (Figure 3). The key elements of this TOC, incorporating the slight adjustments made at inception, are shown in Table 4. The adjustments made during inception were to better reflect intended results, ensure consistency with the project document TOC diagram and associated logical framework and its revision, in accordance with best practice definitions. The process of reconstruction of the TOC also uncovered some additional drivers that can be influenced by the Secretariat.

62. The intended impact of the Minamata Convention is the protection of human health and the environment from the adverse effects of anthropogenic sources of mercury. The overall intended impact of the Secretariat Support project is the same as the intended impact of the Convention.

63. The project outcomes are firstly that countries are increasingly ratifying the Minamata Convention and secondly, that countries are adopting policies and taking measures for the sound management of mercury. The project targeted at least 50 country ratifications with early implementation by at least 20 countries, and some pilot projects supported by UN Environment.

64. Developing a Theory of Change is initiated by responding to the questions: What needs to happen for countries to increase the pace of ratification of the Convention and initiate implementation? Who needs to be engaged in this process? The project design considers three main preconditions for the achievement of the project outcome and corresponding causal pathways from outputs to the outcome: i) a successful global negotiation process, ii) the technical guidance required by the Convention is available to the negotiation process and iii) countries have the necessary ''awareness'' to engage in ratification and implementation of the Convention requirements. This third output includes country-level awareness of the relevant provisions of the Minamata Convention, better understanding of the steps needed to undertake ratification and the necessary tools to initiate activities. These changes in stakeholder capacity are to result from outputs and can be considered intermediary outcomes. (The list of project outputs appears in Annex IV).

65. The two parts of the outcome statement, the adoption of the globally binding instrument and its implementation are interrelated. The Convention provisions specify that in ratifying the Convention, the country expresses consent to be bound by the Convention and must make the necessary legislative, administrative and institutional arrangements. Prerequisites to the sound management of mercury include adequate national institutional structures with governance systems able to recognise, adopt and adapt to the new international, legally binding instrument, and appropriate laws and regulations to adjust as necessary, to fulfil Convention requirements, as well as technical and financial capacities.

66. The project drivers towards the achievement of outcomes and intermediate states include the type of actions where the Secretariat and UN Environment collaborators have some relatively good control. These are initially identified in the TOC diagram as the Communication and Dissemination Strategy, an ongoing program of awareness-raising activities and communication of intended activities for the INC through the Bureau members. The evaluation further refined these drivers to also include the Secretariat collaboration with other UN Environment units (Global

Mercury Partnership, BRS and others in the Chemicals and Waste Branch) to provide quality technical documents advancing negotiations and guidance to countries on Convention provisions and cooperation with broader partners.

67. With respect to mobilizing and cooperating with financial partners, the project design integrated cooperation with the Global Environment Facility to provide countries with financial support to enabling activities, referred to as Minimata Initial Assessments (MIA). The Global Environment Facility also supports National Action Plans for the management of ASGM. Lastly, the Global Environment Facility program includes opportunities of financial support for incremental costs of mercury management. The Secretariat's close cooperation with the Global Environment Facility as financial partners and other donors to align financial support to countries in fulfilling the Convention requirements is a key driver. The Convention requirement of reducing anthropogenic mercury releases to the environment involves a series of intermediate states captured in the TOC at Evaluation:

i. Parties are aware of, and are utilizing, the mechanisms of the Convention to control their import of mercury
ii. Manufacture, import and export of products listed in Annex A of the Convention no longer occurs after 2020
iii. Processes using mercury are controlled in line with Annex B of the Convention
iv. Parties are reducing the use of mercury and mercury compounds in artisanal and small-scale gold mining
v. Parties have developed, and are implementing their national action plans for artisanal small-scale gold mining, as applicable
vi. Major emitters and other parties are controlling emissions of mercury and mercury compounds from sources listed in Annex D of the Convention
vii. Parties are controlling releases of mercury from identified point sources to land and water
viii. Parties are implementing strategies and programmes to identify and protect populations at risk

68. The three main initial assumptions were: i) Broad support for ratification and implementation of the Minamata Convention based on the active participation of countries during the negotiations; ii) Countries sustain political will to implement MEAs, in particular the Minamata Convention and iii) Increased awareness of provisions of the Minamata Convention is translated into action. The reconstructed TOC further refined these assumptions as follows: i) Countries participate and support the Convention process; ii) Country political will is maintained and iii) Countries adopt measures and policies informed by best practice. Part of the rationale for this change was the fact that the evaluation found this third assumption initially incomplete as many countries carefully considered implications for industry and economic consequences before fully engaging in the ratification process.

69. The Convention design, process and the text provisions imply continuous improvement. There is an implicit TOC in the Convention provisions and requirements. Therein, the Secretariat Support project is a driver of broad change in the way the world manages mercury. The Convention text incorporates requirements for compliance verification as well as for the assessment of the Convention' s effectiveness. A dedicated expert group on effectiveness has a mandate of an effectiveness framework and monitoring methods to track changes in levels of

mercury emissions and releases, as well as mercury levels in environmental streams, biota and in humans.

Table 4 : Theory of change at evaluation compared with design			
Dimension	TOC Diagram at design	Reconstructed TOC at Evaluation	Explanation notes
Outputs	1.Successful meetings of the intergovernmental negotiating committee (INC) resulting in provisionally approved documents which are able to be forwarded to the Conference of the Parties for formal adoption	Meetings of the INC are serviced and its required documentation prepared. Preparation and servicing of COP1 is effective.	Following the planned INC meetings (INC6, INC7) the project was revised to include a first COP as a key output.
	2. A successful technical process to develop guidance required under the Convention, with the formulated guidance presented to the intergovernmental negotiating committee for its consideration in time to be forwarded to the Conference of the Parties	Timely technical guidance is provided to the INC and COP1.	The required guidance documents are listed in Article 8 of the Convention.
	3.Awareness raising activities delivered globally, with an anticipated effect of an increase in ratification and implementation following the awareness raising	Countries are provided with information on provisions of the Convention and steps for ratification. Signatory countries have access to tools to commence implementation activities. Countries undertake pilot activities and further actions towards implementation of the Convention provisions with assistance from UN Environment	The intended results of awareness - raising workshops were defined in project design[26] :i) Countries have increased awareness of the relevant provisions of the Minamata Convention. ii) Countries have a good understanding of the steps needed to undertake to ratify and implement the Convention. iii) Countries have the necessary tools to commence activities.

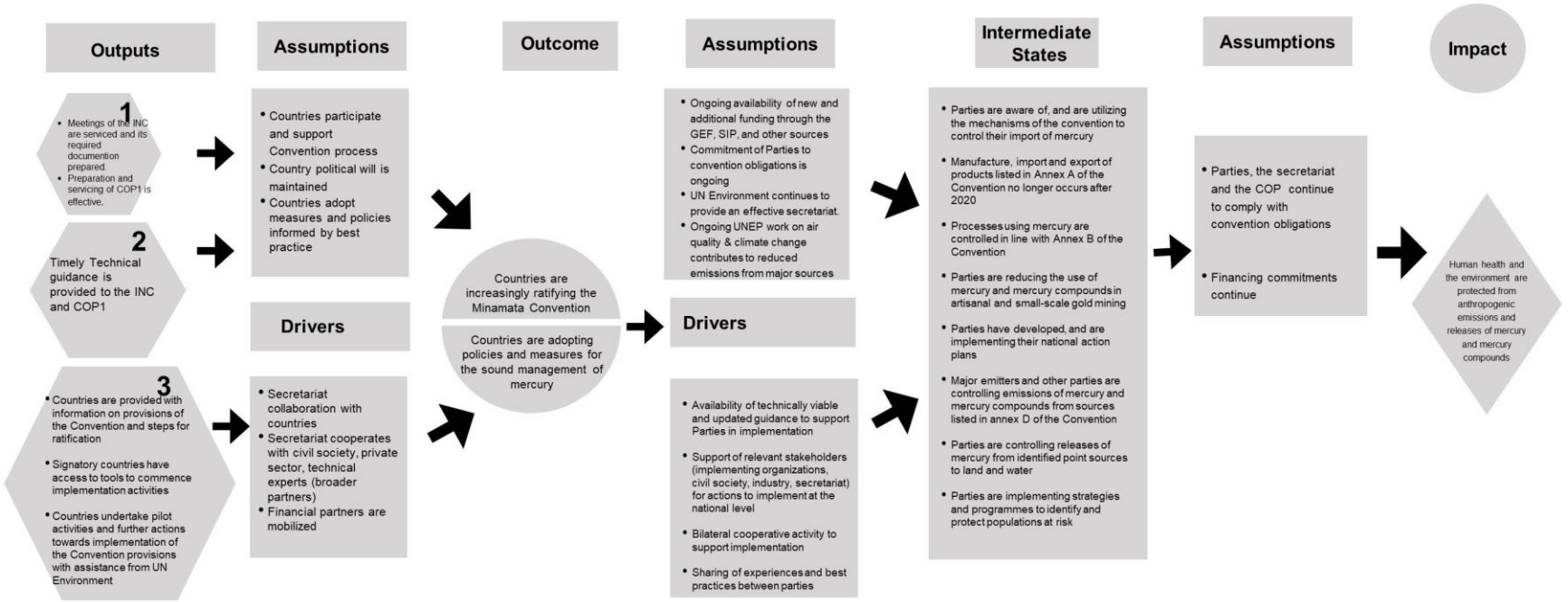
[26] *Project document pages 7-8 and project revision*

Outcome	Countries are increasingly ratifying the Minamata Convention and adopting policies for the sound management of mercury.	Countries are increasingly ratifying the Minamata Convention. Countries are adopting policies and taking measures for the sound management of mercury.	The two parts of the project outcome have related but different specific causal paths and respective indicators. The project revision advanced it to the stage of entry into force of the Convention and early country implementation of provisions.
Intermediate states	INC takes provisional decision pending entry into force Countries have phased implementation of the Convention addressing issues of highest concern	Parties are aware of, and are utilizing the mechanisms of the Convention to control their import of mercury Manufacture, import and export of products listed in Annex A of the Convention no longer occurs after 2020 Processes using mercury are controlled in line with Annex B of the Convention Parties are reducing the use of mercury and mercury compounds in artisanal and small-scale gold mining Parties have developed, and are implementing, their national action plans Major emitters and other parties are controlling emissions of mercury and mercury compounds	The reconstructed list of intermediate states identified with the project team better reflects the specific Convention requirement and their intended results.

		from sources listed in annex D of the Convention Parties are controlling releases of mercury from identified point sources to land and water Parties are implementing strategies and programmes to identify and protect populations at risk	
Impacts	Global improvement in mercury management through access to improved tools and national actions to control emissions and releases. Human health and the environment are increasingly protected from anthropogenic emissions and releases of mercury and mercury compounds	Human health and the environment are protected from the anthropogenic emissions and releases of mercury and mercury compounds	The adjustments to the impact statement ensures consistency with UN Environment definitions and Article 1 of the Convention.
Project Drivers from outputs to outcomes	Communication and Dissemination Strategy: ongoing programme of awareness raising activities and communication of intended activities for the INC through the bureau members	Secretariat collaboration with countries Secretariat cooperates with civil society, private sector, technical experts (broader partners) Financial partners are mobilized	Drivers are external conditions over which the project has a certain level of control and which are critical to advances in Convention implementation.
Drivers from Outcomes to Intermediate States	None specified	Availability of technically viable and updated guidance to support Parties in implementation	

		Support of relevant stakeholders (implementing organizations, civil society, industry, Secretariat) for actions to implement at the national level Bilateral cooperative activity to support implementation Sharing of experiences and best practice between parties	
Project Assumptions	Broad support for ratification and implementation of the Minamata Convention based on active participation of countries during the negotiations. Countries maintain the political will to implement MEAs, in particular the Minamata Convention Increased awareness of provisions of the Minamata Convention is translated into action	Countries participate and support Convention process. Country political will is maintained. Countries adopt measures and policies informed by best practice.	Assumptions are external conditions over which the project has limited/no control and which are critical to advances in Convention implementation. The two first reconstructed assumptions are unchanged, with slight wording adjustment. The third assumption is adjusted to better reflect the information and process of exchange that was most appreciated by countries
Assumptions from outcome to Intermediate States	None specified	Ongoing availability of new and additional funding through the Global Environment Facility, Specific International Programme , and other sources. Commitment of Parties to Convention obligations is ongoing.	These assumptions are deemed essential to maximise the likelihood of impact and ensure future project advancement.

		UN Environment continues to provide an effective Secretariat. Ongoing UN Environment work on air quality & climate change contributes to reduced emissions from major sources.	


Outputs
Assumptions
Outcome
Assumptions
Intermediate States
Assumptions
Impact
1
Meetings of the INC are serviced and its required documention prepared.
Preparation and servicing of COP1 is effective.
2
Timely Technical guidance is provided to the INC and COP1
3
Countries are provided with information on provisions of the Convention and steps for ratification
Signatory countries have access to tools to commence implementation activities
Countries undertake pilot activities and further actions towards implementation of the Convention provisions with assistance from UN Environment
Countries participate and support Convention process
Country political will is maintained
Countries adopt measures and policies informed by best practice
Drivers
Secretariat collaboration with countries
Secretariat cooperates with civil society, private sector, technical experts (broader partners)
Financial partners are mobilized
Countries are increasingly ratifying the Minamata Convention
Countries are adopting policies and measures for the sound management of mercury
Drivers
Ongoing availability of new and additional funding through the GEF, SIP, and other sources
Commitment of Parties to convention obligations is ongoing
UN Environment continues to provide an effective secretariat.
Ongoing UNEP work on air quality & climate change contributes to reduced emissions from major sources
Availability of technically viable and updated guidance to support Parties in implementation
Support of relevant stakeholders (implementing organizations, civil society, industry, secretariat) for actions to implement at the national level
Bilateral cooperative activity to support implementation
Sharing of experiences and best practices between parties
Parties are aware of, and are utilizing the mechanisms of the convention to control their import of mercury
Manufacture, import and export of products listed in Annex A of the Convention no longer occurs after 2020
Processes using mercury are controlled in line with Annex B of the Convention
Parties are reducing the use of mercury and mercury compounds in artisanal and small-scale gold mining
Parties have developed, and are implementing their national action plans
Major emitters and other parties are controlling emissions of mercury and mercury compounds from sources listed in annex D of the Convention
Parties are controlling releases of mercury from identified point sources to land and water
Parties are implementing strategies and programmes to identify and protect populations at risk
Parties, the secretariat and the COP continue to comply with convention obligations
Financing commitments continue
Human health and the environment are protected from anthropogenic emissions and releases of mercury and mercury compounds

5. Evaluation Findings

5.1 Strategic Relevance

70. The strategic relevance of the project is rated as 'Highly Satisfactory' as the implementation strategy is explicit and fully aligned with UN Environment's mandate and thematic priorities, regional, sub-regional and national priorities and overall stakeholder needs. The intervention is complementary to past and current interventions of UN Environment to reduce anthropogenic sources of mercury essentially through the Global Mercury Partnership and responds to issues flagged in the series of Global Mercury Assessment.[27] Project delivery was coherent with UN Environment Capacity Building and South-South Cooperation policies, involving assessment of needs and encouraging country exchanges.

71. The Minamata Convention on Mercury clearly represents a UN Environment priority and Secretariat Support to Multilateral Environment Agreements (MEA's) is a strategic UN Environment function. The project directly contributes to the Expected Accomplishment of the UN Environment sub-programme on Chemicals and Waste stating that, ''Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions of the multilateral environmental agreements". The sub-programme has an overall objective to ''Promote a transition among countries to the sound management of chemicals and waste, with a view of minimising impacts on the environment and human health", as stated in the UN Environment medium term strategy for 2014-2017.

72. The project planning, organising and facilitating of workshops responds to capacity development priorities expressed in the UN Environment Bali Strategic Plan for Technology Support and Capacity Building[28] (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.[29] The Secretariat Support project is aligned with these policies as the awareness raising activities were inclusive and encouraged South-South exchanges.

73. Significant effort was placed in ensuring complementarity and avoiding duplication with existing interventions by other actors on sound management of mercury. The Convention process comprises a mechanism to assist countries with financial and technical support for ratification and implementation. The Convention Secretariat worked closely with the Global Environment Facility Secretariat to ensure implementation support to ratification was complementary and channelled appropriately.

74. In addition to working with the Global Environment Facility, the plan for the Secretariat is to work closely with the Global Mercury Partnership to ensure that technical information and

[27] *Global Mercury Assessment 2002, 2009, 2014*

[28] *http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf*

[29] *Extract from UN Environment guidance on TOC*

support is available to the INC negotiations and to countries engaging in implementation. The work of the Secretariat builds on the technical knowledge of the Global Mercury Partnership Secretariat and partnership as well as on the BRS Convention work. This collaboration[30] was a critical factor in advancing the substantive dimensions of the INC and COP global forums and in producing quality framework guidance for country implementation.

75. The project's implementation structure relies on regional offices to assist in ensuring that the project accurately reflects the countries expressed priorities. The plans were for UN Environment regional offices to act as key contact points in the development of Global Environment Facility projects implemented by UN Environment. The Secretariat carried out a basic assessment exercise to adjust workshop agendas and contents to participants needs.

