



United Nations Environment Programme

Terminal Evaluation of the Project

UNEP Global Mercury Partnership and Mercury Programme

Evaluation Office

Ivan Holoubek

October 2016

Contents	2
Abbreviations	4
Project identification table	5
Executive summary	6
I. Introduction	10
Objective and scope of evaluation	10
Overall approach and method	11
Limitations and constraints	13
II. The Project	14
A. Context	14
B. Objectives and components	15
C. Target areas/groups	17
D. Milestones/Key dates in project design and implementation	18
E. Implementation arrangements	19
F. Project financing	20
G. Project partners	22
H. Changes in design during implementation	23
I. Reconstructed Theory of change of the project	23
III. Evaluation findings	24
A. Strategic relevance	24
Complementarities with UNEP strategies and programmes	25
B. Achievement of outputs	26
C. Effectiveness: Attainment of project objectives and results	30
D. Sustainability and replication	32
Sustainability of outcomes	32
Socio-political sustainability	32
Financial sustainability	33
Sustainability of institutional framework	33
Environmental sustainability	34
Catalytic role and replication	34
E. Efficiency	36
F. Factors affecting performance	36
Preparation and readiness	36
Implementation approach and adaptive management	37
Stakeholder participation and public awareness	38
Country ownership and drivenness	39
Financial planning and management	39
UNEP supervision and backstopping	40
Monitoring and evaluation	40

Monitoring and evaluation design	40
Budgeting and funding for M&E activities	41
Monitoring and evaluation plan implementation	41
IV. Conclusions and recommendations	42
A. Conclusions	42
Conclusions and rating	42
B. Lessons learned	46
C. Recommendations	47
Annexes	49
AI. List of persons met and interviewed	49
AII. Evaluation TORs (without Annexes)	53
AIII. Bibliography	74
AIV. GMP partners	75
AV. Key evaluation questions	78
AVI. Brief CV of the consultant	80

ABBREVIATIONS

ASGM	Artisanal and Small-Scale Gold Mining
GEF	Global Environment Facility
INC	Intergovernmental Negotiation Committee
OP	Operational Programme
PD	Project Document
PDF	Project Development Facility
SAP	Strategic Action Programme
SAO	Senior Arctic Officials
PAG	Partner Advisory Group
POG	Process Optimization Guidance
R&D	Research and Development
SMART	Specific, Measurable, Achievable, Relevant, Time bound (indicators)
SP	Strategic Priority
StC	Project Steering Committee
TER	Terminal Evaluation Report
TOR	Terms of Reference
UNEP	United Nations Environment Programme
UNEPA	United States Environmental Protection Agency
WB	World Bank

Project Identification Table

UNEP PIMS ID:	I.	IMIS number:	2B23/3795
Sub-programme:	Harmful substances and hazardous waste	Expected Accomplishment(s):	EA3: Appropriate policy and control systems for harmful substances of global concern are developed and in place, in line with the State's international obligations
UNEP approval date:		PoW Output(s):	2010/11-531 2010/11-532 2010/11-537 2012/13-531 2012/13-534
Expected Start Date:	01 March 2009	Actual start date:	24 March 2009
Planned completion date:	31 Dec 2013	Actual completion date:	31 Dec 2014
Planned project budget at approval:	15 760 110 USD	Total expenditures reported as of [date]:	20 654 296 USD
Planned Environment Fund (EF) allocation:		Actual EF expenditures reported as of [date]:	
Planned Extra-budgetary financing (XBF):		Actual XBF expenditures reported as of [date]:	
XBF secured:		Leveraged financing:	
First Disbursement:		Date of financial closure:	
No. of revisions:		Date of last revision:	
Date of last Steering Committee meeting:			
Mid-term review/ evaluation (planned date):	N/A	Mid-term review/ evaluation (actual date):	N/A
Terminal Evaluation (actual date):	Jan-Sept 2016		

Executive Summary

1. The project “UNEP Global Mercury Partnership and Mercury Programme” (2009/12 – 2014) supported the ongoing work of the mercury programme, including support both for the negotiations of a global legally binding instrument on mercury as well as the UNEP Global Mercury Partnership (GMP); including support for the Partnership Advisory Group and coordination of the partnership areas.

Partnership Area Profiles

- Reducing Mercury in Artisanal and Small-Scale Gold Mining (ASGM)
- Mercury Control from Coal Combustion
- Mercury Reduction in Chlor-alkali
- Mercury Reduction in Products
- Mercury Air Transport and Fate Research
- Mercury Waste Management
- Mercury Supply and Storage
- Mercury Releases from Cement Industry

Other Activities

- Vinyl Chloride Monomer Production
- Proposed Business plan on Non-Ferrous Metals Production (September 2008)

2. In relation to the Global Mercury Partnership, the following were the outputs of the project:

- 1) The Global Mercury Partnership meets agreed performance standards
- 2) Inventories of mercury use and releases [completed and disseminated] in up to 25 countries globally
- 3) Input provided to guidelines on waste management being developed by the secretariat of the Basel Convention
- 4) Roadmap for the transformation of the Haidarkan mine and its community away from primary mercury mining
- 5) Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations
- 6) Decreased use of mercury in artisanal mining
- 7) Plans for long-term storage of mercury in Asia and Latin America.

3. Another output was support to the negotiation of the globally legally binding instrument which was delivered by the UNEP Chemicals Branch.

4. Anthropogenic mercury releases come from every country on earth. The project sought to create global conditions for the reduction of mercury pollution, through the establishment of a legally-binding instrument, and to build capacity for reductions in specific countries and sectors, through the UNEP Global Mercury Partnership. An important component of the project also sought to estimate global anthropogenic mercury releases into the atmosphere. This was the UNEP Global Mercury Assessment, and its results can help track reductions in mercury pollution.

5. Evaluation of the project contribution to the decreased use of mercury in artisanal mining is an extremely complex question. Because ASGM takes place in over 70 countries, generally in remote areas and often outside the formal economy, it is very difficult to make estimates of mercury use. Even getting a reliable baseline upon which to measure trends has been difficult.

6. The project significantly contributed to governments' and other stakeholders' understanding of the issue on the storage of mercury (waste and non-waste or commodity mercury). The project provided an "Assessment Report on Excess Mercury Supply in Asia-Pacific (AP)" and a similar report for the Latin America and Caribbean (LAC) regions.

7. The project has developed tools necessary to assist countries in developing national inventories. To initiate the work on national inventories it was realized that there was a need to focus a lot on training and improving tools. A course to educate trainers was held for staff from the Basel/Stockholm Convention regional centres. These trainings were sufficient and of high enough quality and prepared trainers to be able to support the countries in developing national inventories.

8. The *The Process Optimization Guidance* (POG) was developed as part of the project. The POG summarizes mercury emission reduction practices and technologies applicable to coal-fired power plants. The POG is a tool to help determine the approaches to control mercury emissions, in many cases a co-benefit of reducing emissions of other pollutants.

9. On the basis of the obligations for actions to reduce emissions and releases of mercury to the environment within the Convention, as well as the commitment demonstrated through the UNEP Global Mercury Partnership which have been fostered by the project, it is considered very likely that the project will continue to contribute to the reduction of these risks.

10. The project has made a substantive and significant contribution to the final negotiation of the global legally binding instrument on mercury, the Minamata Convention on mercury. The Minamata Convention as a global treaty includes within it a programme for effectiveness evaluation, designed to assess the effectiveness of the Convention in meeting its objective. It has also further developed the role of the UNEP Global Mercury Partnership as a delivery mechanism for immediate action on mercury.

Overall Rating Table

Criterion	Summary Assessment	Rating
A. Strategic relevance	Due to the very useful outputs forming the legal, institutional, scientific and practical base for the effective environmental elimination of mercury.	HS
B. Achievement of outputs	Planned results were obtained and all project goals were achieved in good quality and in time.	HS
C. Effectiveness: Attainment of project objectives and results	Project efficiency was high, the planned results were obtained and the objectives were achieved within a reasonable timeframe and with a reasonable quality.	HS
1. Achievement of direct outcomes	All the planned activities were realized during the longer period than was planned.	HS

2. Likelihood of impact	Global impact depends on the financial support in future and effectiveness of implementation in the countries.	S
3. Achievement of project goal and planned objectives	Main part of the planned activities was realized.	HS
D. Sustainability and replication		ML
1. Financial	Due to the shortage of finance for environmental programmes aimed at cleaning the Globe, inventory of sources of pollution, disposal sites, contaminated sites, all accumulated damage, and pollution monitoring as a result of the financial crisis.	ML
2. Socio-political	Due to existing gaps in environmental international and national legislation that will not allow for the realization of all the planned projects in full.	ML
3. Institutional framework	A suitable network was established for the inventory and technical solution of the mercury pollution problems.	ML
4. Environmental	Due to lack of detailed inventory of pollution sources, lack of waste and contaminated site management systems and lack of effective mechanisms to monitor the effectiveness of the project and other environmental protection measures in general.	ML
5. Catalytic role and replication	Due to its very significant role in forming the MC.	HS
E. Efficiency	Due to good project management, which led to the additional positive effects. All project goals were realized in a cost effective way, but during the longer period than was planned.	S
F. Factors affecting project performance	The project realisation was affected by the amount of financial support, voluntary contribution of project partners.	S
1. Preparation and readiness	Due to very well done organisation of project preparatory and realisation phases.	HS
2. Project implementation and management	Project implementation depends on the process of implementation of the MC	S
3. Stakeholders participation and public awareness	Due to significant involvement of stakeholders of different levels, but better publicity of project results and of their relevance is needed.	S
4. Country ownership and driveness	Project was developed to be in-line with the national and sectoral priorities and plans and was supported by the relevant country representatives. The national stakeholders were involved in the project from the beginning.	MS
5. Financial planning and management	Project prepared all the necessary financial planning and reporting documents based on the UNEP/Donors considerations. Project budget was evaluated and accepted by the APG.	S