5.2 Quality of Project Design

76. The assessment of project design carried out at inception is rated as 'Satisfactory', with a rating of 5.08. The project design strengths and weaknesses are summarized in this section. In brief, the strengths of the project design are its strategic relevance to the UN Environment mandate, the programme of work as expressed in UN Environment Medium Term Strategy, the clarity of the logical framework, the project ability in securing funding, as well as the sustainability strategy and potential catalytic effects. The primary project design weaknesses include partial budget information by output, a vaguely defined outcome indicator for monitoring country adoption of policies and measures for the sound management of mercury, the poor identification of project risks and the incomplete response to the project design weaknesses flagged by the Project Review Committee (PRC).

77. The plan for global meetings and technical documents were largely dictated by the Convention process, namely in the Final Act of 2013[31] which set the Convention provisions. Additional regional meetings were held in 2017 in preparation for COP 1. The project design calls for the Secretariat to work closely with the Global Environment Facility Secretariat to ensure support is channelled as appropriate to assist countries with financial and technical support for implementation. The project implementation structure is planned for UN Environment regional offices to act as key contact points in the development of Global Environment Facility projects implemented by UN Environment.

78. The theory of change (TOC) of the project is clear, although small adjustments were necessary to ensure the needed consistency with the well- articulated logical framework, the project revisions and best practice definitions.

79. The large majority of donor contributions were secured and adequate at project design; only $1,006,205 of the initial budget of $8,158,205 was not yet secured at project onset. The budget tables in the project design document showing the breakdown of donor contributions, are not broken down by output or activity with only an estimated total budget for each of the main three outputs of the project.

[30] *Collaboration is used to describe working relations within all of UN Environment division and units and any contractual relation as compared with cooperation which is voluntary and based on shared objectives.*

[31] *Conference of the Plenipotentiary held in Kumamoto Japan in October 2013*

80. The second outcome indicator, the number of countries having adopted sound policies and measures, requires an adequate method of measurement, verification and reporting in order to be SMART. This indicator was left vaguely defined in project design.

81. The project risk log identified three risks: i) Countries do not ratify the Convention; ii) Countries do not implement the Convention and iii) The expert group does not develop technical guidance in a timely manner. The inverse of these risks corresponds to the project outcome and outputs. The TOC has two identified risks: i) No government support and ii) Duplication of work by different agencies in support of implementation. The log frame has indicators and no risk identified. This is considered inadequate, as the identification of the risks cannot simply be the negative of the positive intended results of the project. What could derail project advance was not adequately addressed in project design.

82. A weakness in articulating the respective role of stakeholders was flagged by the PRC and the stakeholder analysis was revised by the project team. Some of the stakeholders are clearly project partners, yet there were no specifics in the project design on their respective roles and project inputs. The PRC also flagged that the TOC outcomes were not pitched high enough and needed some revision. The project team responded that this was beyond the project scope. No changes were made to the TOC.

83. In a context where the specifics of the Secretariat work are defined by the Convention, the work of the Interim Secretariat is more loosely defined and more amenable to priority setting and adaptive management. The project document outlines a project implementation structure of the Interim Secretariat within the chemicals branch. The Interim Secretariat coordinator reports to, and obtains guidance, from the head of chemicals branch. There is no project steering committee. The INC bureau partly filled the equivalent role of a steering committee. The implementation structure outlines the respective roles of different units within UN Environment in terms of leadership and supervision of the work of the Interim Secretariat.[32] The respective roles of the Bureau and of UN Environment management remained unclear.

84. Progress towards the reduction of anthropogenic mercury emissions and releases depends on successful implementation through country actions. Consequently, the project causal pathway expected to most strongly contribute to impact is the awareness raising workshop and pilot projects. The project design does not elaborate on the structured efforts to consult governments and other stakeholder on the priority needs to facilitate ratification and implementation of the Convention prescriptions. There were nonetheless country consultations in preparatory activities to the subnational workshops, which informed the workshop and regional meeting agendas and delivery. The space for knowledge management, especially experience sharing among countries, is limited in the project design.

85. The project identified a communication and dissemination strategy and an ongoing program of awareness-raising activities as a key driver of effective advancement, yet there was no planned communication strategy or plan. The project design did not contain many specifics on what these communication activities entailed and why, nor on the target audiences and expected outcomes of awareness raising activities.

[32] *Among MEAs , it appears that the Minamata Convention on mercury is the only one with agreement that UNEP assumes Secretariat functions (UNEP EA.1/1.20 May 2016)*

86. The Secretariat recognized the key driving factors of collaboration with Bureau members and other lead governments to move forward a timely Convention negotiation process. The project also recognised the importance of collaboration with Global Mercury Partnership, BRS and other UN Environment units in the Chemicals and Waste Branch to provide quality technical documents required for advancing negotiations and guidance to countries on Convention provisions. This collaboration is called for broadly in the Convention, without identifying the specific means. The project design did not further define the working arrangements.

87. The Secretariat mobilized financial partners and cooperated with the Global Environment Facility and executing partners to align financial support to countries in fulfilling the Convention requirements. These drivers being critical to project success, the project design would have benefited from more explicit articulation of the means and structures for an effective collaboration.

5.3 Nature of the External Context

88. The external context was rated as 'Favourable' overall to the project, based on the fact that the external context did not influence ratification, although it had a minor influence on early implementation.

89. Few countries noted conflict, natural disasters or change of government as a reason or part of the reason for delayed ratification and/or the sound management of mercury. The external context had no bearing on project design. During the subnational workshops started in 2014, South Sudan was the only country noting conflict as an obstacle to ratification. Iran and Cuba noted a context of economic sanctions as a challenge. Nevertheless, Iran ratified the Convention in June 2017 and Cuba subsequently followed in January 2018. Some changes in government led to slight delays, with no bearing on the outcome.

90. In considering evidence of progress towards implementation of Convention prescriptions, the evaluation notes that there is evidence of influence from the external context at the level of implementation. This external context affects the likelihood of impact and is reviewed in the corresponding section on effectiveness. While related, this influence of external context is outside the scope of design and delivery of the Secretariat Support project.

5.4 Effectiveness

91. The evaluation of overall project effectiveness is rated as 'Satisfactory'. There was full achievement of all project planned outputs. The achievement of the project outcome, of countries increasing ratification of the Minamata Convention, surpassed planned targets, with nearly double the planned numbers of ratifying states (91vs 50). The outcome that countries adopt policies and measures for the sound management of mercury is only partly achieved with evidence of implementation of the Convention prescriptions promising but so far limited, at a stage described as early in Convention implementation. The project impact is likely however, as drivers and assumptions throughout apply, including from intermediate states to impact.

5.4.1 Achievement of outputs

92. The effectiveness in delivery of outputs is rated as 'Satisfactory'. All planned outputs were fully delivered on time, advantageous to their extended usefulness. The Secretariat Support

project involved delivery of three main outputs: i) Global meetings effectively prepared and serviced; ii) Four technical guidance documents required by the Convention and iii) Awareness-raising workshops and pilots to support individual countries. The global meetings of the INC6, INC7 and COP 1 paved the way for effective implementation of the Convention. The guidance documents produced are used by countries to inform ratification and implementation and for the programming of Global Environment Facility support. Interviews revealed that the awareness raising workshops were inclusive and well appreciated by participants. The pilot projects were considered preparations to full assessments, yet involved limited outputs with some duplication of the Minamata Initial Assessments and were overall short of the intended results. A collated list of project outputs appears in Annex IV.

Global meetings effectively prepared and serviced

93. Three global meetings were effectively prepared and serviced by the Secretariat. The global meetings included two meetings of the INC: The Sixth meeting of the Intergovernmental Negotiating Committee (INC6) held in Bangkok in April 2015 and the Seventh meeting of the Intergovernmental Negotiating Committee (INC7) held in Jordan in March 2016. Each of the INC meetings was preceded by two face-to-face INC Bureau meetings, also organised and serviced by the Secretariat. In addition, following the project revision, a first conference of the parties of the Minamata Convention COP1 was held September 24-29 in Geneva. The option of holding an additional negotiating committee meeting (INC8) was considered by the Bureau, but was not pursued as the number of potential parties was sufficient to hold a COP and the latter deemed more efficient than a larger forum. A full documentation of the INC meetings and COP 1 official documents are shared on the Convention Web site.[33]

94. Bureau members and key stakeholders that were actively involved in these meetings praised the effectiveness of Secretariat support. Those interviewed were overwhelmingly impressed with the Secretariat's capacity to produce high quality documents on time, and its aptitude to ensure the advice and support was fully in tune with the negotiations facilitating the advancement of discussions.

95. The Secretariat's effective networking was critical in producing quality documents that could be adopted early in the COP 1 meeting process. The close collaboration between the chair and the Secretariat Support project Manager and their work with the contact groups were also mentioned as a success factor. The Secretariat is described as knowledgeable, efficient and responsive to suggestions of different stakeholders, including the other Convention.

96. The technical documentation and guidance informing the global meetings is considered of excellent quality and was consistently received largely within the usual six weeks advance. There was one observation that some of the documents informing interagency discussions and requiring political decisions at COP1 were received about a week before the COP, which is a marked change from past practice and considered insufficient timing for the in-country reviews by different ministries involved. Another key stakeholder in the negotiations observed that COP1 agenda was a little complicated and suggested agenda simplification as an improvement for future COP meetings.

[33] *http://www.mercuryconvention.org*

97. The Secretariat approach to gender considerations in project delivery was to influence contact groups to have balanced leads in chairing meetings with both a male and female leading meeting discussions. The Secretariat clearly encourages gender equity, but has no influence on the selection of country and agency delegates. Nonetheless, they facilitated participation of an Iranian female engineer, by inviting the male spouse. They have also taken measures to ensure the meetings have access to breast feeding and prayer rooms.

98. Key meeting participants were Countries and a significant number of intergovernmental organisations including the Global Environment Facility, UNIDO, WHO, UNDP, UNITAR, the Global Mercury Partnership, the Secretariat of the Basel, Rotterdam and Stockholm Conventions. Global meeting participants also included a large number of NGOs, namely some 30 NGOs in INC6 and INC7, with main interest in reducing mercury emissions, releases and exposure. Some sixty NGOs with a wider spectre of interest participated in COP1. A full list of meeting participants is available on the Convention website. NGO participants include industry alliances such as the Artisanal Gold Council, as well as NGOs with gender equality interest such as the Armenian Women for Health and Healthy Environment. While NGOs are technically observers, they were encouraged to voice their positions in the global foray. The NGOs consider the atmosphere was collegial and a significant change from the more conservative, somewhat closed attitude of a few years ago. This effective collegial spirit is also partly explained by the open approach of the Global Mercury Partnership which was brought forth in the global negotiations on mercury. This collegial approach, which was well managed in a formally structured process, has helped to move the Convention process forward effectively.

Technical guidance documents

99. Four technical guidance documents required by the Convention were produced as the project second key output. All of these guidance documents were required under Article 8 on Emissions: i) Technical guidance on Emissions –best available techniques and best practices provided to INC7 by the expert group on Emissions (Article8-para 8 a); ii) Technical Guidance in determining goals and setting emission limit values (Article8-para 8 b); iii) Technical Guidance on criteria on emission sources (Article 8 para 9a) and iv) Technical Guidance on methodology for preparing inventories of emissions (Article 8 para 9a). Each of these technical guidance documents were adopted by the COP with acknowledgment of the quality work of the technical expert committee.

100. Leads of the technical expert committee groups commended the effectiveness of the Secretariat in pulling together the necessary packages of information, drawing often on documents produced by the Global Mercury Partnership. The Secretariat work is once more described as professional, very efficient, of high quality and delivered on time. Committee members particularly appreciated how the Secretariat is inclusive in sharing information and responsive to questions from all.

101. The technical guidance documents adopted by the COP1 have been incorporated into the Global Environment Facility programming guidance extending their potential reach to national institutions and actors benefitting from Global Environment Facility financing. Beyond their use in the Convention negotiations and Global Environment Facility future programming, stakeholders mentioned the usefulness of technical guidance in informing in-country networks. For example, the technical documents are used in individual country technical groups such as industry unions and government agencies not directly involved in the Convention process. Some countries

mentioned that the guidance on emissions needed to be tested in country in order to fully appreciate their applicability.

102. The expert committee groups producing the final documents were composed of representatives of technical experts from agencies and industries as well as from the BRS Secretariat. This allowed benefitting from the experience of the Stockholm Convention, which has similar sources and shares the same target issues and audiences.

103. In addition to the project planned guidance documents above, the Secretariat contributed significantly to the preparation of other guidance to inform the first COP. The guidance on ASGM is an example. While this guidance was a product of the Global Mercury Partnership, the Secretariat contributed substantive inputs and incorporated comments from global community stakeholders.

Awareness-raising workshops, regional meetings and pilots

104. The awareness–raising workshops held across all regions were started before the project period. A South East Asia workshop was held in Kuala Lumpur, Malaysia (19 to 21 March 2014); a First Anglophone Africa workshop in Nairobi, Kenya (23 to 25 April 2014) and a Second Anglophone Africa workshop was held in Nairobi, Kenya (28 to 30 April 2014). The INC encouraged the Secretariat to hold workshops and meetings in different parts of the world to support the ratification process and early implementation of the Convention.

105. In terms of country needs assessment, the Secretariat sent an invitation with preparatory note to countries in early 2014. The invitation included a questionnaire survey and request for report on national circumstances with respect to mercury uses and sources of mercury emissions and releases; priority areas identified so far, planned projects as well as planned or enacted legislation regarding mercury management. Countries were also requested to identify stakeholders and outline the status of signature and ratification of the Convention as well as challenges at practical, legal, technical and political level. The questionnaire also solicited participant's expectations for the upcoming workshops and announced that participants would be invited to prepare a draft road map outlining general steps and priorities for the ratification and early implementation of the Convention.[34]

106. The workshops aimed to improve the understanding of the Convention and the process for signature, ratification and implementation. In the organization of workshops there was coordination and cooperation with the Secretariats of the Basel, Rotterdam, and Stockholm Conventions on contributions to the workshops, as well as from UNDP, UN Environment, UNIDO, UNITAR, WHO and Global Environment Facility, to make full use of relevant expertise and experiences.

107. Informed by the responses to the preparatory questionnaire, the agenda of these workshops comprised an overview presentation of the Convention, presentations mainly by UN Environment of key provisions (emissions and releases, ASGM, supply, trade and storage, waste and contaminated sites, products and processes), health aspects and sources of funding, namely Global Environment Facility support to countries in the interim period. Many of these agenda items included a presentation by a country of the sub-region illustrating a specific action on sound

[34] *UNEP Preparatory and follow up activities questionnaire sent with invitation to sub-regional workshops. February 2014*

management of mercury. For example, Nigeria and Brazil presented control measures on emissions and releases, Uganda outlined how dental amalgams were being phased out, and Chile presented waste management measures. As announced in the preparatory note, the agenda also included work sessions for the development of a draft national road map. Time being limited, any meaningful road map was likely prepared ahead of the workshops. Finally, the workshops provided an opportunity for some additional consultations on future needs and cooperation on implementation of the Convention.

108. The agencies participating in the workshops such as Global Environment Facility, UNIDO, UNITAR and WHO had little allotted time for presentations but considered their participation very useful to share information on technical and financial resources available to countries. There were also valuable opportunities to get country participant's feedback on what they needed to improve mercury management, both in corridor discussions and in feedback sessions following presentations.

109. Regional meetings were highlighted as critical by the INC and its bureau early in the negotiation process. The Secretariat was encouraged to facilitate such meetings subject to availability of funding.[35] During the project period, ten sub-regional workshops were held (Table 5) each involving 30 to 50 participants. In addition to country representatives, UN Environment divisions, Global Environment Facility, WHO and NGOs (IPEN and ZMWG) contributed brief presentations of their respective areas of responsibility and intervention in the Convention process.

110. The Secretariat provided financial support to NGO members of the ZMWG and IPEN from developing countries to ensure their participation in, and contribution to, all the workshops. These lead groups presented approaches on stakeholder participation and in turn ensured that other NGOs were also participants and available to provide technical assistance and support to countries.

111. An important focus and result of the subregional-workshops were the individual country road maps to ratification and early implementation of the Convention. The road map prepared by China is an example; it includes an assessment of the national situation regarding mercury sources, uses and releases, outlines the ratification process in China and the steps needed for implementation of the Convention. This road map was shared with participants in the South- East Asia sub-regional workshop in support for the ratification and early implementation of the Minamata Convention on Mercury held in Kuala Lumpur in March 2014. Chinese emissions represent about one-third of the global total[36]. China being one of the largest emitters and users of mercury in the manufacture of products, advances in this country has determining global effects. China has signed and ratified the Convention and has requested only an extension of the phase out date for mercury-containing clinical thermometers and sphygmomanometers to 2025. They have not otherwise requested extensions to the product phase out indicating mercury-free manufacture of lighting and other products. China has ongoing support for a Mercury Impact Assessment (MIA), initiated in June 2014 with 1 million USD in funding from the Global Environment Facility. The MIA, produced in Chinese, was not yet available at the time of the evaluation. This assessment is leading to the implementation of actions on large source mercury

[35] *Meeting of the Bureau of the Intergovernmental Negotiating Committee to prepare a global legally binding instrument on mercury,2 February 2012 Note by the secretariat on the flow of the negotiations 5 pages*

[36] *Global Mercury assessment 2013 page 31*

emissions from power plants and boilers planned for the seventh replenishment phase of the Global Environment Facility.