6. UNEP supervision and backstopping	Bureaucratic obstacles, the support could be more effective	MU
7. Monitoring and evaluation		S
a. M&E Design	The project had a well developed M&E plan. Detailed reports for all meetings, and for implementation of demo and pilot projects with all associated documentation have been distributed among all interested parties and uploaded on the official Project website.	S
b. Budgeting and funding for M&E activities	The budget for monitoring and evaluation was satisfactory	S
c. M&E Plan Implementation	Project progress reporting was done on six-monthly and annual basis. The monitoring was continued throughout the project implementation and was used to optimize activities and ensure effective use of financial resources.	S
Overall project rating	Project supported very important part of the preparation of the Minamata Convention and its implementation and fulfilled the expected goals and could be the basis for further, ongoing projects leading to the implementation of MC	S

I. Introduction

11. The project “UNEP Global Mercury Partnership and Mercury Programme” supported the ongoing work of the UNEP Global Mercury Partnership; including support for the Partnership Advisory Group and coordination of the partnership areas as well as the support for the negotiation of the legally binding instrument on mercury.

12. Before there was a Convention or even an agreement to negotiate one, there was the UNEP Global Mercury Partnership. Established in 2007, it became an integral part of the project and served to build momentum and keep the global mercury issue in the limelight. The Partnership brought together stakeholders to identify priorities, and also captured knowledge in the form of the Global Mercury Assessments and other important publications. It provided information that helped the negotiators of the legally-binding agreement and help ensure scientific integrity in the face of many competing interests.

13. The Partnership is a voluntary network among government, NGOs, industry, academia, and other stakeholders to work to reduce mercury pollution.

14. The major component of these activities was support for on the ground activities in areas such as increasing knowledge through the development of inventories, managing mercury supply by interaction with the last exporting mercury mine in Kyrgyzstan, reducing mercury emissions from coal fired power plants, environmentally sound management of waste containing mercury, plans for long-term storage of surplus mercury to prevent it re-entering the supply chain, and activities to reduce the emissions of mercury from artisanal mining activities. While a full range of activities to address the global mercury challenge have been described within the project, the delivery of these was dependent upon availability of funding.

15. Work was directed in two main areas, including activities to provide on-the-ground reductions in mercury emissions (primarily undertaken through the UNEP Global Mercury Partnership), and also to facilitate the development of global legally binding instrument.

Objective and Scope of the Evaluation

16. In line with the UNEP Evaluation Policy¹ and the UNEP Programme Manual², the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and main project partners. Therefore, the evaluation identifies lessons of operational relevance for future project formulation and implementation, especially for the follow up projects which are being implemented.

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

² http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

Overall Approach and Methods

17. The terminal evaluation of the Project “UNEP Global Mercury Partnership and Mercury Programme” was conducted by independent consultant (Prof. Ivan Holoubek, the Czech Republic, CV see Annex VI) under the overall responsibility and management of the UNEP Evaluation Office (Nairobi), in consultation with the Project team UNEP Chemicals (Geneva). The evaluation was prepared in agreement with ToR of the Evaluation (Annex II).

18. The evaluation was prepared using a participatory approach, whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods were used to determine project achievements against the expected outputs, outcomes and impacts.

19. The consultant closely communicated with the project team and promoted information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

20. The project has produced a very broad set of documents, meeting reports and other knowledge and information products relating to pilot and demonstration activities and very useful guidelines. Through a thorough review of the project reports and from the results of all meetings and correspondence recorded/reported by the Project Management Office, the evaluator is fully confident that there has been sufficient information available, including identification of main lessons learned and best practices obtained during the period of project implementation to terminal evaluation.

21. Evaluation findings and judgements is based on sound evidence and analysis, clearly documented in the evaluation report. The evaluation assesses the project with respect to a minimum set of evaluation criteria grouped in six categories:

- (1) Strategic relevance;
- (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact;
- (3) Sustainability and replication;
- (4) Efficiency;
- (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and
- (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

22. The findings of the evaluation are based on the following:

A desk review of:

23. Relevant background documentation, inter alia:

- Project Document
- Project Document Supplements, 2009, 2010, 2010, 2011, 2012
- Progress Reports

- Financial Reports

24. Other documents and information sources are summarized in the Annex III.

25. Interviews (individual or in group) with:

- UNEP Project Manager
- UNEP/DTIE key staff related to this project
- UNEP/DCPI key staff related to this project
- Project management team
- Project partners, including, National Environmental Ministries, Government Officials, SAICM focal point, Inter-agency Committee, civil society, Ministry of Industry and Health, UNITAR, UNEP/GRID Arendal etc.
- Relevant resource persons;

26. Concerning the field visits, the evaluator traveled to Geneva during the period 10 – 13 April, 2016. Other proposed travels were cancelled due to health reasons. It was substituted by the mail correspondence and skype discussion during the Final report preparation.

27. The main stakeholders were contacted via questionnaires and phone or skype interview to evaluate the whole process with special attention to the effectiveness evaluation of whole procedures and problems connected with the preparation of inventories and implementation of the MC (Annex I).