112. The sub regional workshops were followed by two series of regional workshops to support the ratification and effective implementation of the Minamata Convention, arranged back-to-back with the regional meetings for the Basel, Rotterdam and Stockholm (BRS) Conventions convened in preparation for the BRS Conferences of the Parties of May 2015 and March 2017. These regional meetings were attended by some 100-150 participants all of which were in attendance of the BRS regional meetings. The 2015 workshop focused on providing updates on the Convention negotiation process, on the availability of financial resources and technical support to country ratification as well as on opportunities for cooperation and coordination. The March 2017 workshops provided an opportunity for an overview update on the Convention process, key issues for COP1 with a focus on regional needs. For example, the Dakar regional meeting included presentations of the guidance on NAPs for ASGM and the work on contaminated sites.

113. Lastly, four regional preparatory meetings were held in July 2017 in preparation for COP 1, with supplemental financing from Switzerland and the European Commission. These regional meetings aimed to prepare regional positions to be contributed to COP 1.

Table 5: Awareness-raising Workshops and Meetings held between July 2014 and July 2017.
• Asia and the Pacific: 5 to 7 July 2017, Bangkok, Thailand • Africa: 11 to 13 July 2017, Johannesburg, South Africa • Central and Eastern Europe: 12 to 13 July 2017, Brno, Czech Republic • Latin America and the Caribbean: 25 to 28 July 2017, Buenos Aires, Argentina
Four working sessions back-to-back with the 2017 regional meetings for the Basel, Rotterdam and Stockholm (BRS) Conventions • Asia and the Pacific: 9 to 10 March 2017, Bangkok, Thailand: • Africa: 17 March 2017, Dakar, Senegal • Central and Eastern Europe: 24 March 2017, Riga, Latvia • Latin America and the Caribbean: 27 to 31 March 2017, Sao Paulo, Brazil
Four regional workshops back-to-back with the 2015 regional meetings for the Basel, Rotterdam and Stockholm (BRS) Conventions • Asia and the Pacific: 17 to 20 March 2015, Jakarta, Indonesia • Africa: 24 to 27 March 2015, Nairobi, Kenya • Central and Eastern Europe and Central Asia: 7 to 10 April 2015, Bratislava, Slovakia • Latin America and the Caribbean: 14 to 17 April 2015, Montevideo, Uruguay
Sub-regional workshops • First Francophone Africa workshop in Dakar, Senegal (9 to 11 July 2014) • Second Francophone Africa workshop in Dakar, Senegal (14 to 16 July 2014) • Arabic speaking countries workshop in Dead Sea, Jordan (5 to 7 August 2014) • South America workshop, Brasilia, Brazil (2 to 4 September 2014) • Asian countries workshop, New Delhi, India (18 to 20 September 2014) • Mesoamerica workshop, Mexico City, Mexico (26 to 28 November 2014) • Caribbean workshop, Port of Spain, Trinidad and Tobago (19 to 21 January 2015) • Pacific workshop Apia, Samoa (19 to 21 January 2015) • Central and Eastern Europe and Central Asia workshop, Minsk, Belarus (18 to 20 February 2015)

114. The subregional workshops and regional meetings were highly appreciated by participants. This is verified through an evaluation questionnaire completed by participants at the end of the subnational workshops. A total of 298 individual participants responded to the questionnaires. The Secretariat used these results to make adjustments to the next series of workshops. Table 6 summarizes the appreciation of workshop facilitation and usefulness which are overall, quite positive. The highest score related to appreciation for the workshop contribution to increased cooperation among countries. Stakeholders highlighted cooperation as the most valuable dimension of subnational workshops. The logistical arrangements were also scored highly: length of workshop (86% just right); daily schedule (68% just right; 31% too long) workload

in preparation (97% just right) and workload during the workshop (87% just right) as well as amount (84% just right) and complexity (93% just right) of workshop materials were also valued.

Table 6. Participant Evaluation of Workshops[37]

Facilitation	Excellent	Average	Poor
Facilitators Understanding of participants background and needs	58 %	40%	2%
Level of preparation for workshop sessions	73 %	27%	0%
Sensitivity to sub-regional context	62 %	35%	3%
Usefulness			
News skills and knowledge gained	58 % Many	41% Some	1% None
Increased understanding of rights and obligations under the Convention	68% Many	31% Some	1% None
Usefulness to sign ratify and implement	72 % very	41% Quite useful	2 % Not useful
Contribution to increased cooperation among countries of the sub-region	90% yes	2% No	8% Don't Know

115. Pilot interventions to support individual countries were carried out, all with technical assistance by NGOs. The five pilots resulted in activities impacting nine countries (Lesotho, Vietnam, Swaziland, Cambodia, Burundi, Central African Republic, Congo, Cote d'Ivoire and Gabon). The benefits of country pilots were indicated in the project documents, but design and planning was left open, without specifics. The selection of countries was based on country demand and with financing from the China Trust fund earmarked for such activities. These pilot projects were initiated before the launching of the GEF financed MIAs and while they are somewhat redundant with MIAs, they are considered pre-initial assessments supported by the Secretariat.

116. The Secretariat role in these pilot projects was to discuss the scope of the needs, select the implementing partners (in this case all NGOs), prepare the financial and legal agreement, as well as to receive and comment on the reports. In the case of the assistance to five African countries the Secretariat role was essentially administrative, while UN Environment facilitated workshop discussions on the National Action Plans regarding mercury in ASGM. Pilot experiences are recognised as weak, with a small amount of financing (some $20,000 each) and too little dedicated attention on planning, delivery and monitoring.

[37] *Source: Minimata Convention Secretariat*

117. **Lesotho Legal Review:** Lesotho implemented a Pilot Project on Early Implementation of the Minamata Convention on Mercury, with the technical support of the Africa Institute for the Environmentally Sound Management of Hazardous and Other Wastes (AI), and financial support of the UN Environment. The project aimed to develop and build the necessary institutional capacity and policy instruments for implementation of the Convention. The Project comprised: i) A legal review and submission to the national processes of the documents required for the implementation of the Convention; ii) The development of a mercury inventory using the UN Environment inventory toolkit, and iii) Consultations with key stakeholders and the development of outreach material.[38] The legal review component identified gaps in the various laws and recommended that the Government of Lesotho amend the Toxic and Hazardous Chemicals Control and Management Bill 2015 with specific amendments regarding mercury. There is some overlap with the content of the MIA.

118. **Vietnam Legal Review and Institutional Capacity Assessment:** The review of the legal system and administrative procedures for managing chemicals concluded there were overlaps and inconsistencies in policy frameworks and called for more coordination among ministries. The review concluded that there would be benefits for Vietnam in improving the national system for mercury management, facilitating international support and sharing knowledge with other countries.[39] The purpose and usefulness of the pilot projects is unclear in a context where there is an ongoing Minamata Initial Assessment started in June 2014 with $500,000 of Global Environment Facility funds implemented by UNIDO.

119. Other pilots included the Swaziland pilot project, carried out with the assistance of Environment Health Groundwork, a South African NGO.A Cambodia workshop was organised and facilitated by the Natural Resource Defense Council (NRDC). The purpose and scope of the Cambodia workshop are unclear and no report was made available. Pilot support also comprised assistance to five Africa Countries in preparation of National Action Plans s for mercury management in ASGM (Burundi, Central African Republic, Congo, Cote d'Ivoire and Gabon). Implementation in terms of mercury substitution measures are not yet in place.

120. Overall the delivery of planned outputs of the Secretariat support is rated as 'Satisfactory'. The large majority of planned outputs were completed and delivered on time, and are deemed of high quality, with the exception of the pilots which are short of the intended results, and served mainly as initial exchange forums to inform the MIAs.

5.4.2 Achievement of Direct Outcomes

121. The achievement of direct outcomes is rated as 'Satisfactory' based on the UN Environment Evaluation Office criteria of direct outcome being achieved, with drivers and the essential components of the assumptions between outputs and outcomes in place. Of note is the important fact that 92 countries ratified the well-designed Convention against a target of 50. The achievement on the first part of the project outcome related to ratification was therefore largely surpassed. The adoption by lead countries, such as Canada, China and Japan of policies and measures for the sound management of mercury appears sufficiently advanced in support of the second part of the outcome related to implementation of policy instruments. It should be noted however that evidence is still somewhat scarce and not easily verifiable by the Secretariat and

[38] *Kingdom of Lesotho. Lesotho legal review for the implementation of the Minamata convention on mercury .page iii*

[39] *Vietnam Chemical Agency Project Management Unit. 2015*

this evaluation. All of the assumptions hold, countries are participating and supporting the Convention process, country political will is maintained, and countries that are adopting measures and policies are doing so informed by best practice. Secretariat collaboration with countries is well in place with numerous mentions of the Secretariat's ability in building a trusting relationship with Parties. The other key drivers towards project outcome are also well in place as the Secretariat cooperates with the Global Environment Facility and other financial partners are mobilised to ensure country financing and support. Although not yet fully focused on implementation, the Secretariat continues to collaborate closely with the Global Mercury Partnership and other key partners.

122. The project had a target of at least 50 countries ratifying the Convention. (Table 7) This number of ratifications was required for the Convention to come into force. The number of countries having ratified the Convention is documented by the United Nations Office of Legal Affairs treaty collection. By the end of the initial project, in August 2016, only 28 countries had ratified the Convention, short on the target of 40 countries. During the project extension, by the end of December 2017, the target was largely surpassed with 85 country ratifications, and by the end of May 2018, the number of country ratifications had reached 92.

Table 7. Secretariat Support Outcome targets and indicators

What will change?	How many?	By when?	Number of countries
Number of countries having ratified the Convention	At least 50	June 2017	92 (As of May 2018)[40]
Number of countries having adopted sound policies and measures	20	December 2017	20 (as of March 2018)

123. The four-year interim period between the adoption of the Minamata Convention (October 2013) and its entry into force (August 2017) is comparable to the interim period of the Stockholm and Rotterdam Conventions, which were three and six years respectively. [41.] Several stakeholders were expecting an entry into force in late 2016. The delay is largely due to an underestimation of the time required for administrative procedures of adoption in the EU. While European Union countries were committed to ratifying the Convention, there are lengthy legal procedures in the EU system and strict rules that countries cannot supersede the EU ratification. The EU was expected to have ratified by mid-2016 and consequently the number of expected ratifications included at least a dozen European countries. In sum, the initial delay in country ratifications due to process was subsequently largely compensated for, with an increasing number of countries confirming their commitment to the Convention by completing the ratification process.

124. Country ratifications clustered around other global events. For example the EU and seven member states (Bulgaria, Denmark, Hungary, Malta, the Netherlands, Romania and Sweden) deposited together their instruments of ratification at the UN headquarters in New York, bringing

[40] *As of December 2017, the project end date, 85 countries had ratified the Convention. By May 2018, the number of countries having ratified had reached 92.*

[41] Meeting of the Bureau of the Intergovernmental Negotiating Committee to prepare a global legally binding instrument on mercury,2 February 2012 Note by the secretariat on the flow of the negotiations 5 pages

to 52 the number of country ratifications. Consequently, the Convention became legally binding in August 2017. Many countries were hastening to ratify prior to the COP1 held in September 2017, to secure a seat at the negotiating table. Peer encouragement by regional bodies and other countries also bolstered the number of country sign- offs and ratifications. For example, the EU Commissioner wrote to member state, high level meetings are held with India, who have not yet ratified. As another example, Canada shared knowledge and experience with China and Chile, in a context of bilateral development cooperation.

125. Stakeholders speak of a high degree of political support for the Convention including the rare situation where the USA was an active lead country in a multilateral environmental agreement. In the case of countries not yet having signed or ratified, the rationale is more technical than political. In some countries, there is uncertainty on the availability of alternatives to mercury containing equipment and uses for example in dental amalgams or research apparatus. Some stakeholders remarked that many of the developing countries with smaller mercury inventories will willingly go along if there is associated financing that assists in building country capacity.

126. In comparison to the first part of the outcome around ratification, the second part of the outcome is less successful. Towards the second part of the outcome, countries having adopted sound policies and measures for sound mercury management or early implementation of the Convention, the project targeted 20 countries. This target was unmet and unchanged at project revision. Only 5 countries had adopted sound policies and measures-four countries (Japan, Monaco, Peru and the USA) reported measures upon ratification and one additional country (Canada) deposited a notification regarding Information on Measures to implement the Convention as per Article 30, paragraph 4, bringing the total number to five in December 2017. This number is unchanged at the time of the evaluation in March 2018.

The official country notifications are tracked by the Secretariat and published on the Convention website[42,] listed under the relevant Convention provision:

i. General notification of consent to import as per Article 3, paragraphs 6 and 7
ii. Notification of application of Article 3, paragraph 9
iii. Notification under Article 4, paragraph 2
iv. Registrations for exemptions from the phase out dates in Annexes A and B as per Article 6
v. Designation of national focal point for the exchange of information as per Article 17, paragraph 4
vi. Information on measures to implement the Convention as per Article 30, paragraph 4
vii. Declaration on the entry into force of any amendment to an annex as per Article 30, paragraph 5.

127. The Secretariat is requested to track and take stock of country reporting. The country reporting is the backbone of the Convention effectiveness assessment and a means of verifying compliance. The indicators of advancement tracked officially by the Secretariat are: policies and

[42] http://mercuryconvention.org/Countries/Parties/Notifications/tabid/3826/language/en-US/Default.aspx

measures that countries are encouraged to report on in Article 30 paragraph 4 (vi. above). ''Each State or regional economic integration organization is encouraged to transmit to the Secretariat at the time of its ratification, acceptance, approval or accession of the Convention information on its measures to implement the Convention"[43].

128. Overall, the evidence of early implementation is somewhat limited. Project indicators of progress on implementation rely on country reporting both in the project and subprogramme monitoring framework. Countries are invited to share on a voluntary basis, their experiences with measures undertaken. At the time of entry into force of the Convention, these reports were scarce with less than half a dozen countries having reported.

129. The voluntary and informal sharing of country experiences on action undertaken is informative and constructive, and there is evidence of policy, regulatory or investment measures, although ones that will translate into traceable reduction of mercury emissions and releases is still somewhat limited

130. For example, Ghana has officially deemed artisanal gold mining illegal but it remains unclear if gold mining has in fact stopped. The fact that the reporting on measures is at this stage voluntary rather than a hard obligation may partly explain the low count of this indicator measurement. For example, UK adopted legal measures prohibiting mercury in dental amalgam, before their 2018 ratification yet, has not yet formally reported on these measures. Unlike other countries, China did not ask for continued exemptions on manufacturing of mercury products-other than medical thermometers.

131. Japan reported on measures banishing export and controlled import adopted under the Mercury Act adopted in 2014[44]. The Mercury Act prohibits use of mercury and mercury compounds for gold mining. They also report on the ban of mercury products being manufactured, imported and exported, with some product import bans in 2017, in advance of the Convention product phase out prescription of 2020.

132. Monaco reports on air emissions from waste incineration facilities well respecting the European Union directives. They also report the absence of industrial use of mercury in the country and that the only batteries and storage products in use are imported from Europe where standards beyond those of the Convention are in application.[45] Peru reports so far only on Article 30 para 5 regarding entry into force of amendments.

133. The United States notified the Secretariat of measures undertaken regarding all Articles of the Convention and that was before adoption of the Convention. USA also report that, pursuant to Article 3, paragraph 9, of the Minamata Convention on Mercury, it elects not to apply Article 3, as it has comprehensive restrictions on the export of mercury and domestic measures in place to ensure that imported mercury is managed in an environmentally sound manner. The USA also responded to the request for advance contributions to COP 1 with comments and suggestions to improve the guidance on NAPs for ASGM (Article 7). The USA also provided an update on sources

43 Minamata Convention on Mercury Article 30 paragraph 4

44 Japan Act on Preventing Environmental Pollution of Mercury (Act No42, 2014)

45 Principauté de Monaco. Mesures nationales visant à metre en oeuvre la Convention de Minamata sur le Mercure.

of available monitoring data and suggestions on the design of the effectiveness evaluation pursuant to Article 22 of the Convention.

134. As another example of country measures undertaken to implement the Convention, in 2014, Canada enacted the Products Containing Mercury Regulations, which prohibit the manufacture and import of most products containing mercury. Under these regulations, products including lamps that contain mercury will be labelled with consumer information about their mercury content as well as their safe disposal. Furthermore, regular reporting on amounts of mercury used in manufacturing of these products is required by this national regulation. Canada is one of the few countries having reported new enacted law specifically in preparation for ratification and while Canada did not require help from the Secretariat, Canada's actions can be attributed to project interventions in terms of entry into force of a globally binding instrument. The other measures reported by countries through notifications are more administrative than technical and some 50% of the notifications are for exemptions. While considered positive signs, they are more an indicator of good will of countries than evidence of progress towards reducing mercury emissions and releases.