28. Set key evaluation questions were prepared and sent to main stakeholders by e-mail and discussed with project people during the stay in Geneva (Annex V). The main parts of question were answered by e-mails.

29. Additional information was sought through email correspondence and phone conversations with key informants from the Project Team and Partnership Advisory Group and other parties affected by the Project. Attempts to contact several persons did not yield results.

30. Reports of the PAG:

- Report on progress 2012-2014
- Report on progress 2010-2012
- Report on activities 2009-2010
- Report on progress 2009-2010
- Report on activities 2007-2008

31. Meetings of the PAG and Reports of these Meetings:

- The seventh meeting of the Partnership Advisory Group will take place on 8 March 2016 in Jordan.
- A brief meeting of the Partnership area leads took place on 16 June 2015 during the 12th International Conference on Mercury as a Global Pollutant in Jeju, Korea
- The sixth meeting of the Partnership Advisory Group and the orientation session on 'Principles of Effective Partnering' took place from 30 October to 1 November 2014 in Bangkok, Thailand.

- The fifth meeting of the Partnership Advisory Group took place on the 27 July 2013 in Edinburgh, Scotland.
- The fourth meeting of the Partnership Advisory Group took place from 27-28 September 2012 in Rome, Italy.
- The third meeting of the Partnership Advisory Group took place from 5-6 November 2011 in Nairobi, Kenya.
- The second meeting of the Partnership Advisory Group took place in September 2010 in Geneva, Switzerland.
- The first meeting of the Partnership Advisory Group took place in April 2009 in Geneva, Switzerland.

Limitations and Constraints

32. The findings of the evaluation are based on a desk review of project documents, including relevant background documentation, project design documents, project reports, documentation related to project outputs and additional information concerning environmental problems of mercury contamination.

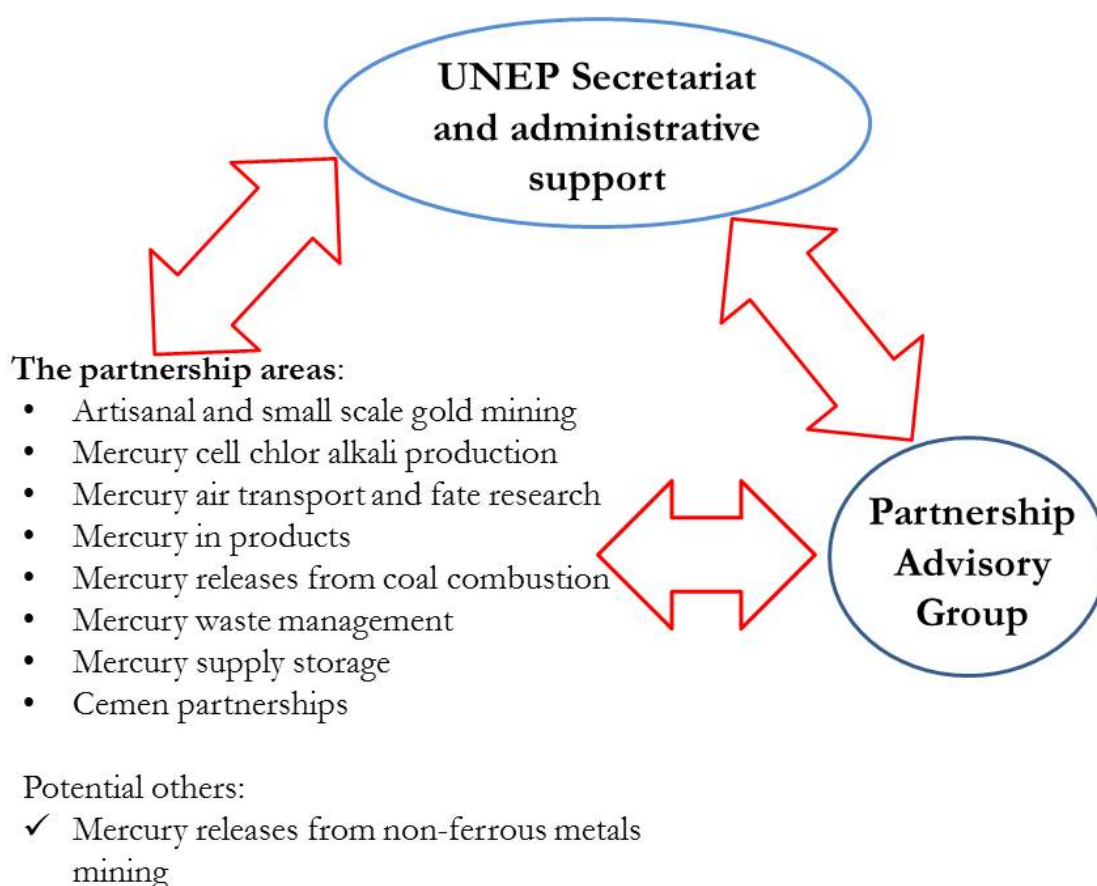
II. The Project

A. Context

33. The objective of the project was to reduce the risks to environment and human health from the anthropogenic releases of mercury and contribute to the development of and the adoption of the Minamata Convention in 2013.

34. The organizational structure of UNEP Global Mercury Partnership was developed and used as is presented in Figure 1.

Figure 1: Organizational structure



35. The project covered both the negotiations towards a legally binding instrument for mercury and activities under the Global Mercury Partnership. The project had as an outcome “the reduction of anthropogenic release of mercury” that contributed to the Expected Accomplishment: “Appropriate policy and control systems for harmful substances of global concern are developed and being implemented in line with international obligations of States and mandates of relevant entities”.

B. Objectives and components

36. The Partnership has eight identified priorities for action - or partnership areas – which were defined in the Project Document and is presented as a part of the project website. These project outputs reflect the major source of mercury releases categories. The Overarching Framework of the UNEP Global Mercury Partnership establishes a Partnership Advisory Group to encourage the work of the partnership areas.

37. Partnership Area Profiles

- Reducing Mercury in Artisanal and Small-Scale Gold Mining
- Mercury Control from Coal Combustion
- Mercury Reduction in Chlor-alkali
- Mercury Reduction in Products
- Mercury Air Transport and Fate Research
- Mercury Waste Management
- Mercury Supply and Storage
- Mercury Releases from Cement Industry

38. Other Activities

- Vinyl Chloride Monomer Production
- Proposed Business plan on Non-Ferrous Metals Production (September 2008)

39. An overview of the project activities is presented on the project website³

40. In relation to the Global Mercury Partnership, the following were the outputs of the project:

- 1) The Global Mercury Partnership meets agreed performance standards
- 2) Inventories of mercury use and releases [completed and disseminated] in up to 25 countries globally
- 3) Input provided to guidelines on waste management being developed by the secretariat of the Basel Convention
- 4) Roadmap for the transformation of the Haidarkan mine and its community away from primary mercury mining
- 5) Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations
- 6) Decreased use of mercury in artisanal mining
- 7) Plans for long-term storage of mercury in Asia and Latin America.

41. Another output was support to the negotiation of the globally legally binding instrument which was delivered by the UNEP Chemicals Branch.

42. The full range of project activities covered the global mercury challenge and delivery of these was dependent upon availability of funding. Some of the planned activities received pledges such as the activities addressing the issues of mercury releases from coal combustion, mercury storage and mercury containing waste.

³ <http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/Overview/tabid/4487/Default.aspx>

43. Detailed plans for implementation of each were aimed to be developed in broad consultation with the regional offices, countries, industry and donors.

44. The support for the development of a global legally binding instrument – Minamata Convention - was a key part of the project.

Table 1: Mercury Programme Project Framework

Objective: Reduction of the risks to environment and human health from the anthropogenic releases of mercury					
Outcome: Reduction of anthropogenic releases of mercury					
Outputs⁴	Revision of Outputs⁵	Amended Outputs⁶	Amended Outputs⁷	Amended Outputs⁸	Amended Outputs⁹
The Global Mercury Partnership meets agreed performance standards inventories of mercury use and releases in up to 25 countries globally	The Global Mercury Partnership meets agreed performance standards	Interim activities as specified in GC 25/5 continuing and enhanced	Interim activities as specified in the GC 25/5 continuing and enhanced	Travel arranged for the third sessions of the committee of officially nominated delegates from developing countries and countries with economies in transition	Interim activities as specified in GC 25/5 enhanced Travel arranged for delegates from developing countries and countries with economies in transition officially nominated to attend the fifth session of the intergovernmental negotiating committee and for the conference of plenipotentiaries
Input provided to guidelines on waste management being developed by the secretariat of the Basel Convention	Input provided to guideline on waste management being developed by the secretariat of Basel Convention Inventories of mercury use and releases in up to 25 country globally	Documents developed for the first session of the intergovernmental negotiating committee in a timely manner with suitable technical input	Documents developed for the second session of the intergovernmental negotiating committee in a timely manner with suitable technical input	Documents developed for the fourth session of the intergovernmental negotiating committee in a timely manner with suitable technical input	
Target and timetable developed and agreed for closure of the mercury mine in Kyrgyzstan	Target and timetable developed and agreed for closure of the mercury mine in Kyrgyzstan	First session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)	Second session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated and the provision of interpretation services)	Third session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)	Fifth session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)