135. There is some evidence of legislative adjustments in the Latin America countries reporting progress on MIAs with respect to legislation and national plans and in that context, country situations with respect to relevant Articles of the Convention. Ecuador introduced in 2015 instructions to register mercury, and other chemical substances. A draft protocol for mercury control was planned for 2017 as well as other preparatory measures, so as to eliminate consumer products containing mercury by 2020. Ecuador is also engaged in developing capacity for technology change in ASGM. Short term efforts 2014-2018 are focused on the management of waste batteries, lamps, thermometers and electronic waste. Nicaragua has no production of mercury containing products and has prohibited production, import and export. They are promoting good practices in small mining operations and tracking fish consumption and mercury concentration in hair and applying gender disaggregated data. Dominican Republic has identified priorities based on mercury inventory and situational analysis. Uruguay adopted a mercury specific law confirming their engagement to the Convention. Actions are focused on managing lamps and other mercury containing waste products. They plan to adopt, in 2018, a law banning the import of materials not compliant with Article 4 of the Convention and prohibiting commercialisation of mercury containing products in 2019.[46]

136. Significant indicators and evidence of advancement in implementation will be obtained in the future country reporting. Countries are expected to report fully every four years beginning in 2021, with summary reporting every two years, for consideration at the next meeting of the Conference of the Parties, as decided by COP 1[47]. The Convention calls for countries to report to the Conference of the Parties through the Secretariat, a description of the measures or strategies implemented, to phase out mercury products, including a quantification of the reductions achieved, as well as challenges in meeting the objective of the Conventions. The reporting covers mercury supply and trade (Article 3) , namely operation of mines, stocks of mercury or compounds exceeding 50 tons, waste from decommissioning of chlor-alkali plants, control of mercury imports and exports; mercury added products (Article 4); manufacturing processes using mercury or mercury compounds(Article 5); reduction of artisanal and small scale mining (Article

[46] *MIA Latin America Project final meeting November 2017 Presentations link .from Ludovic Bernaudat*

[47] *MC-1/8: Timing and format of reporting by the parties.*

7); emission sources (Article 8); releases (Article 9) and mercury waste 9 (Article 11), as well as capacity issues.

Cooperation with the Global Environment Facility

137. The process of providing developing countries and countries with economies in transition with enabling support on Minamata Initial Assessments and National Action Plans is designed to enable the implementation of Convention prescriptions. Engaging countries in these enabling activities financed by the Global Environmental Facility were also instrumental in facilitating country ratification. This support to countries was the result of close cooperation between the Minamata Secretariat and the Global Environment Facility. This close cooperation between the Minamata secretariat and the Global Environment Facility is a considered a success factor in the achievement of the project outcome.

138. Minamata Initial Assessments (MIAs): The Minamata Initial Assessments have created momentum for ratification, at least in the more recent engagements from developing countries. The MIAs are onetime support to countries that provide a structured and effective mechanism for country needs assessment regarding Convention implementation.

139. MIAs are enabling activities comprising an assessment of the mercury stocks and sources in a country and an assessment of the institutional capacity and gaps to implement the relevant provisions of the Convention. These assessments are an initial preparation to future implementation measures but do not involve actual reduction in mercury emissions and releases. They comprise initial inventory of mercury (stocks, import, export, supply); the identification of emission sources and release source and finally, a gap analysis of national legislation and policies with respect to the implementation of the Convention provisions; assessment of institutional capacity needs and preparation of an Action Plan.

140. The Secretariat facilitated introductory workshops to Minamata Initial Assessments (MIAs). As of March 2018, a total of 106 countries were supported by the Global Environmental Facility to prepare MIAs with assistance from UN Environment (58 countries), UNIDO (22 countries) and UNDP (25 countries). As of March 2018, less than a dozen countries (11.3%) had completed their MIA, however, the fact that countries were in the process of carrying out an MIA provided these countries with the assurance that they will be able to meet the Convention requirements. The mobilization on MIAs resulted from good preparation and cooperation between the Minamata Convention and Global Environment Facility Secretariat. In 2015, in response to a request from INC 6, the Global Environment Facility extended eligibility criteria for financial support to countries that are not yet signatories of the Convention. The criteria considered to determine eligibility to this financing include participation in the Minamata Convention workshops, development of a draft national roadmap and its sharing with other ministries and stakeholders, engaging with UN agencies organising national consultations, identifying a national process for accession to international instruments or carrying out an initial gap analysis to identify regulatory amendments necessary for the implementation of the Convention provisions.[48]

141. The cooperation between the Global Environment Facility and the Minamata Secretariat has clearly been a critical factor in advancing the process of ratification and measures towards

[48] *GEF report to COP 1 annex 4 Model letter on eligibility on Minamata Initial Assessments*

early implementation. Furthermore, close collaboration on planning and delivery of the MIAs has cemented the relationship between the two Secretariats. The close cooperation between the Secretariats extends to all key dimensions of the programming cycle including strategic priorities for programming and framework assessment guidance ensuring consistency and data comparability among countries. For example, the project manager and Global Environment Facility senior specialist communicated almost daily, on country ratification plans and needs for enabling support.

142. It is so far unclear how the MIAs are shared, in part because the MIAs are not a Convention requirement and government approval is needed before they are adopted and made public. The majority of MIA reports were not yet available on the Convention website as of May 2018. The Convention website provides an extensive project database of information on projects funded, the implementing organization and their status with a useful search function by country, region and project type. The resource section of the Convention web site contains reports on implementation in the LAC region. Executing agencies have sent completed Minimata Initial Assessments (Seychelles, Costa Rica and Guyana). There is some confusion on where reports of MIAs can be accessed. UNITARs mercury learning platform has a one- page outline of the MIAs of Ghana, Nigeria and Senegal.

143. In addition to financing enabling activities such as the MIAs, the Global Environment Facility has also provided financing to support sound management of mercury. The corporate target for mercury reduction in the Global Environment Facility-6 period is 1,000 tons, for over $141 million of Global Environment Facility resource allocation. This target is qualified as notional, representing the anticipated reduction from the combined results of planned and/or recently initiated projects. Meaningful data on mercury reduction and contributions to achieving intermediary states towards the intended impact of the Convention is expected to be available after project completion, in most cases in about five years' time. Until then, it is unclear to what extent this mercury reduction target has been met. Most reductions observed so far are the small quantities found in medical devices, and lamps. While involving small quantities of mercury, they are significant in terms of human exposure. The larger interventions targeting coal burning in power stations are just starting. These are more complex interventions that may require partnerships in development finance. Several stakeholders mentioned the challenge of mercury waste. The Minamata Initial Assessments have shown the transfer of mercury to waste streams and resulting higher quantities of mercury waste than expected.

144. The Global Environment Facility Global Opportunities for Long-term Development of the Artisanal and Small-Scale Gold Mining Sector (GEF-GOLD) is a promising mercury substitution program in eight countries also financed by the Global Environment Facility. Regulations and policies will also be strengthened and mercury-free mining communities connected to global markets and associated supply chains. As of March 2018, the associated projects were in the preparatory phases towards implementation.

145. The Secretariat worked closely with the Global Environment Facility Secretariat to finance and program this initiative. Global Environment Facility Council approved this global program in 2016 to inform miners in Colombia, Guyana, Peru, Kenya, Burkina Faso, Philippines, Indonesia, and Mongolia to design and deploy ways in which they can get loans to switch from mercury based extraction techniques to cleaner and more efficient ones. Given Global Environment Facility programming timelines, it is too early to expect significant results.

Cooperation with other stakeholders

146. Beyond the Global Environment Facility, the Minamata Secretariat collaborated closely with the Global Mercury Partnership and other UN agencies such as WHO, UNITAR and UNIDO to support ratification. The Secretariat works closely with WHO, inviting their participation in all major meetings and relevant expert groups. WHO was requested to facilitate and support member states and work in cooperation with the Minamata Convention. This collaboration took the form of encouraging member states through resolutions, assisting with drafting national public health strategies and helping countries develop implementation Road Maps.

147. The World Health Assembly is considered to be a significant leverage in ''converting' non-parties to the Convention. In 2014 the Assembly agreed to a resolution[49] outlining the Public health impacts of exposure to mercury and mercury compounds and the role of WHO and ministries of public health in the implementation of the Minamata Convention. The WHO assembly resolution (WHA 67.11) encouraged member states to promptly sign, ratify and implement the Convention, address health aspects of exposure to mercury, ensure close cooperation between health and environment sectors, promote appropriate health care services for prevention, treatment and care and facilitate exchange of epidemiological information.

148. In May 2017, the Seventieth World Health Assembly approved the Road Map to enhance health sector engagement in the strategic approach to international chemicals management towards the 2020 goal and beyond. The Road Map identifies actions where the health sector has either a lead or important supporting role to play, recognizing the need for multi-sectoral and multi-stakeholder cooperation, including action for WHO Member States on the Minamata Convention. The action areas are risk reduction, knowledge and evidence, institutional capacity and leadership and coordination[50]

149. The WHO has developed several tools to support country Ministries of Health formulate a draft public health strategy on ASGM in response to the Minamata Convention obligations. In this context, the specific activities to be supported technically by WHO include: a) the conducting of a gap analysis of institutional capacity to support the development and the eventual implementation of a public health strategy within the NAP and b) the rapid assessment of the health situation of ASGM miners and their family members. So far, these tools are focused on assessments and plans, and as an example, WHO mentions their work with UNIDO in Mozambique, Ghana and Nigeria.

150. WHO work contributing to the sound management of mercury is not devoid of obstacles For example, the Ministry of Health capacity to address and implement activities in the area of environmental health and chemical safety was limited due to competing priorities to meet the ongoing humanitarian health emergency in the north-eastern part of Nigeria. WHO needed to provide significant technical support, at headquarters and country office levels, to aid the Ministries of Health to have meaningful engagement This delayed the project onset and therefore institutional and rapid health assessment is now planned for the second half of 2018.

151. WHO regional offices mention delays in the implementation of the rapid health assessment in all three countries occurred also because of a need to revise the rapid health

[49] *WHA 67.11 (May 2014)*

50 http://www.who.int/ipcs/saicm/roadmap/en/

situation assessment protocol to take into account comments provided by WHOs' Ethical Review Committee. Due to the highly vulnerable status of many ASGM communities, more explicit safeguards needed to be included to ensure protection of the well-being of ASGM community members involved in assessment activities.

152. UNITAR carried out ratification support mainly in terms of training workshops and targeted follow up technical assistance with Swiss funding. As of May 2018, 22 countries were supported, the majority of projects (19) closed in countries having ratified the Convention. Three projects remain under implementation, in Belarus, Cambodia and Zimbabwe, all of which have not yet ratified.

153. At global coordination levels, forums such as the Inter-Organization Programme for the Sound Management of Chemicals (IOMC), a cooperative agreement among FAO, ILO UNDP, UN Environment, UNIDO, UNITAR, WHO, World Bank and OECD is also considered an effective cooperation platform to advance framework guidance and tools on Convention prescriptions. The 2016 agreement on a common structure for the Minamata Initial Assessments is one example that expands and clarifies initial 2014 Global Environment Facility guidance. Another example is the exchange on how to best assist Governments and communities on ASGM. While not a formal member, the Global Environment Facility contributes to this forum as does the Secretariat. Stronger Secretariat participation in this global interagency forum was encouraged by members interviewed for this evaluation.

154. Other divisions of UN Environment made significant substantive contributions to the Secretariat Support to ratification, namely the Global Mercury Partnership. The partnership had largely contributed to the technical dimensions of the Convention text and contributed to technical guidance. The support to implementation is just starting and the expertise base on implementation support would benefit from reinforcement.

155. Other stakeholders included the NGOs who participated in meetings and supported pilot projects.

5.4.3 Likelihood of impact

156. The project impact is rated as 'Likely' against this evaluation criterion. This section explains the rationale for this rating, elaborating on how the design of the Convention prescriptions facilitate implementation with financing support from the GEF and other sources..

157. The primary rationale for the rating is because over 90 countries have ratified the Minamata Convention. The growing number of countries that have completed ratification of the Convention is considered the most important of the two-part project outcome, as ratification is a determining step towards advancing priority actions for sound management of mercury. Few countries have so far adopted policies and measures for the sound management of mercury, with Secretariat support, as outlined in the section 5.4.2, on achievement of outcome. The drivers between outputs and outcomes supporting the transition to both increasing ratification and adoption of policies and measures for the sound management of mercury are well in place. The Secretariat is collaborating effectively with countries and broader partners and financial partners are mobilized. The assumptions for the change process from outputs to outcomes also hold: Country participation and support as well as political will are maintained and countries are adopting measures and policies informed by best practice.

158. The drivers to support advancement from outcomes to intermediate state - Parties, the Secretariat and COP continue to comply with Convention obligations, and Financing Commitments continue - are in place in large part because the Convention is considered an excellent global framework with promising prescriptions formalized in a legally binding international instrument. Financial support and partnerships with the Global Environment Facility are ongoing as well as the commitment of countries to implement the Convention. UN Environment continues to provide an effective Convention Secretariat and its work on controlling air quality and climate change is expected to contribute to meeting the Convention objectives.

159. The Convention starts with several advantages, including: a built-in compliance mechanism, clear timelines for phase down and phase out of mercury, and strong links to, and partnerships with, the health community.[51] Some of the intermediary states are partially achieved; countries are aware of and using the Convention mechanisms to control their import of mercury, and are developing National Action Plans to reduce the use of mercury and mercury compounds in ASGM. Drivers are in place and assumptions hold for the change process to have an impact. Parties, the Secretariat and COP continue to comply with Convention obligations, and financing commitments continue.

160. The adoption of the Minamata Convention on Mercury, with the GEF (Global Environment Facility) as its financial mechanism, has created avenues and opportunities for providing financial and technical support to countries to assist them in reducing releases of mercury. GEF is the key component of the Mechanism. Article 13 of the Minamata Convention states the following:

> The Global Environment Facility Trust Fund shall provide new, predictable, adequate and timely financial resources to meet costs in support of implementation of this Convention as agreed by the Conference of the Parties. For the purposes of this Convention, the GEF Trust Fund shall be operated under the guidance of, and be accountable to, the Conference of the Parties. The Conference of the Parties shall provide guidance on overall strategies, policies, programme priorities and eligibility for access to and utilization of financial resources. In addition, the Conference of the Parties shall provide guidance on an indicative list of categories of activities that could receive support from the Global Environment Facility Trust Fund. The Global Environmental Facility Trust Fund shall provide resources to meet the agreed incremental costs of global environmental benefits and the agreed full costs of some enabling activities.

161. GEF-6 chemicals and wastes strategy allocated over $141 million to mercury projects, this financial support is expected to double in Global Environment Facility 7. GEF finance has been in place since GEF-5(July 2010 to June 2014).[52] GEF's engagement to complement and advance negotiations was formalized during the GEF-5 period. GEF's finance amounted to over 141 million dollars for Global Environment Facility 6. GEF-7 is expected to significantly increase the financing available on mercury management support.

162. Interviewees praised the GEF support for ratification and early implementation of the Minamata Convention. GEF-5 and -6 approved 11 NAPs in 18 countries primarily in Africa and Latin America and the Caribbean (LAC), and 46 MIAs in 77 countries. GEF significantly increased its support for mercury-related initiatives in GEF-6 by allocating US$141 million, a nearly ten-fold gain on the approximately $12.7 million that GEF approved for 20 mercury projects (6 FSPs and

[51] *ENB summary p13*
[52] *GEF report to COP 1 paragraph 6*

14 MSPs) during GEF-5. Of the six mercury-related GEF-6 project concepts that have been approved, two projects support capacity strengthening for mercury management, two support the reduction of mercury releases through the introduction of either green chemistry or Best Environmental Practice /Best Available Technique BEP/BAT, and two support both capacity strengthening and emission reductions. Although none of the projects in the GEF-6 cohort reviewed for this study address mercury use to process gold, four gold MSPs were approved in GEF-5.

163. The clarity and straightforward nature of the Convention is considered a built-in incentive favouring country advances in implementation. The relevance and depth of Convention requirements positively affects likelihood of impact. While negotiations led to some compromises in Convention prescriptions (for example, excluding oil and gas emissions, banning only new mercury mines as compared to closing all mines, control of mercury exports as opposed to a total export and import ban) the compliance and effectiveness mechanisms are expected to ensure continual improvements and advances towards impacts. The effectiveness in implementation remains mainly an individual country challenge and a critical assumption is that countries, the Secretariat and the COP continue to comply with Convention obligations, including periodic review of results and update in prescriptions and guidance.

164. Interviews revealed that advances towards the reduction of emissions and releases of mercury is premature for the Convention. The project is following a logical pathway leading towards the intended future impact. So far, the project successfully produced the programmed activities and outputs as outlined in the adopted Programme of Work (PoW) of the Convention and UN Environment's PoW. These comprise the guidance, technical documents and support called for in the Final Act of 2013.

165. At the national level, there are promising advances in enabling and other preparatory measures, and some evidence of advancement towards the intermediary steps. Countries commitments are strong, including from major mercury producers and emitters such as China. Over 100 countries benefiting from enabling finance for MIAs or pilot financing from the Secretariat have identified the gaps in legislation and institutional capacity, and there is expectation that these gaps will be filled. Significant reductions in mercury emissions and products are contingent on actions undertaken by the largest emitters in Asia and there is not yet evidence of significantly reducing emissions or eliminating mercury products and waste. The deadline of 2020 for phasing out of mercury products is approaching and this will be an important intermediary impact milestone, given the expectations for mercury free manufacturing of products in China.

166. At the global level, the 2018 Global Mercury Assessment to be published later this year is expected to provide further evidence of likelihood of impact, with emphasis on mercury emissions and levels of mercury in biota. The likelihood of impact will be increased in as much as the effectiveness evaluation triggers a cycle of continual improvement on the Convention measures.

167. Ongoing availability of new and additional funding from the Global Environment Facility and other sources directly affects the likelihood of impact and sustainability. There is a mechanism for financing country assistance built into the Convention.

168. In addition to the Global Environment Facility, COP1 established a Specific International Programme as a financial mechanism to support capacity-building and technical assistance in

accordance with Article 13 of the Convention on Financial Resources and Mechanisms. This programme is expected to generate a much smaller volume of financing than GEF. Earlier discussions had identified the Montreal Protocol system of country officers providing country specific technical assistance as a model because of GEF not being able to finance officers in countries. The support for capacity-building and technical assistance provided by the specific international programme is expected to improve the capacity of developing-country parties and parties with economies in transition in implementing their obligations under the Convention.[53] As of May 2018, the Specific International Programme had received over $800,000 in support funds. It is so far unclear how this programme differs and complements the Global Environment Facility programme of technical support and financing.

169. COP 1 was unable to agree on the Memorandum of Understanding with the Global Environment Facility, postponing the decision to COP2 mainly because of one country's objection. According to stakeholders, this lack of agreement has essentially no bearing on the GEF support to countries in implementing the Convention. GEF has the guidance from the COP on priority needs and this served to orient programming guidance on the GEF-7 replenishment. The GEF will be reporting to COP 2 although it has no formal obligation to do so.

170. A GEF Chemicals and Waste Focal Area Study[54] found that the GEF-6 CW Focal Area Strategy is responsive to the guidance from the Minamata Convention, including support for enabling activities (MIAs and AGSM NAPs) and for early implementation activities. Mercury activities are also supported under GEF Programs 1 and 6. Early guidance issued to the GEF from the Minamata Convention has been quite broad, given the focus on preparing and establishing the GEF as the financial mechanism. The Minamata Convention Secretariat noted that the guidance from the first Conference of the Parties, currently in draft form, will be more specific in future iterations and considers this financing as a main factor facilitating the Convention process.

171. In addition to financing the sound management of mercury, the Convention also has provisions for financing continued Secretariat support. COP1 entrusted the Secretariat with a programme of work and budget for the biennium 2018-2019. At its first meeting, the Conference of the Parties to the Minamata Convention (COP1)[55] also adopted financial rules, and establishment of a General Trust Fund to provide financial support to the work of the Convention Secretariat; the voluntary Special Trust Fund to support, inter alia, activities by the Secretariat in accordance with Article 14 (Capacity-building, technical assistance and technology transfer) as well as the participation of representatives of developing-country Parties and of Parties with economies in transition in the meetings of the COP and its subsidiary bodies.

172. The impact, likelihood of positive health impact, is largely incumbent on the active engagement of the World Health Organisation. The Convention's Article 16 encourages measures that can be adopted by parties to prevent, diagnose, treat and monitor health risks and emphasizes engagement with WHO, ILO and others in the health sector. The WHO engagement in the Minamata Convention comprises key actions for the health sector: i) Phase out by 2020 of mercury-added products such as mercury containing thermometers, blood-pressure monitors, antiseptics used in health care (Article 4); ii) phase down use of dental amalgams; iii) development of public health strategies to address the health impacts of mercury use in artisanal

[53] *UNEP/MC/COP.1/29 Annex II to Decision MC/6*

[54] *GEF Chemicals and Waste Focal Area Study (unedited May 2017)*

[55] *COP 1* Decision MC-1/10

and small-scale gold mining (Article 7), undertake human health risk assessments of contaminated sites (Article12), monitor fish consumption and contribute health advice, Codex limits and global monitoring data and human biomonitoring for mercury exposure (Articles 17, 18 and 19).

173. Although there is no formal agreement between the Minamata Convention Secretariat and WHO, nor a joint work plan, the cooperation is nonetheless considered effective. Regarding Article 16 paragraph 2, about the COP consulting with WHO on health matters, this is currently on an ad hoc basis, and future arrangements need to be thought out and put in place to facilitate country implementation as well as effective monitoring and feedback mechanisms.

174. The Convention mechanisms of review, compliance and effectiveness of implementation increase the likelihood of impact. For example, Article 3 on Mercury supply sources and trade requires that the COP evaluates whether the trade in specific mercury compounds compromises the objective of the Convention and if so, to consider appropriate adjustments to the Convention. Regarding mercury-added products, no later than five years after its entry into force, the COP will review the list in Annex A and consider amendments. The same mechanism of review is planned for manufacturing processes using mercury or mercury compounds.[56]

175. The Convention requires a review of implementation and compliance with all provisions examining both individual and systemic issues.[57] The Convention provisions also include an effectiveness evaluation, no later than six years after the date of entry into force.[58] Arrangements to obtain comparable monitoring data on mercury presence and trends in biotic media and vulnerable populations were initiated at COP1. Considering the impact of ASGM on vulnerable groups, of coal burning for cooking on indoor air quality, the monitoring of human health in the context of assessing the effectiveness of the Convention specifically targets women and children, indigenous people and other vulnerable groups.[59] Experience in country support to the Stockholm Convention has provided opportunity to reflect on effectiveness.

176. Countries sharing experience and best practice are a key driver of change towards increasingly ratifying the Convention and adopting policies and measures for the sound management of mercury, moving towards the intermediate states of Convention impact. The Convention calls for Parties to facilitate exchanges on scientific, technical, economic and legal information on mercury and mercury compounds, on reduction or elimination of the production, use, trade, emissions and releases of mercury and mercury compounds, on viable alternatives to mercury added products, on manufacturing processes including on the risks to health and environment as well as epidemiological information.[60] The Convention requires the Secretariat to facilitate cooperation in this exchange of information, as well as within the knowledge base of intergovernmental and non-governmental organizations and national and international institutions with mercury management expertise.[61]

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[56] *Minimata Convention Article 5 para 10.*
[57] *Minimata Convention Article 15*
[58] *Minimata Convention Article 22*
[59] *In terms of human rights and gender considerations, the Convention Annex c on ASGM specifies that Parties shall include in its NAP Strategies for involving stakeholders in the implementation and continual development of the national action plan59 and Strategies to prevent exposure of vulnerable populations, particularly children and women of child bearing age, especially pregnant women, to mercury used in artisanal and small scale gold mining59. The project intended impact is to positively benefit these groups.*
[60] *Minimata Convention Article 17*
[61] *Minimata Convention Article 17para3*

177. Countries sharing experience in an effective knowledge management strategy increases the likelihood of impact. In addition to the well-structured and informative Convention website, information on the Convention is shared through InfoMEA. The latter contains so far only basic information and no country specific information other than the number and list of parties. The Global Environment Facility has a knowledge management function built in to programming and program design of some of the projects. For example, in the portfolio of UN Environment executed Global Environment Facility enabling activities, there is provision to assess future country needs.

178. The Convention process supported by the Secretariat has created a palpable momentum significantly increasing the likelihood of impact. The Secretariat Support project is ready for additional outreach to countries and a knowledge management approach aimed at facilitating a movement of practice emulation to effectively help tackle priority mercury measures called for in the Convention. Creating conditions favouring emulation of good practice will help ensure that a satisfied Convention global community becomes an effective "community of change", supporting country capacity development.

5.5. Financial management

179. The financial management of the project is rated as 'Satisfactory' based on the fact that financial information was complete and communication between project and financial management staff was also in place. The project was extended, the approved design did not require specific partner legal agreements, although there are reporting requirements for several donors and there is no audit requirement. The project, having begun in 2014, had a b budget structured by line, rather than by output. Budget information for secured and unsecured budget funds was available in the project document, and donor funding sources were detailed by year in both the project document and its revision. While there does not appear to have been detailed upfront budget planning by outputs, the project team provided detailed budget expenditure tables.

180. Most donor contributions secured at the project onset were adequate for project delivery. There was a relatively small portion of unsecured funding, $1,066,205, at time of project approval and $522,477 at project revision stage on a total budget of $12, 333, 454.

181. The communication between finance and project management staff is rated 'Highly Satisfactory', as per tables 8 and 9. The Project Manager (PM) and Fund Management Officer (FMO) both have very good awareness of project financial status and are in frequent contact. The FMO ensured disbursements were accurate and made against accurate project invoices.

Table 8. Financial Management

Financial management components:	Rating	Evidence/ Comments
Completeness of project financial information[62]:	Satisfactory	Financial information is structured by line, rather than by output. Budget information for secured and unsecured budget funds was available in the project document, and donor funding sources were detailed by year in the project document and its revision. Later expenditure information is structured by outputs.

[62] See also document 'Criterion Rating Description' for reference

Provision of key documents to the evaluator (based on the responses to A-G below)		Satisfactory	The project team provided detailed budget expenditure tables.
A.	Co-financing and Project Cost's tables at design (by budget lines): Project document and budget table	No	The project document contains a list of secured donor contributions and a staff list, no structured budget by output.
B.	Revisions to the budget – original-2014, revised 2017.	Yes	The project revision contains an updated list of donor contributions, staff list and line budget revision. The Secretariat finance officer provided budget details by line for the period 2014
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA) eg SSFA legal agreement	Yes	Examples were provided of the SSFAs agreements with NGO,s, technical experts , ICAs with UNOPS and UN conference services and others
D.	Proof of fund transfers eg disbursement documents- bank transfers	Yes	The proof of transfers are invoices and acknowledgements of receipt and some examples were provided.
E.	Proof of co-financing (cash and in-kind)	n/a	
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	The project team manually reconstructed the project budget and expenditure information for major outputs presented in table 3. This included itemised cost of COP1 (3.3M) the two INC meetings respectively 1,4 and 1,7 M)
G.	Copies of any completed audits and management responses *(where applicable)*	n/a	
H.	Any other financial information that was required for this project (list.	Yes	The project finance officer and manager provided a itemised project expenditure table, as well as itemised cost for major outputs. These are compiled in Table 3 Project expenditure by major output.
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance[63] with the UN Environment or donor rules		No	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		Satisfactory	The team provided detailed tables for the TORs and contributed additional information during the Geneva mission.
Communication between finance and project management staff		Highly Satisfactory	There is frequent contact between the Project Manager (PM) and the Fund Management Officer (FMO)
Project Manager and/or Task Manager's level of awareness of the project's financial status.		Satisfactory	The PM and FMO are both well versed in project delivery details.

[63] *Compliance with financial systems is not assessed specifically in the evaluation. Nevertheless, if the evaluation identifies gaps in the financial data, or raises other concerns of a compliance nature, a recommendation should be given to cover the topic in an upcoming audit, or similar financial oversight exercise.*

Fund Management Officer's knowledge of project progress/status when disbursements are done	Satisfactory	The fund management officer is aware of project planning and expenditures specifics and able to ensure accurate payment of services rendered.
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager-	Satisfactory	Financial issues were regularly addressed and resolved, often in a context of UMOJA systems structures in transitions not providing adequate support.
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports	Highly Satisfactory	The level of communication between the project manager and the fund management officer is excellent, demonstrating team effectiveness.
Overall Rating	Satisfactory	

5.6 Efficiency

182. The project efficiency is rated 'Highly Satisfactory' as it meets the EOU criteria for this category. The project was "implemented within the timeframe and against an appropriately revised results framework specified by a formal revision that secured additional resources" and "evidence suggests that cost-effective approaches supported project targets being exceeded."

183. The project was implemented within the budget and time frame, with only one revision. The project extension of 18 months involved an extended scope to include COP1 and related preparatory activities. The secretariat of only three staff held additional meetings exceeding targets, as meetings were mainly held back to back to spread staff costs across multiple meetings in combined missions.

184. Initial delays in country ratification and INC7 meeting had no implications on project delivery. Evidence suggests that application of cost effective approaches strongly supported the achievement of project targets and that project activities were frequently sequenced efficiently. The workshops and meetings held back to back with preparatory meetings of the BRS Convention are examples of efficient use of resources. The cost of the BRS regional meeting for Asia and the Pacific, held in Bangkok, Thailand, in March 2017 was a total of $285,000 and the project share for the two-day working session on ratification and early implementation of Minimata was only for incremental costs of $42,000. The meeting was organised by the Basel Convention Regional Center in Indonesia. Similarly, the regional BRS meeting held in Dakar and outsourced to the Africa Institute cost a total of S326,000 and the Secretariat contributed an incremental cost of only $30,000 to hold a back to back working session on ASGM and contaminated sites.

185. The sub-regional meetings held during 2014/2015, which were small meetings of 10 – 12 countries per meeting, were held in different locations to maximise efficiency. This involved selecting locations which were logistically easy for organizations as well as cost effective for participant travel. One of these meetings was held in India back to back with another UN Environment meeting (reduction of lead in paint) which reduced the costs for some participant travel, the cost of Secretariat staff travel and also assisted with logistical issues further reducing costs. INC6 and COP1 were held in UN duty stations, where interpretation could be sourced locally, reducing costs for travel and DSA.

186. The Secretariat's close cooperation with the GEF on alignment of financial support to countries contributed to efficiency.

187. The efficiency and effectiveness of project management is very well perceived and acknowledged. There is a small motivated and qualified team in place. Interviewed stakeholders praised the staff efficiency, yet recognized that staff is overloaded with work, and could occasionally be more effective in further developing working arrangements. The Secretariat support is considered quite efficient however considering the workload and small number of staff. The initial delay in country ratification is considered insignificant as new financing was easily secured and overall surpassed targets.

5.7 Monitoring and reporting

188. The project monitoring and reporting is rated as 'Satisfactory' using the UN Environment Evaluation Office criterion ratings matrix considering the monitoring design, monitoring budget, project implementation monitoring and project reporting.

5.7.1 Monitoring design and budgeting

189. The monitoring design and budgeting is rated 'Moderately Satisfactory'. The project at design had a monitoring plan covering all indicators of the logical framework. The outcome indicator of country ratification fully meets the SMART[64] criteria, with the added benefit of being officially registered with the UN Office of Legal Affairs. On the other hand, the indicator regarding country adoption of policies and measures for the sound management of mercury is vaguely stated without a specific verifiable indicator and method of collection relying on voluntary country reporting. There was no dedicated monitoring budget yet there were dedicated personnel routinely collecting the requisite information. The evaluation budget was adequate.

5.7.2 Monitoring of project implementation

190. Monitoring of project implementation is rated 'Moderately Satisfactory'. A basic monitoring plan for outcome and outputs is part of the project logical framework. Country ratifications are tracked and announced on the Convention website, in addition to their tracking and publishing by the Office of Legal Affairs. The monitoring of country policies and measures relied on voluntary country reporting and is also available on the Convention website but is not very informative on concrete country advances on policies and measures. Systematic monitoring of results of the over 100 MIAs is absent limiting the monitoring of country advances. On the other hand, all of the global meeting documents are available on the Convention websites as are the meeting agendas and list of participants for the subnational workshops and regional meetings.

5.7.3 Project reporting

191. Project reporting is 'Satisfactory'. The project progress was logged into the UN Environment Project Information Management System (PIMS) using the log frame indicators. There is regular reporting to donors requiring project reports, such as the EC/EU, Norway and Switzerland. There was some delay in the reporting to the EC; project reports on 2012- 2013

[64] *SMART refers to indicators that are: Specific, Measurable, Achievable, Results-oriented and Time-bound*

support to negotiations and two extensions was expected in March 2018 as was reporting on INC7.

5.8 Sustainability

192. Sustainability of project outcomes is rated 'Likely' with favourable outlooks on all dimensions of sustainability. Evidence suggests that socio-political sustainability is likely with a moderate dependency on socio-political factors. As of May 2018, 92 countries have so far taken action at the national level through the ratification of the Convention. This involves a level of political commitment. A total of 106 countries are undertaking, or have completed, Minamata Initial Assessments where they undertake legislative assessment and inventories in preparation for implementation. These are good conditions for continuation and further development of project outcomes.

193. There is a favourable outlook on financial sustainability. The financial sustainability of project outcomes is likely, with low dependency on UN Environment financing. Party financing is built into the Convention prescriptions, as is support to Parties through the financial mechanisms of the Convention, provided jointly through the Global Environment Facility and through the Specific International Programme. Financing of the Secretariat and its program of work is also part of the Convention prescription, provided through the budget agreed at the meeting of the COP through assessed contributions. These financial measures can be considered mitigation that combined are insurance towards financial sustainability. Additional support for capacity building is provided through the voluntary trust fund which has an agreed budget from the COP, but which requires resource mobilization. While capacity building and policy changes require relatively modest financing, the investments needed to fully implement the Convention prescriptions, such as control of coal-fired power plant emissions may be more challenging in future implementation phases

194. The conditions are in place to ensure likely institutional sustainability. The implementation support and compliance mechanism included in the Convention provides the means to assist countries who are experiencing difficulties in implementing the Convention. This can contribute to effective implementation to ensure there is a continual capacity improvement to manage mercury soundly with appropriate policies and measures at country as well as at normative global levels. The transition from an interim to permanent Secretariat involves a pre-budgeted increase in staff resources and change in the management and governance structure which is expected to reinforce institutional sustainability.

6. Conclusions and Recommendations

6.1 Conclusion

195. The Minamata Convention on Mercury was coined 'The Happy Convention', essentially because of the constructive approach to negotiations. The collegial approach encouraged by the Secretariat has led to achievement of outcomes, a good amount of country trust towards the Secretariat team and set in motion critical drivers to reaching the Convention objective. The evaluation obtained the following positive answers to the key strategic questions.

196. **To what extent did the project cooperate and involve Global Environment Facility and promote cooperation between the Minamata Secretariat and the Global Environment Facility implementing agencies as well as other partners such as NGOs (ZMWG & IPEN), target countries and the private sector in the Convention process?** The successful Convention process benefited from the project management of the Minamata Secretariat working closely and effectively with the Global Environment Facility Secretariat, ensuring financing of over 100 country enabling Minamata Initial Assessments. The close collaboration between the two Secretariats also led to the incorporation of COP adopted guidance into Global Environment Facility programming requirements to support country implementation of the Convention. The Secretariat facilitated NGO contributions to global negotiations meetings and to country assistance and support to pilot interventions. The results of the pilots were weaker compared to those of collaboration with the other Secretariat and UN agencies, but did pave the way to country engagements in Minamata Initial Assessments and National Action Plans to address issues of mercury use in Artisanal and Small Scale Gold Mining. The Secretariat collaboration with countries is well in place with numerous mentions of the Secretariat's ability in building a trusting relationship with Parties.