⁴ Original Pro Doc Mercury Programme

⁵ Project Document Supplement, May 3rd, 2010

⁶ Project Document Supplement May 3rd, 2010

⁷ Project Document Supplement December 16th, 2010

⁸ Project Document Supplement October 21st, 2011

⁹ Project Document Supplement December 26th, 2012

Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations	Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations	Attendance at the first session of the committee of officially nominated delegates from developing countries and countries with economies in transition supported and travel arranged	Attendance at the second session of the committee of officially nominated delegates from developing countries and countries with economies in transition supported and travel arranged		Conference of plenipotentiaries delivered with suitable conference services support (including translated documents and the provision of interpretation services) Documents developed for the Conference of plenipotentiaries in a timely manner with suitable technical input
Decreased use of mercury in artisanal mining	Decreased use of mercury in artisanal mining	Preparation for the second session of the intergovernmental negotiating committee (to be held 24 to 28 January 2011) commenced to ensure smooth delivery of the session	Preparation for the third session on the intergovernmental negotiating committee (to be held late October/early November 2011) commenced to ensure smooth delivery of the session	Preparations for the fourth session of the intergovernmental negotiating committee (to be held 25 to 29 June 2012) commenced to ensure smooth delivery of the session	Preparations for the fifth session of the intergovernmental negotiating committee (to be held in January 2013) and the conference of plenipotentiaries (October 2013) commenced to ensure smooth delivery of the session.
Suitable sites identified for long-term storage of mercury in Asia and Latin America	Suitable sites identified for long term storage of mercury in Asia and Latin America				
Intergovernmental meetings development of a legally binding instrument for the control of mercury	Intergovernmental meetings development of a legal binding instrument for the control of mercury				

C. Target areas/groups

45. Given the structure of the UNEP Global Mercury Partnership full involvement of members of civil society plays an integral part not only in activities but also in planning and priority setting. For any official intergovernmental activities, the UNEP official contact points were planned to be used as the prime point of contact, while for operational issues, the SAICM Focal Point for the country were to be contacted, to ensure coordination with other elements of the sound management of chemicals at the national level.

46. The activities under this project were to be facilitated by communication with stakeholders as appropriate. Within the partnership programme, the prime contact point was expected to be the lead of the relevant partnership area. Partnership area leads included representatives of governments, intergovernmental organizations and non-governmental organizations. Contacts were also supposed to include relevant government officials, representatives of non-governmental organizations, industry representatives and academics, as required.

47. A stakeholder analysis was carried out in the inception phase by studying project documents and project web presentations. The main affected groups during the evaluation period were at the governmental level (preparation of adoption and implementation of the Minamata Convention and the national inventory and strategy connected with this process),

industry (in connection with the measures concerning to the reduction of Hg emissions and elimination of Hg from use and application).

48. The project team provided a list of key stakeholders (Annex I). The first personal contact with project team members was during the CEE Regional Workshop in Brno, CR, 03-04/02. Other planned contacts (visit of Geneva, visit of INC 7 in Jordan) were either cancelled from health reasons or postponed to April.

49. The main groups of relevant stakeholders are:

- government officials,
- representatives of non-governmental organizations as main representatives of civil society.
- industry representatives
- academics, as required.

50. The NGOs positively affected the program design by advocating for strong participation of NGOs in the partnership, as well as transparency of activities and results. Many of them have contributed to success by actively working to create and maintain the network of Partners as well as identifying critical projects and activities for which funding was sought.

51. In this type of project such as the Partnership, NGOs and civil society in general have very informal roles and responsibilities since all activities were voluntary and unfunded. But from the annual reports, it was a possible to document the outputs and contributions of key stakeholders.

52. As an example of very useful co-operation it is possible to mention the Coal Partnership – using the several projects funded by the US State Department and EC – these were mainly through workshops and training in inventory and reduction projects in target countries. They aimed to increase the awareness of mercury emissions from the coal sector and to highlight the many ways in which these emissions can be reduced.

D. Milestones/key dates in project design and implementation

53. Major project activities included secretariat support for the global treaty negotiating process, the development of technical documents and servicing meetings. At the initial stage, a detailed timeframe and description of the specific activities was not finalized and was adopted with flexibility based on the actual situation and project needs. A number of intergovernmental meeting and consultations were held in order to agree to the project framework.

54. To extend the duration of the project to cover the period of the new Norwegian funded Kyrgyz Project 31 December 2014.

- Duration of project – 70 months
- Commencing : 1 March 2009
- Completion : 31 December 2014
- (Formerly 1 March 2009 to 31 December 2013)

55. Revision to project document :

Number:	53-P1	
	MC/4030-09-04/Rev. 5	(UNON IMIS: 2B23)
	SE/4030-01-41/Rev. 7	(UNON IMIS: 2A16)
	CP/4030-09-42/Rev. 3	(UNON IMIS: 3795)
	RA/4030-09-43/Rev.1	(UNON IMIS: 1234)
	CP/4030-09-02/Rev. 1	(UNON IMIS: 3B78)
	NF/4030-09-62/Rev. 1	(UNON IMIS: 2E90)
	NF/4030-09-64 12-13	(UNON IMIS: 2H86)
	EC/4030-09-65 ENRTP INC	(UNON IMIS: 2H87)
	EC/4030-09-66 ENRTP Mer	(UNON IMIS: 2H99)
Implementation:	Internal Chemicals Branch, DTIE	

E. Implementation arrangements

Reasons for Revision

56. A number of project revisions allowed for the inclusion of specific activities relating to the negotiations of the global legally binding instrument. The intergovernmental negotiating committee meetings were included in revisions as their approximate dates and locations were identified.

57. The project was officially closed on 31 December 2014 and it did not undergo an interim mid-term evaluation or assessment of the project.