197. To what extent did the project succeed in mobilizing cooperation with and support from within UN Environment? Work with UN agencies, the Global Mercury Partnership and the Basel, Rotterdam and Stockholm Secretariats ensured the Convention process benefited from past UN Environment work on mercury management, producing quality technical guidance. The former project manager became the Head of Chemicals and Waste Branch for UN Environment assuring both political commitment and prioritization of this project. Although not yet focused on implementation, the Secretariat continues to collaborate with the Global Mercury Partnership and other UN Environment partners on ensuring the best available information is informing the Convention process. All these factors contribute heavily to the sustainability of project outcomes and likely implementation of associated measures.

198. **What were the intended and untended outcomes of project-facilitated exchanges between member countries prior to and following the formal meetings?** The Secretariat's inclusive project approach to regional meetings and workshops provided opportunity for countries to discuss possible activities with the Global Environment Facility and with the implementing agencies providing assistance to countries in obtaining relevant technical and financial support. The regional meetings and sub-regional workshops gathered hundreds of participants including countries, intergovernmental organisations and NGOs and were mostly appreciated for the opportunities provided to share experiences among countries and with broader stakeholders. The information exchanges between countries were highlighted as the most appreciated results.

199. **Is there any emerging evidence that the project has contributed to improvements in the institutional structure of target countries which is likely to lead to the achievement of the project's overall objective?** The outlook on country participation and support to implementation is good with countries adopting policies and measures with Secretariat Support and informed by best practice. As a precursor to institutional strengthening, the Secretariat Support project has surpassed its target of at least fifty countries having ratified the Convention with 92 ratifications at the end of the project period in 2017. The entry into force of this well-designed international legally binding instrument is deemed critical to the sound management of mercury. The growing number of countries having ratified the Convention is a determining step towards advancing priority actions for the sound management of mercury. The project sets in motion independent national level Convention implementation favoured by clear and straightforward prescriptions for

mercury control as well as built-in compliance and financing mechanisms. The adoption by lead countries such as Canada, Japan and the USA of policies and measures for the sound management of mercury appears sufficiently advanced. As well, the project supported 9 pilots for early implementation with mixed results. Pilot interventions to support individual countries included: Lesotho legal review, Vietnam legal review, Swaziland pilot project, Cambodia workshop and assistance to five Africa Countries in preparation of NAP for mercury management in ASGM (Burundi, Central African Republic, Congo, Cote d'Ivoire and Gabon). However, overall the evidence of implementation is scarce, was not systematically monitored and consequently not easily verifiable by the Secretariat and this evaluation. The outlook is positive as the assumptions regarding the change process from outputs to outcomes hold and the drivers are well in place.

200. **To what extent are the project results/products (policy instruments, outreach materials, tools for presentation and visualization of results, etc.) being used by policy makers in the target countries?** The technical guidance produced by the project is used for Global Environment Facility programming and by countries, evidence of their quality and usefulness. The technical guidance documents adopted by the COP1 have been incorporated into the Global Environment Facility programming guidance extending their potential reach to country institutions and actors benefitting from Global Environment Facility financing. Beyond their use in the Convention negotiations and Global Environment Facility future programming, stakeholders mentioned the usefulness of technical guidance in informing in-country networks. For example, the technical documents are used in individual country technical groups such as Industry unions and government agencies not directly involved in the Convention process.

201. **To what extent did the project secure sufficient funding for the Convention process, including from the national Governments, the international community (e.g. GEF, UNEP) and the private sector?** The project benefited from over 12 million dollars of secured financing from over a dozen donors, evidence of country trust and commitment. The adoption of the Minamata Convention on Mercury, with the Global Environment Facility as its financial mechanism, has created avenues and opportunities for providing financial and technical support to countries to assist them in reducing releases of mercury. The Global Environment Facility's engagement to complement and advance negotiations was formalized during the GEF-5 period. The GEF financing amounted to over 141 million dollars. GEF-7 is expected to significantly increase the financing available on mercury management support. In addition to the Global Environment Facility, COP1 established a Specific International Programme as a financial mechanism to support capacity-building and technical assistance in accordance with Article 13 of the Convention on Financial resources and mechanism. This programme is expected to generate much smaller volume of financing than the Global Environment Facility; $800,000 is currently available for projects. In addition to financing the sound management of mercury, the Convention also has provisions for financing continued Secretariat support. COP1 entrusted the Secretariat with a programme of work and budget for the biennium 2018-2019. At its first meeting, the Conference of the Parties to the Minamata Convention also adopted financial rules, and establishment of a General Trust Fund to provide financial support to the work of the Convention Secretariat; a voluntary Special Trust Fund to support Capacity-building, technical assistance and technology transfer activities by the Secretariat in accordance with Article 14 as well as financing the participation of representatives of developing-country Parties and of Parties with economies in transition in the meetings of the COP and its subsidiary bodies.

202. Based on all the above findings and applying the UN Environment Evaluation ratings and criterion matrix, the overall project performance is 'Highly Satisfactory'. The project strengths are its strategic relevance, fully in line with the UN Environment Medium Term Strategy and Programme Of Work, the full delivery of planned project outputs: two successful INC meetings and COP1, quality guidance as well as a series of workshops and meetings providing information and tools for country ratification and commencement of implementation.

203. The project weaknesses are the lack of adequate design of pilot interventions and limited monitoring of country advances on policies and measures relying on voluntary country reporting rather than a targeted monitoring of country advances.

204. Achievement on the first project outcome was eventually surpassed with 85 ratifications by the end of the project period in 2017 and over 90 today. Countries are participating and supporting the process demonstrating their positive political will. Evidence of countries adopting policies and measures for sound management of mercury is still in some respects limited. As previously noted, the Secretariat cooperated with the Global Environment Facility and other financial partners to ensure country financing and support. Although the focus needs to move more firmly towards implementation in the coming years, the Secretariat also successfully collaborates with the Global Mercury Partnership and other key partners on ensuring the best available information is informing the Convention process.

205. The project impact is likely primarily because of the strong foundation of the positive trajectory of ratification of the Minamata Convention. Increases in the number of participating countries is the most important of the two-part project outcome as ratification is a determining step towards advancing priority actions for sound management of mercury. The analysis explored the varied ways in which some countries have adopted policies and measures for the sound management of mercury, with Secretariat support. The drivers supporting the transition to both increasing ratification and adoption of policies and measures for the sound management of mercury are now firmly established. The outlook on country participation and support to implementation is good with countries now taking strides to adopt policies and measures better informed by best practice. Project weaknesses stem only from a few challenges in adequate design of pilot interventions and limited monitoring to date of country advances on policies and reliance on voluntary country reporting rather than a more tailored monitoring approach.

Table 9: Project Evaluation Ratings

Criterion	Summary Assessment	Rating
A. Strategic Relevance	Highly Satisfactory	HS
1. Alignment to MTS and POW	Fully in line with UN Environment MTS and POW	HS
2. Alignment to UN Environment /Donor/Global Environment Facility strategic priorities	Responds to a UN Environment priority	HS
3. Relevance to regional, sub-regional and national environmental priorities	Responds to priorities of countries and regional organisations	S

Criterion	Summary Assessment	Rating
4. Complementarity with existing interventions	Builds on past UN Environment work on mercury management	HS
B. Quality of Project Design	Design strengths are its strategic relevance, clarity of logical framework, efficiency in securing funding, sustainability strategy and catalytic effects. Weaknesses are the identification of risk, defining the specific role of stakeholder partners in delivery.	S
C. Nature of External Context	Country commitment to the Convention is good and dependence to catastrophic events is low.	F
D. Effectiveness[65]	Full delivery of planned outputs, project outcome of over 50 countries surpassed and a likely impact due to the door opened and way paved by project outcomes.	S
1. Delivery of outputs	Successful delivery of all planned outputs of high technical quality, and in good timing. Inclusiveness of meetings with space for South South exchanges. Pilot projects were short of intended results.	S
2. Achievement of direct outcomes	Country ratifications surpassed project targets. Evidence of country adopting policies and measures for the sound management of mercury is scarce.	S
3. Likelihood of impact	The Convention is a strong framework. Assumptions on change towards impacts hold. Drivers are well in place.	L
E. Financial Management	Financial information is satisfactory and communication between PM and FMO excellent.	S
1.Completeness of project financial information	Budget information for secured and unsecured funds was available in the project document, and funding sources were detailed by year in the project document and its revision. While upfront budget planning structured by outputs is not available, the project team provided detailed budget expenditure tables. The majority of donor contributions were secured at project onset.	S
2.Communication between finance and project management staff	The project manager (PM) and Fund Management Officer (FMO) both have very good awareness of project financial status. They are in frequent contact. The FMO is able to ensure disbursements are accurate and made against good project advances.	HS
F. Efficiency	Project delivery was within budget and time frame. Several meetings were held back to back with other BRS and UN Environment events, significantly reducing costs. The efficiency and effectiveness of project management is very well perceived and acknowledged.	HS

[65] *Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.*

Criterion	Summary Assessment	Rating
G. Monitoring and Reporting	Monitoring design was limited and without dedicated budget, Monitoring was basic and all required reporting was completed.	S
1. Monitoring design and budgeting	Only one of the two outcome indicators meets the SMART criteria. There was no dedicated monitoring budget.	S
2. Monitoring of project implementation	Basic monitoring was carried out, Country ratifications are tracked on the Convention website, which contains all meeting documentation. Monitoring of country advances of policies and measures is limited, relying on voluntary country reporting. No monitoring of the substantive results of over 100 MIAs.	MS
3.Project reporting	Reporting through the PIMS and regular reporting to major donors.	S
H. Sustainability	Sustainability of project outcomes is likely with favourable outlooks on all dimensions of sustainability.	L
1. Socio-political sustainability	Over 90 country ratification of a international legally binding instrument is good evidence of country commitments to continuation and development of project outcomes.	HL
2. Financial sustainability	There is low dependency on UN Environment financing as party financing is built into the Convention prescriptions as is support to Parties through the financial mechanisms of the Convention, provided jointly through the Global Environment Facility and through the SIP.	HL
3. Institutional sustainability	Implementation support and compliance mechanism are part of the Convention providing means to assist countries in implementing the Convention with continual capacity improvement to manage mercury soundly with appropriate policies and measures at country as well as at normative global levels.	L
I. Factors Affecting Performance[66]		HS
1. Preparation and readiness	Project documentation contains a situational analysis, stakeholder's role and interest in mercury management and appropriate project design.	S
2. Quality of project management and supervision[67]	Effectiveness and efficiency of project management team is recognised by all partners. There is good communication among the team and with partners.	HS

[66] *While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Catalytic role, replication and scaling up should be discussed under effectiveness if they are a relevant part of the TOC.*

[67] In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project

Criterion	Summary Assessment	Rating
3. Stakeholders participation and cooperation	Strong and effective project efforts promoted broad stakeholder ownership including country support and commitments, collaboration of GMP and other UN Environment divisions and BRS Secretariat..	HS
4. Responsiveness to human rights and gender equity	There is some limited consideration of gender equity.	MS
5. Country ownership and driven-ness	Evidence of country ownership and driven-ness is strong with ratification by over 90 countries, a diversity of voluntary donor financing as well as commitments to advance on Convention impacts.	HS
6. Communication and public awareness	Project communication has been good among the mercury community. Experience sharing has been favoured.	S
Overall Project Rating	**Highly Satisfactory project**	**HS**

6.2 Lessons learned

206. One of the key lessons learned is the significant value of country sharing of good practice experiences. Experience sharing among countries is the most highly valued practice by countries. Knowledge sharing more widely can create an emulation process stimulating concrete movement towards change.

i. **Flexible work programs leave room for adaptive management**. The latitude of the Interim Secretariat to deal with a diversity of situations has been recognised as a factor positively affecting performance.

ii. **SMART outcome indicators are essential**. Lack of clarity of outcome indicators and means of measurement and monitoring led to ambiguous means of verifying the country advances on policy and measures for the sound management of mercury.

iii. **Secretariat leadership role in global coordination bodies facilitates effective implementation**. Such leadership in coordination can take shape through interagency coordination mechanisms such as the Inter-Organization Programme for the Sound Management of Chemicals. This leadership can go a long way in improving country implementation through global standard setting and facilitating access to best available technology and practice.

iv. **Partnerships are a good means to ensure access to best available expertise**. The Convention process needs to be informed by top expertise for both global standard setting and country support.

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

v. **Pilot projects or interventions need to be designed, well planned and executed**. Like any other projects, to be effective pilot projects need to be based on an adequate situational analysis, thinking out results chains and planning with key stakeholders. Any grant assistance requires capacity assessment of executing agency.

vi. **An inclusive collegial approach favours the quality of outcomes in a structured process.** The inclusive exchanges among the Secretariat and the broader stakeholders are noted as a factor positively affecting advances in the Convention process.

vii. **Reporting needs to be simple for countries**. There was a disappointing response to the request for voluntary country reports on advances in sound management of mercury. Conversely, countries mostly appreciated sharing of experiences among countries. In a formal legally binding system, there is a risk that countries stick to the letter of obligatory measures and are less responsive to voluntary measures. Reporting needs to be simple for countries with easy access to data based on specific questioning and sharing by electronic means. Public sharing of the reports can be an incentive to quality of either voluntary or required country reporting.

viii. **Promoting gender equity has numerous pathways**. Anchoring gender considerations in prescribed legally binding text is one avenue. Looking out for unbalanced situations and working out solutions is another. This was done to ensure participation of a female engineer in the Secretariat- supported meetings, whose social context would not have otherwise have allowed participation.

6.3 Recommendations

207. The following recommendations are intended for the Secretariat in the next phases of the Secretariat Support project, with the understanding that they may need to propose and obtain approval from the Conference Of Parties to respond to these recommendations.

i. **Consider a Theory of Change approach** to the assessment of effectiveness in the implementation of the Convention. The project evaluation TOC developed with the Secretariat team provides a basis for discussion. Undertake a gender analysis and ensure a gender- sensitive approach when piloting ASGM interventions to involve working with civil society organizations targeting relevant marginalized groups.

ii. Based on a theory of change approach, **review the Convention and Secretariat work processes to identify further entry points** and means to reinforce implementation of the UN Environment policies on human rights and gender equity.

iii. **Develop a knowledge management strategy emphasizing the sharing of country practice experiences in a strategy**. This can start with further expansion of the excellent convention website to make it more inclusive of partner contributions, such as the outcomes of major partner meetings organised by WHO and others and results of Minamata Initial Assessments.

iv. **Pilot a global convenor role for the Secretaria**t to match countries facing similar issues in implementation of the Convention and further promoting South-South exchanges.

v. **Implementation expertise and support requires a focus on solutions**. The technical assistance and support on implementation will require expertise on solutions rather than on assessment of situation and planning. Linked to this, develop an expert network on mercury management in partnership with the Global Mercury Partnership and others, building on the GMP experience and extending to solution expertise. Reach out to industry and technical expertise focused on solutions, rather than assessment alone.

vi. **Pilot projects require adequate design and delivery.** The Evaluation team recommends a rigorous evaluation process for country level capacity building grants that the Secretariat will administer.

Annex I. **Evaluation Framework**

Evaluation Criteria	Indicators	Sources of information/evidence
Strategic relevance	Project alignment to UN Environment priorities and MTS; Complementarity with other mercury management support to countries.	Desk review of documents Interviews with Secretariat coordinator; UN Environment chemicals branch staff; Global Environment Facility and/or UNIDO, UNDP.
Quality of project design	Assessment of quality of project design framework template	
Delivery of outputs	Success in delivery of planned outputs considering quantity, quality, sequencing, timeliness and usefulness.	Desk review of output documents Interviews with Secretariat. Interviews with bureau members and UN Environment technical partners
Achievement of direct outcomes	Number and rate of country ratification of Convention; Evidence of enacted laws, policies and regulations in signatory countries Evidence of sound mercury management measures	Desk review of documents including country reporting Interviews with Secretariat coordinator; UN Environment chemicals branch staff ; Global Environment Facility and/or UNIDO and UNDP Interviews with country representatives
Likelihood of impacts	Advances in country adoption of Convention requirements; Perception of key stakeholders; Extent of cooperation with Convention implementation actors.	Desk review of documents Interviews with Secretariat coordinator; UN Environment chemicals branch staff ; Global Environment Facility and/or UNIDO, UNDP Interviews with country representatives
Financial management	Completeness of financial information; Correspondence with project activities types and/or outputs; Communication between financial and project management staff.	Work session with finance officer Interviews with Secretariat coordinator Review of available budget and cost tables
Efficiency	Cost-effectiveness and timeliness.	Interviews with Secretariat coordinator and bureau members
Monitoring and reporting	Reporting of advancement	Desk review of project documents Interviews with Secretariat staff
Sustainability	Financial and institutional sustainability	Desk review of documents Interviews with key stakeholders
Factors affecting project performance -Preparation and readiness	Partnership agreements on implementation support and other facilitating measures;	Desk review of meeting documents, guidance documents and results of pilots initiatives; Interviews with government stakeholders and partner NGOs

-Quality of project management and supervision -Responsiveness to human rights and gender equality -Stakeholder participation and cooperation	Nature and level of efforts to mobilize partners and stakeholders; Approach and methods to ASGM management.	

Annex II. **Documents Consulted**

Project approval documentation

Project document. Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury. Approved August 2014.

Project revision. Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury. Approved January 2017.

Project review committee report. Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury.July 2014.

UNEP Medium Term Strategy 2014-2017

Other documents consulted

Minamata Convention on Mercury Web site: www.mercuryconvention.org

UN Environment Minamata Convention on Mercury Text and Annexes September2017. 71 pages

Minamata Convention on Mercury. Ratification and Implementation Manual. David Lennett and Richard Gutierrez. January 2015. 83 pages

Report of the Global Environment Facility to the First Meeting of the Conference of the Parties to the Minamata Convention on Mercury. July 2017. 83 pages

Report of the Conference of the Parties to the Minamata Convention on Mercury on the work of its first meeting. Advance copy report (UNEP/MC/COP.1/29)

Earth Negotiation Bulletin(ENB). Summary of the first Conference of the Parties to the Minamata Convention on Mercury: 24-29 September 2017 (October 2017). 16 pages

United Nations Development Programme Mercury Management for Sustainable Development Brochure. 24 pages

Establishment of Arrangements for Effectiveness Evaluation (as referred to in paragraph 2 of Article 22). Expert Group on Effectiveness (UNEP/MC/COP.1/12)

Proceedings of South East Asia workshop in support for the ratification and early implementation of the Minamata Convention on Mercury. Kuala Lumpur, Malaysia. 19 to 21 March 2014.

Proceedings of First Anglophone Africa workshop in support for the ratification and early implementation of the Minamata Convention on Mercury 23 to 25 April 2014, Nairobi Kenya.

Proceedings of South America workshop in support for the ratification and early implementation of the Minamata Convention on Mercury, Brasilia, Brazil. 2 to 4 September 2014.

Proceedings regional workshop in support for the ratification and effective implementation of the Minamata Convention on Mercury Asia and the Pacific: Jakarta Indonesia. 17 to 20 March 2015.

Proceedings regional workshop in support for the ratification and effective implementation of the Minamata Convention on Mercury Latin America and the Caribbean: Montevideo, Uruguay. 14 to 17 April 2015.

Small Scale Funding Agreement (SSFA) between UNEP and CASE regarding Awareness raising activities in Burundi, Central African Republic, Congo Cote d'Ivoire and Gabon. September 2016.

Report of the Bureau of the Intergovernmental Negotiating Committee on Mercury Haikou, Hainan Province, China. January 2017

Report of the Bureau of the Intergovernmental Negotiating Mercury Committee on 24-25 August 2016 Livingstone, Zambia

Meeting of the Bureau of the Intergovernmental Negotiating Committee to prepare a global legally binding instrument on mercury,2 February 2012 Note by the Secretariat on the flow of the negotiations 5 pages

Vietnam Chemical Agency.MIA Project Management Unit. Project "Initial Assessment of Minamata Convention in Vietnam" Roles, functions and responsibilitiesof each agencies / units involved in mercury management in Vietnam 2015 Report 51 pages

Vietnam Chemical Agency. MIA Project Management Unit. Project "Initial Assessment of Minamata Convention in Vietnam". Overview of legal documents relating to Mercury by its life time. Thematic report. 2015. 60 pages

Africa Institute.Kingdom of Lesotho. Lesotho Legal Review for the implementation of the Minamata Convention on mercury report November 2015 56 pages

United Nations Development Program. Minamata Initial Assessment Report. Suggested Structure and Contents , February 2017 26 pages (IOMC review in 2015)

Global Environment Facility. Initial Guidelines for Enabling activities for the Minamata Convention on Mercury; Global Environment Facility/C.45/Inf.05/Rev.01;January 2014 10 pages

UNEP Global Mercury Assessment 2013: Sources, Emissions, Releases and Environmental Transport. UNEP Chemicals Branch, Geneva, Switzerland. 2013. 44 pages

Annex III. **Evaluation interviews**

Mission to Ottawa(March 2018) interviews

Ms.Sheila Logan
Programme Officer
Secretariat of the Minamata Convention on Mercury
UN Environment

Ms. Alison Dickson, M.Eng.
Manager, Metals and Metalloids
Chemicals Management Division
Industrial Sectors, Chemicals and Waste Directorate
Environment and Climate Change Canada

Mr. Euripides (Rico) Euripidou
Research Manager
Environmental Health
GroundWork
South Africa

Ms. Susan Keane
Deputy Director
Health Program
Natural Resources Defense Council (NRDC)
United States of America

Mr. Mohammed Khashashneh
Director
Hazardous Substances and Waste Management Directorate
Ministry on Environment
Jordan

Ms Ana-Maria Witt
Programme Officer
Science and Technical Assistance Branch
Secretariat of the Basel, Rotterdam and Stockholm Conventions
Switzerland

Skype and phone interviews (March to May 2018)

Mr. Christopher Gordon Allen
Deputy Head of Unit
DG Environment
European Union
Brussels

Belgium

Ms. Carolyn Vickers
Team Leader, Chemical Safety
Public Health, Environmental and Social Determinants of Health
World Health Organization (WHO)
Switzerland

Ms Monica Gaba Kapadia
Programme Analyst, Montreal Protocol Unit/Chemicals
Sustainable Development Cluster/BPPS
United Nations Development Programme
New York, New York

Ms Hilda Van Der Veen
Environment and chemicals professional
Harare Zimbabwe
Consultant for Montreal Protocol Unit/Chemicals
United Nations Development Programme

Mr. Anil Sookdeo
Coordinator Chemicals and Waste
Programs Unit
Global Environment Facility Secretariat
Washington D.C.
USA

Mr Jorge Ocaña
Manager, Chemicals and Waste Management Programme
Division for Planet
United Nations Institute for Training and Research (UNITAR)
Geneva , Switzerland

Mission to Geneva Switzerland (May 2018)

Jacob Duer
Chief, Chemicals and Health Branch and Former Project Manager
Secretariat of the Minamata Convention on Mercury
UN Environment
Geneva

Ken Davies
Programme Officer
Global Mercury Partnership Secretariat
UN Environment
Geneva

Ludovic Bernaudat
Programme Officer, Global Environment Facility Team
Chemicals and Health Branch
UN Environment
Geneva

Jacqueline Alvarez
Senior Programme Officer, Head of Knowledge and Risk Unit
UN Environment
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Erika Mattson
Administrative Officer
Chemicals and Health Branch
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Claudia ten Have
Senior Programme Officer
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UN Environment
Geneva

Stephanie Laruelle
Programme officer
Secretariat of the Minamata Convention on Mercury
UN Environment
Geneva

Eisaku Toda
Programme officer
Secretariat of the Minamata Convention on Mercury
UN Environment
Geneva

Annex IV. **Project Outputs**

Output 1: Global meetings effectively prepared and serviced	Sixth meeting of the Intergovernmental Negotiating Committee- INC6 Bangkok April 2015
	Seventh meeting of the Intergovernmental Negotiating Committee INC7 Jordan March 2016
	Two face-to-face Bureau meetings before each INC
	First conference of the parties of the Minamata Convention COP1
Output 2: Four technical guidance required by the Convention	Technical guidance on emissions –best available techniques and best practices provided to INC7 by expert group on emissions. (Article8-para 8 a)
	Technical Guidance in determining goals and setting emission limit values (Article8-para 8 b)
	Technical Guidance on criteria on emission sources (Article 8 para 9a)
	Technical Guidance on methodology for preparing inventories of emissions (Article 8 para 9a)
Output 3 Awareness-raising workshops and pilots to support individual countries	Four regional meetings in preparation for COP 1 • Asia and the Pacific: 5 to 7 July 2017, Bangkok, Thailand • Africa: 11 to 13 July 2017, Johannesburg, South Africa • Central and Eastern Europe: 12 to 13 July 2017, Brno, Czech Republic • Latin America and the Caribbean: 25 to 28 July 2017, Buenos Aires, Argentina
	Four working sessions back to back with BRS regional meetings • Asia and the Pacific: 9 to 10 March 2017, Bangkok, Thailand • Africa: 17 March 2017, Dakar, Senegal • Central and Eastern Europe: 24 March 2017, Riga, Latvia • Latin America and the Caribbean: 27 to 31 March 2017, Sao Paulo, Brazil
	Four regional workshops to support the ratification and effective implementation of the Minamata Convention, back-to-back with the regional meetings for the Basel, Rotterdam and Stockholm (BRS) Conventions in preparation for their Conferences of the Parties in May 2015: • Asia and the Pacific: 17 to 20 March 2015, Jakarta, Indonesia • Africa: 24 to 27 March 2015, Nairobi, Kenya • Central and Eastern Europe and Central Asia: 7 to 10 April 2015,Bratislava, Slovakia • Latin America and the Caribbean: 14 to 17 April 2015, Montevideo, Uruguay
	12 sub-regional workshops towards ratification and early implementation • South East Asia workshop in Kuala Lumpur, Malaysia (19 to 21 March 2014) • First Anglophone Africa workshop in Nairobi, Kenya (23 to 25 April 2014) • Second Anglophone Africa workshop in Nairobi, Kenya (28 to 30 April 2014) • First Francophone Africa workshop in Dakar, Senegal (9 to 11 July 2014) • Second Francophone Africa workshop in Dakar, Senegal (14 to 16 July 2014) • Arabic speaking countries workshop in Dead Sea, Jordan (5 to 7 August 2014) • South America workshop, Brasilia, Brazil (2 to 4 September 2014) • Asian countries workshop, New Delhi, India (18 to 20 September 2014) • Mesoamerica workshop, Mexico City, Mexico (26 to 28 November 2014) • Caribbean workshop, Port of Spain, Trinidad and Tobago (19 to 21 January 2015) • Pacific workshop Apia, Samoa (19 to 21 January 2015) • Central and Eastern Europe and Central Asia workshop, Minsk, Belarus (18 to 20 February 2015)

	Pilot interventions to support individual countries : • Lesotho legal review • Vietnam legal review • Swaziland pilot project • Cambodia workshop • Assistance to five Africa Countries in preparation of NAP for mercury management in ASGM (Burundi, Central African Republic, Congo, Cote d'Ivoire and Gabon)

Annex V. **TOR for the Evaluation**

TERMS OF REFERENCE

Terminal Evaluation of the UN Environment project
"Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury"

Section 1: PROJECT BACKGROUND AND OVERVIEW

1. Project General Information

Table 1. Project summary

UN Environment PIMS ID:	01753		
Implementing Partners/ External Executing Partners	Zero Mercury Working Group (ZMWG) + International POPs Elimination Network (IPEN)		
Sub-programme:	Chemicals and Waste	Expected Accomplishment(s):	Countries have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs[68]
UN Environment Approval date:	8 Aug. 2014	Programme of Work Output(s):	5 A 2
Expected start date:	Aug. 2014	Actual start date:	August 2014
Planned completion date:	Aug. 2016	Actual completion date:	31 Dec 2017
Planned project budget at approval (cash+in-kind)	$8,158,205: prodoc, final: $12,333,454	Actual total expenditures reported as of [date]:	

[68] Indicator of expected accomplishment: Increased number and percentage of **countries reporting** the **adoption of policies and regulatory frameworks** for the sound management of chemicals and waste, with the assistance of UNEP, link to sdg target: Goal 3: Ensure healthy lives and promote well-being for all at all ages 3.9 – By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination.

Planned Environment Fund allocation: posts	$1,120,000	Actual Environment Fund expenditures reported as of [date]:	EF funded staff time (i.e. Jacob Duer) work across several projects. It is not possible to give exact actual expenditure figures. Estimated amounts as per project document.
Planned Extra-Budgetary Financing:	$5,972,000	Secured Extra-Budgetary Financing:	
		Actual Extra-Budgetary Financing expenditures reported as of [date]:	1,364,360 + 9,992,945 = 11,357,305 USD
First disbursement:		Date of financial closure:	30 June 2018
No. of revisions:	1 (increased budget: $12,333,454)	Date of last revision:	February 2017
No. of Steering Committee meetings:	None	Date of last/next Steering Committee meeting:	Last: / Next:
Mid-term Review/ Evaluation *(planned date):*	Not planned	Mid-term Review/ Evaluation (actual date):	none
Terminal Evaluation *(planned date):*	February 2018	Terminal Evaluation (actual date):	February 2018
Coverage - Country(ies):	Global	Coverage - Region(s):	Global
Dates of previous project phases:	52- P1: Mercury project	Status of future project phases:	Minamata Convention Implementation

2. Project Rationale[69]

1. This project covers the work of the interim secretariat for the Minamata Convention on Mercury following the adoption of the Convention. The project leads directly on from project 53.P1, which covered the work of the secretariat of the intergovernmental negotiating committee to prepare a global legally binding instrument on mercury (as well as the work of the mercury programme of the United Nations Environment Programme). The project was based on the mandate given to the United Nations Environment Programme by the Diplomatic

[69] *Legend: Grey =Info to be added*

Conference at which the Convention was adopted and opened for signature. The Diplomatic Conference requested UNEP to deliver the interim secretariat in the period prior to the first meeting of the Conference of the Parties, including support for the ongoing work in preparing for entry into force as well as support for countries in becoming a Party to the Convention. The project was designed around the key activities set out in the Final Act adopted at the Diplomatic Conference, which is available on the Convention website at http://mercuryconvention.org/Negotiations/ConferenceofPlenipotentiaries/tabid/3441/Default.aspx.

3. Project Objectives and Components

2. The negotiations on the Minamata Convention on Mercury concluded in 2013, with the Convention being adopted and opened for signature in October 2013. UNEP has been requested to provide the secretariat for the Convention during the interim period until entry into force. This task involves the provision of secretariat services to the intergovernmental negotiating committee and its subsidiary bodies, as well as supporting governments in their efforts to implement and ratify the Convention. This project covers the secretariat activities, including the arrangements for the further sessions of the intergovernmental negotiating committee (INC) and relevant intersessional meetings, arrangements for the meeting of, and support for the intersessional work relating to, the group of technical experts established by the Conference of Plenipotentiaries, and the provision of technical assistance and awareness raising activities to facilitate early implementation and ratification of the Convention.

Expected Accomplishment: Countries have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs

Outputs:

1. Sessions of the INC result in provisionally approved documents which will be forwarded to first meeting of the Conference of the Parties for formal adoption
2. Technical process develops guidance required under the Convention, with the formulated guidance presented to the first meeting of the Conference of Parties eg. road maps to help countries get to early implementation
3. Awareness raising activities delivered globally, with an anticipated effect of an increase in ratification and early implementation of the Convention following the awareness raising.

The secretariat role for the INC (Intergovernmental Negotiating Committee) and the subsidiary bodies is to provide, through the development of all the working documents and technical inputs, suitable information and guidance for the Governments to take decisions which will facilitate entry into force of the Convention as well as **early implementation** by Governments.

- Also Secretariat provided advice to chair of INC and key stakeholders(including governments, civil society and industry)
- Awareness raising on Minamata Convention provisions amongst member states through regional meetings: Secretariat provided guidance on these provisions, as well

as facilitated discussions at regional meetings. Member state discuss implementation at meetings as well.

- To promote ratification and implementation, the project supported the development of national inventories, facilitating stakeholder consultations at the national level, review of the existing legislative structure, prep of a gap analysis for the development of new legislation or regulation and assistance with the process to prepare for ratification – develop national plans and improve coordination between countries
- 15 sub regional workshops planned – 2014- regional offices provide guidance on working with individual countries

4. Executing Arrangements

DTIE responsible for project implementation and project execution partners. Economy Division has had the overall responsibility for the project implementation. Within the Economy Division, the project was based within the Chemicals and Health Branch, based in Geneva. Information on the project manager and other members of the project team were provided in the original project, and amended in the project revision. The table below sets out the main activities of the project team. The project manager, Mr. Jacob Duer, dedicated 30% of his time to this project, and was responsible for overall supervision and management of the project team and overall project. He was supervised by the Deputy Division Director, Mr. Tim Kasten.

The executing partners, and stakeholders tasked with the delivery of activities under the project, worked under the direct guidance of the project team. Substantive activities delivered by outside partners were primarily within component 3, and related to the provision of expert input into awareness raising and capacity building activities. Support activities (including logistics support) were provided for all three components.

Responsibilities within the project

Name	Time allocation	Component 1	Component 2	Component 3
Jacob Duer	Whole project, 30%	Overall supervision of activities under the whole project, with an emphasis on political issues		
Claudia tenHave	From August 2016, 100%	Responsible for the delivery of COP1, particularly political and financial issues		Contributed to development of outreach materials
Sheila Logan	Whole project, 100%	Responsible for logistics of meetings and overall development of documents	Oversaw the technical work of the development of guidance documents	Contributed to the awareness raising and outreach activities
Stephanie Laruelle	Whole project, 100%	Contributed to the organization of meetings and		Development the program of awareness raising activities,

		the development of documents		including outreach materials
Gustav Boethius	From February 2015 – September 2016, 100%	Contributed to the organization of INC7 and preparatory meetings, some document preparation	Support the fourth technical meeting and contributed to finalization of documents	
Lina Fortelius	From September 2016, 30%	Provided support to the organization of COP1, including logistics and technical activities		
Prisca Chulley	Whole project, 100%	Provided administrative support to activities of the secretariat, including support of principal coordinator and logistics issues.		
Stephanie Berger	Whole project, 100%	Provided administrative support to activities of the secretariat, including logistics issues.		
Legal Staff as needed (DELC)	Whole project, 5%	Supported meetings in relation to legal questions		Provided input, as needed, to outreach material and workshops
Abdouraman Bary	Whole project, 5%	Regional officers provided support during preparatory meetings and meetings of INC/COPs to ensure engagement with regions		Contributed through participation in awareness raising and outreach activities, as well as facilitating contact with country officers.
Kakuko Nagatani-Yoshida	Whole project, 5%			
Jordi Pon	Whole project, 5%			
Mijke Hertoghs	Whole project, 5%			
Abdulelah Alwadaee	Whole project, 5%			

5. Project Cost and Financing

3. The initial project indicated a total budget of 8, 158, 205 USD. The revision to the project amended this to 12, 333,454 USD in 2017. The original and revised budget tables are provided.