58. The first project revision, in November 2009, amended the budget by including new contributions. The second revision, dated May 3, 2010, amended the budget by including the new contributions, added new outputs and activities (as it is described in the project framework). Activities, work-plan and respective budget were revised accordingly.

59. The next revision took place on the 16th December 2010, the reasons for this third revision were to introduce the new 2010 financial contributions and the increase in the overall cost of the project. Other revisions included additional Outputs, in activities and changes in the work plan.

60. The fourth revision, dated 21 October 2011, reflected the sub-project account to the various donors and the re-phasing of the unspent balance to 2011 for the continuation of the project's activities, as well as to amend the duration of the project, cost of the project, activities, work plan and timetable and the budget. As per this revision, the project was extended up to 31 December 2013. Cost of the project amounted to 13 957 684 USD.

61. To reflect the actual 2011 sub-project account cost to the various Donors to the MC TF of US\$ 2 896 179 as follows: US\$ 2 562 990 with a Programme Support Cost (13%) of US\$ 333 189 and to re-phase the unspent balance of US\$ 497 539 to 2011 for the continuation of the project's activities.

62. To reflect the actual 2011 sub-project account cost to the Government of Sweden and the SE TF of US\$ 331 695 as follows: US\$ 307 125 with a Programme Support Cost (8%) of

US\$ 24 570 and to re-phase the unspent balance of US\$ 61 411 to 2011 for the continuation of the project's activities.

63. The final revision was dated 26 December 2012. It encompassed the actual 2011 sub-project account cost to the various Donors and the re-phase of the unspent balance to 2011, for the continuation of the project's activities. It also introduced the new contributions and replenishments to the MC TF and the increase to the overall cost of the project. This last revision amended another project extension to 31 December 2014, and the revision of outputs, activities, work plan and budget. Cost of the project after this revision amounted to 20 654 296 USD.

F. Project financing

Estimated costs and funding sources

64. Table 2 summaries the project's budget.

Costs for support of the UNEP Global Mercury Partnership (including support for on-the-ground activities as well as for the work of the Partnership Advisory Group) were initially budgeted at \$9 386 000 plus programme support costs (prior to revision). Costs for the negotiating process was budgeted at \$4 920 000 plus programme support costs, while there are also overall expenses associated with all aspects of the project (rent, computers, paper etc) of \$51 000, communication including postage (\$30 000) and the evaluation costs.

65. The funds for pre-2010-2011 were made up of contributions from the Governments of Canada, Finland, France, Norway, Spain and Switzerland, as well as from the European Commission. The funds for 2010-2011 were made up of contributions from the Governments of Canada, the Czech Republic, Germany, Norway, Sweden, Switzerland, and United States of America as well as from the Nordic Council of Ministers. The 2011-2012 funds were made up of contribution from the Governments of Sweden, Switzerland, Denmark, Belgium, Germany, Uruguay, Finland, Spain, US Dept. of State, Canada, Japan, Norway and France.

Table 2: Summary of the Project budget

Project cost (USD)	Pre 2010	2010-2011	2011-2012
Overall cost to Trust Fund		13 947 000	
Programme Support Cost (13%)		1 813 110	
In-kind Contribution (including UNEP contribution)		1 140 000	
Total		15 760 110	20 661 296

66. To introduce and record the new 2011/2012 contributions and replenishments to the MC TF, account MC/4030-09-04 IMIS 2B23, amounting to US\$ 3 975 464 as follows:

New 2011/2012 Pledges/DEPOSITS to be recorded:	in US\$
--	---------

Govn't of Switzerland	53 383
Govn't of Switzerland	104 562
Govn't of Switzerland	104 562
Govn't of Denmark	70 204
Govn't of Belgium	13 333
Govn't of Germany	40 927
Govn't of Uruguay	346 615
Govn't of Finland	19 920
Govn't of Spain 30K EUR	39 840
USA Dept. of State (reimbursement)	177 000
Govn't of Canada	200 000
Govn't of Canada	100 000
Govn't of Germany	157 572
Govn't of Germany	50 000
Govn't of Japan	500 000
Govn't of Norway	85 028
GEF	50 000
Govn't of Norway ODA 2012	436 780
Govn't of France	37 313
Govn't of Belgium	14 157
Govn't of Denmark	52 549
USA Dept. of State 2012 pledge letter	1 100 000
Government of Sweden (SIDA 1.5 Mil. SEK)	221 719
TOTAL 2010/11 MCL 2B23 Contributions:	3 975 464