Original (2014) (source: minamata secretariat 0307 file)

UNEP Budget Categories	Budget by Project Output*					
	1	2	3	4	Etc.	**Total**
Component total	**1,642,500**	**115,000**	**1,010,000**	**-**	**-**	**2,767,500**

Revised: 2017 (source: minamata secretariat 2014)

UNEP Budget Categories	Budget by Project Output*					
	1	2	3	4	Etc.	**Total**
GRAND TOTAL	2,677,500	656,000	2,895,000	-	-	7,038,205

Budget Summary (2014)

TYPE OF FUNDING	SOURCE OF FUNDING	Details	Year 1	Year 2	Total
CASH	Environment Fund activity budget			-	-
	Regular Budget activity budget				-
	TOTAL EF/RB BUDGET		**-**	**-**	**-**
	Extrabudgetary Funding (posts + non-post+PMC)	Secured funds	733,560	4,039,212	**4,772,772**
		Unsecured XB funding	-	522,477	**522,477**
		XB Sub-total	733,560	4,561,689	**5,295,249**
	TOTAL XB BUDGET		**733,560**	**4,561,689**	**5,295,249**
IN-KIND	Environment Fund post costs		**91,010**	**333,020**	**424,030**
	Regular Budget post costs				-
	Other (include name of donor)				
	TOTAL IN-KIND BUDGET				**424,030**
		Funding secured			**5,196,802**

6. Implementation Issues

4. Key challenges at certain stages of project implementation included political and operational challenges. The original timeframe for the project foresaw more rapid ratification by countries, leading to an earlier entry into force. As a number of major countries faced difficulties in enacting the required legislation, their ratification process was delayed. The secretariat was required, on some occasions, to provide additional support (in the form of briefings, awareness raising and other communication) to assist countries in progressing towards ratification. On an operational basis, there were occasional impacts on the project from internal administrative issues (such as the changeover to the Umoja system) however these did not impact the overall delivery of the project.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

7. Key Evaluation Principles

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

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

7. **Baselines and counterfactuals**. In attempting to attribute any outcomes and impacts to the project intervention, the evaluators should consider the difference between *what has happened with, and what would have happened without, the project*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended project outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the project. Sometimes, adequate information on baseline conditions, trends or counterfactuals is lacking. In such cases this should be clearly highlighted by the evaluators, along with any simplifying assumptions that were taken to enable the evaluator to make informed judgements about project performance.

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

8. Objective of the Evaluation

9. In line with the UN Environment Evaluation Policy[70] and the UN Environment Programme Manual[71], the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet

[70] *http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx*
[71] *http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf . This manual is under revision.*

accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and ZMWG and IPEN Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation especially for the second phase of the project, Minamata Convention Implementation.

9. Key Strategic Questions

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

- To what extent did the project cooperate and involve GEF, and promote cooperation between the Minamata Secretariat and the GEF implementing agencies, other partners include ZMWG & IPEN, as well as target countries and the private sector in the Convention process?
- To what extent did the project succeed in mobilizing cooperation with and support from within UNEP?
- What were the intended and untended outcomes of project-facilitated exchanges between member countries prior to and following the formal meetings?
- Is there any emerging evidence that the project has contributed to improvements in the institutional structure of target countries which is likely to lead to the achievement of the project's overall objective? To what extent are the project results/products (policy instruments, outreach materials, tools for presentation and visualization of results, etc.) being used by policy makers in the target countries?
- To what extent did the project secure sufficient funding for the Convention process, including from the national Governments, the international community (e.g. GEF, UNEP) and the private sector?

10. Evaluation Criteria

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

A. Strategic Relevance

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

i. *Alignment to the UN Environment Medium Term Strategy[72] (MTS) and Programme of Work (POW)*

13. The evaluation should assess the project's alignment with the MTS and POW under which the project was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

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

14. Donor strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building73 (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries.

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

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

iv. *Complementarity with Existing Interventions*

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

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

B. Quality of Project Design

17. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unep.org/evaluation). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary

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

[73] http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf

of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

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

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

C. Nature of External Context

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

D. Effectiveness

i. Delivery of Outputs

19. The evaluation will assess the project's success in producing the programmed outputs *(products, capital goods and services resulting from the intervention)* and achieving milestones as per the project design document (ProDoc). Any formal modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision[74]

ii. Achievement of Direct Outcomes

20. The achievement of direct outcomes *(short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors)* is assessed as performance against the direct outcomes as defined in the reconstructed75 Theory of Change. These are the first-level outcomes

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

[75] *UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project*

expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes is necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the direct outcomes realised.

Factors affecting this criterion may include:

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

iii. Likelihood of Impact

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

22. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.[76]

23. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication[77] as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

24. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals[78] and/or the high level results prioritised by the funding partner.

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design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

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

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

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

Factors affecting this criterion may include:

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

E. Financial Management

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

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

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

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

28. The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

30. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART[79] indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

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

iii. Project Reporting

32. UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team. The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

Factors affecting this criterion may include:

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

H. Sustainability

33. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual

[79] *SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.*

circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

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

ii. Financial Sustainability

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

iii. Institutional Sustainability

36. The evaluation will assess the extent to which the sustainability of project outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

Factors affecting this criterion may include:

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined)
- Communication and public awareness
- Country ownership and driven-ness

I. Factors and Processes Affecting Project Performance

(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)

i. Preparation and Readiness

37. This criterion focuses on the inception or mobilisation stage of the project (ie. the time between project approval and first disbursement). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes

that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. *(Project preparation is included in the template for the assessment of Project Design Quality).*

ii. Quality of Project Management and Supervision

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

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

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

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

42. In particular, the evaluation will consider 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.

v. Country Ownership and Driven-ness

43. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to direct outcomes or b) moving forward from direct outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is

needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups.

vi. Communication and Public Awareness

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

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

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

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

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

- Relevant background documentation, inter alia [list];
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Project outputs: [list];
- Evaluations/reviews of similar projects.

(b) **Interviews** (individual or in group) with:

- UN Environment Project Manager (PM) : Sheila Logan and Jacob Duer
- Project management team;
- UN Environment Fund Management Officer (FMO): Erika Mattson

- Sub-Programme Coordinator;
- Project partners - See Annex Four
- Relevant resource persons- See Annex Four

Field visits:

Geneva : 8 April 2018 to 13 April 2018

11. Evaluation Deliverables and Review Procedures

47. The evaluation team will prepare:

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

48. **Review of the draft evaluation report**. The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

49. Based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

50. The Evaluation Manager will prepare a **quality assessment** of the first and final drafts of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in template listed in Annex 1 and this assessment will be appended to the Final Evaluation Report.

51. At the end of the evaluation process, the Evaluation Office will prepare a **Recommendations Implementation Plan** in the format of a table, to be completed and updated at regular intervals by the Project Manager. The Evaluation Office will track compliance against this plan on a six monthly basis.

12. The Evaluation Consultant

52. For this evaluation, the Evaluation Team will consist of an independent Consultant (hereinafter Evaluation Consultant). The Evaluation Consultant will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Zahra Hassanali, in consultation with the UN Environment Project Managers, Jacob Duer and Sheila Logan, Fund Management Officer, Erika Mattsson, Sub Programme Coordinator, Chemicals and Waste (Tessa Goverse), Sub Programme Coordinator, Environment Under Review Programme (Rula Qualoubi), and (Executive Secretary of the Minamata Convention on Mercury, Ms. Rossana Silva.?) The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation, including travel. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

53. The Evaluation Consultant will be hired for 5.5 months in the period 15 February/2018 to 31 July/2018 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a broad understanding of Multilateral Environmental Agreements (MEAs) and in particular the Basel, Rotterdam, Stockholm and Minamata conventions; a minimum of ten years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach, along with excellent writing skills in English; team leadership experience and knowledge of the UN system (previous consultancy work with UNEP is desirable);

54. In close consultation with the Evaluation Manager, the Evaluation Consultant will be responsible for the overall management of the evaluation and timely delivery of its outputs, data collection and analysis and report-writing. More specifically:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- plan the evaluation schedule;

- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with project implementing and executing agencies, project partners and project stakeholders;
- (where appropriate and agreed) conduct an evaluation mission to Switzerland, visit the participating missions, interview project partners and stakeholders, including a good representation of country missions who ratified the Minamata Convention as well as those who implemented early action plans. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress and engage the Project/Task Manager in discussions on emerging findings throughout the evaluation process.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- prepare a 2-page summary of the key evaluation findings and lessons;

Managing relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

13. Schedule of the Evaluation

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

Table 3. Tentative schedule for the evaluation

Milestone	**Tentative Dates**
Inception Report	5 March 2018
Evaluation Mission: Ottawa	8 March 2018 to 10 March 2018

Geneva	14 April 2018 to 18 April 2018
Telephone/ Skype interviews etc.	Throughout
Powerpoint/presentation on preliminary findings and recommendations	17 May 2018
Draft report to Evaluation Manager (and Peer Reviewer)	8 June 2018
Draft Report shared with UN Environment Project Manager and team	30 June 2018
Draft Report shared with wider group of stakeholders	10 July 2018
Final Report	15 July 2018
Final Report shared with all respondents	21 July 2018

14. Contractual Arrangements

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

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

58. Schedule of Payment for the Consultant:

Deliverable	**Percentage Payment**
Approved Inception Report *(as per annex document 7)*	20%
Approved Draft Main Evaluation Report *(as per annex document 13)*	60%
Approved Final Main Evaluation Report	20%

59. Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorized travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Manager and on the

production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

60. The consultants may be provided with access to UN Environment's Programme Information Management System (PIMS) and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

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

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

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

The tools, templates and guidance notes listed in the table below, and available on the Evaluation Office website (www.unep.org/evaluation), are intended to help Evaluation Managers and Evaluation Consultants to produce evaluation products that are consistent with each other and which can be compiled into a biennial Evaluation Synthesis Report. The biennial summary is used to provide an overview of progress to UN Environment and the UN Environmental Assembly. This suite of documents is also intended to make the evaluation process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the evaluation needs of projects and portfolio vary and adjustments may be necessary so that the purpose of the evaluation process (broadly, accountability and lesson learning), can be met. Such adjustments should be decided between the Evaluation Manager and the Evaluation Consultant in order to produce evaluation reports that are both useful to project implementers and that produce credible findings.

ADVICE TO CONSULTANTS: As tools, templates and guidance notes are updated on a continuous basis, kindly download documents from these links during the Inception Phase and use those versions throughout the evaluation.

Document	Name	URL link
1	Evaluation Process Guidelines for Consultants	Link
2	Evaluation Consultants Team Roles *(Team Leader and Supporting Consultant)*	Link
3	Evaluation Criteria *(summary of descriptions, as in these terms of reference)*	Link
4	Evaluation Ratings Table	Link
5	Matrix Describing Ratings by Criteria	Link
6	Weighting of Ratings (excel)	Link
7	Project Identification Tables (GEF and non-GEF)	Link
7	Structure and Contents of the Inception Report	Link

8	Template for the Assessment of the Quality of Project Design	Link
9	Guidance on Stakeholder Analysis	Link
10	Use of Theory of Change in Project Evaluations	Link
11	Assessment of the Likelihood of Impact Decision Tree (Excel)	Link
12	Possible Evaluation Questions	Link
13	Structure and Contents of the Main Evaluation Report	Link
14	Cover Page, Prelims and Style Sheet for Main Evaluation Report	Link
15	Financial Tables	Link
16	Template for the Assessment of the Quality of the Evaluation Report	Link

Annex VI. **Quality Assessment of the Evaluation Report**

Evaluation Title: Terminal Evaluation of

"Secretariat Support to the Intergovernmental Negotiating Committee for the Minamata Convention on Mercury"

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

	UN Environment Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
Quality of the Executive Summary: The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.	Final report: Final report has a well written executive summary without repetition.	5.5
I. Introduction A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.) Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?	Final report: The report has a concise statement of the purpose of evaluation and target audience. Improved sentence structure and organization of ideas from good draft stage introductory section	6

II. Evaluation Methods This section should include a description of how the *TOC at Evaluation*[80] was designed (who was involved etc.) and applied to the context of the project? A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.). The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described. It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome. Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.	Final report: Clarifications made to zero draft	6
III. The Project This section should include: • *Context:* Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • *Objectives and components*: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • *Stakeholders:* Description of groups of targeted stakeholders organised according to relevant common characteristics • *Project implementation structure and partners:* A description of the implementation structure with diagram and a list of key project partners • *Changes in design during implementation:* Any key events that affected the project's scope or parameters should be described in brief in chronological order • *Project financing:* Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing	Final report: Content very sound. Information reorganized and grammatical improvements made from zero draft	6
IV. Theory of Change The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors. Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy	Final report: Consultant used inputs from interviews well to Reconstruct theory of change. Final report refines the way indicators are	6

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

should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. *The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.*	phrased and clarifications made	
V. Key Findings **A. Strategic relevance:** This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed: v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW) vi. Alignment to UN Environment/ Donor/GEF Strategic Priorities vii. Relevance to Regional, Sub-regional and National Environmental Priorities viii. Complementarity with Existing Interventions	Final report: Few grammatical and linguistic changes made to Zero draft reports	6
B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively summarized?	Final report: The analysis accurately summarized the quality of design integrating inception report feedback.	6
C. Nature of the External Context For projects where this is appropriate, key external features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.	Final report: This section is now comprehensive and reflects how outcomes were affected by the drought	6
D. Effectiveness **(i) Outputs and Direct Outcomes:** How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.	Final report: Final report added detail and clarified terms and numbers	5.5
(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?	Final report: Final report re-organizes some of the information in zero draft	6

6E. Financial Management This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table. Consider how well the report addresses the following: • *completeness* of financial information, including the actual project costs (total and per activity) and actual co-financing used • *communication* between financial and project management staff	Final report: This concise section contains the necessary info that was missing prior to the final consultations in Geneva. As well some paragraphs were shifted to other parts of the report	5
F. Efficiency To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including: • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UN Environment's environmental footprint.	Final report: Further substantiation of the rating improved this section significantly	6
G. Monitoring and Reporting How well does the report assess: • Monitoring design and budgeting *(including SMART indicators, resources for MTE/R etc.)* • Monitoring of project implementation *(including use of monitoring data for adaptive management)* • Project reporting *(e.g. PIMS and donor report)*	Final report: reorganizes detail and some edits	6
H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including: • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability	Final report: Final report relies well on the EOU ratings criteria matrix.	5
I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are **integrated in criteria A-H as appropriate**. To what extent, and how well, does the evaluation report cover the following cross-cutting themes: • Preparation and readiness • Quality of project management and supervision[81] • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Country ownership and driven-ness	Since the project did not face any material issues related to any factors they did not feature prominently in the various sections	6

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

• Communication and public awareness		
VI. Conclusions and Recommendations **i. Quality of the conclusions:** The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.	Final report: The final report contained answers to the strategic questions.	6
ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Final report: the main lessons and recommendations are useful for new projects generally	5
iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final report: as above	6
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final report: The final report demonstrates that the consultant have keenly followed guidelines	6
ii) **Quality of writing and formatting:** Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?	Final report: The zero and earlier drafts, the final report required a fair bit of formatting to use passive tone, grammatical improvements, consistent bullets and numbering. The final report follows EOU formatting guidelines.	5.5
OVERALL REPORT QUALITY RATING		5.8/6

Annex VII. **Consultant cv**

LINDA GHANIMÉ

International Consultant, Environment and sustainable development

EDUCATION:

- 1984: Maîtrise en Sciences de l'environnement (M.Sc.), Université du Québec à Montréal.
- 1978: Bachelor of Science. Biogeography, McGill University, Montréal.

Ms Linda Ghanimé carries out international advisory services in strategy, design and evaluation of environment and sustainable development initiatives. She cumulates over thirty years of comprehensive experience focused on integrating environmental sustainability into development pathways at both national and local levels , namely in the design, implementation, monitoring and evaluation of sustainable development policies and programs. Advising countries on policies and institutional practices for improving sustainability of economic and social development platforms, she applies participatory knowledge- sharing approaches to forge tailor-made processes and tools.

Linda served the United Nations as policy advisor with the United Nations Development Program (UNDP) from 2001 to 2010 where her work focused on mainstreaming environmental sustainability in global and country level development and poverty reduction processes. From 1995 to 2001, she developed and operated an international consultancy practice in environmental assessment and planning. She led the government program of PCB elimination in Québec, Canada from 1991 to 1995. Previously during a dozen years, she was environmental analyst and project director with an international consulting firm. Ms Ghanimé has been responsible for the environmental dimensions of a wide scope of development projects and programs in Canada, Africa and Asia. She is a part time commissioner for the Quebec environment public hearing board, (BAPE) since 2016.