67. Amended to read:

In US\$	2009	2010	2011	2012	2013	2014	Total
Previous cost to the MC Trust Fund*	1,286,064	4,923,292	3,393,718	916,931	0		10,520,005
Increase/Decrease to the cost of the MC Trust fund*	0	0	-497,539	3,989,098	483,905	0	3,975,464
New cost to the MC Trust Fund 2B23*	1,286,064	4,923,292	2,896,179	4,906,029	483,905	0	14,495,469
Previous cost to the SE Trust Fund*	0	47,941	393,106	0	0		441,047
Increase/Decrease to the cost of the SE Trust fund*	0	0	-61,411	61,411	0	0	0
New cost to the SE Trust Fund 2A16*	0	47,941	331,695	61,411	0	0	441,047
Previous cost to the EC CP*	112,350	743,079	548,946	0	0		1,404,375
Increase/Decrease to the cost of the EC CP*	0	0	-181,477	181,477	0	0	0
New cost to the EC CP 3795*	112,350	743,079	367,469	181,477	0	0	1,404,375
Previous cost to the EF Programme Reserve	0	0	223,135	0	0		223,135
Increase/Decrease to the EF Programme Reserve	0	0	0	0	0	0	0
New cost to the EF Programme Reserve 1234	0	0	223,135	0	0	0	223,135
Previous cost to the EC Contribution 2011	0	0	901,207	0	0		901,207
Increase/Decrease to the EC Contribution 2011	0	0	-37,644	265,526	0	0	227,882
New cost to the EC Contribution 2011 3B78	0	0	863,563	265,526	0	0	1,129,089
Previous cost to the Norway 2010-2011 PCA	0	0	467,915	0	0		467,915
Increase/Decrease to the Norway 2010-2011 PCA	0	0	-4,179	4,179	0	0	0
New cost to the Norway 2010-2011 PCA 2E90	0	0	463,736	4,179	0	0	467,915
Previous cost to the Norway 2012-2013 PCA	0	0	0	0	0		0
Increase/Decrease to the Norway 2012-2013 PCA	0	0	0	426,600	0	0	426,600
New cost to the Norway 2012-2013 PCA 2H86	0	0	0	426,600	0	0	426,600
Previous cost to the Norway Kyrgyz Project	0	0	0	0	0		0
Increase/Decrease to the Norway Kyrgyz Project	0	0	0	265,385	274,904	259,711	800,000
New cost to the Norway Kyrgyz Project 2G31	0	0	0	265,385	274,904	259,711	800,000
Previous cost to the EC contribution ENRTP 2012 INC	0	0	0	0	0		0
Increase/Decrease to the EC contribution ENRTP 2012 INC	0	0	0	133,333	0	0	133,333
New cost to the the EC contribution ENRTP 2012 INC 2H87	0	0	0	133,333	0	0	133,333
Previous cost to the EC contribution ENRTP 2012 Mercury	0	0	0	0	0		0
Increase/Decrease to the EC contribution ENRTP 2012 INC Mercury	0	0	0	1,133,333	0	0	1,133,333
New cost to the the EC contribution ENRTP 2012 Mercury 2H99	0	0	0	1,133,333	0	0	1,133,333
Overall Increase/decrease to the cost of the project **	0	0	-782,250	6,460,342	758,809	259,711	6,696,612
GRAND TOTAL	1,398,414	5,714,312	5,145,777	7,377,273	758,809	259,711	20,654,296

*/** Includes 13% PSC on the MC Trust Fund, 8% PSC on the NF and SE Trust Fund and 7% PSC on the EC CP

68. The project already had funds from the EC to work with the large coal combustion emitters (China, Russia, India and South Africa), and the activities of this EU grant was included. The same with the support to countries to develop national emission inventories.

G. Project partners

69. To become a partner, interested entities or individuals could submit a letter to UNEP signifying their support for the UNEP Global Mercury Partnership and their commitment to achieving its goal, and specifying how they would contribute to meeting the goal of the UNEP.

70. Currently there are 147 partners: 27 Governments, 8 Intergovernmental Organisations, 58 Non Governmental Organisations and 54 others. Current partners' support letters are available below. A summarized list of partners is available in the Annex IV.

H. Changes in design during implementation

71. During discussions between the evaluator and the Project Manager the need emerged for the evaluation to pay attention to the significant challenges related to the activities of the mercury mine in Kyrgyzstan. While, at the start of the project, there was optimism from both the government and the mining community that there were possibilities for a shift away from mercury mining as a prime income source, a number of political changes within the country resulted in a swing of policy which was not supportive. Evaluating the impact that these political changes had on the work of the project may contribute to future consideration of how best to take into account a changing political scene, and how the risks of such political change can be addressed within the project development process. The extent to which actions should be based on a 'safe' political climate could be considered.

72. Two follow on projects are being implemented. The interim secretariat of the Minamata Convention on Mercury has been functioning since October 2013, with the project document formally approved in August 2014. The support for the UNEP Global Mercury Partnership and Mercury Programme is on-going, with the formal project document approved in July 2015.

73. The governments themselves acknowledged that the voluntary activities were not sufficient (ref GC decisions). The UNEP Global Mercury Partnership was a part of the project and contributed to first, the consideration of the development of a legal instrument and then following the GC decision, to the development of the Convention by keeping the focus on mercury as a global issue and also by presenting the Global Mercury Assessment, which clearly showed that the problem was not disappearing and to identify priorities. Other studies assisted the negotiators, e.g. "The Study on mercury sources and emissions, and analysis of cost and effectiveness of control measures, "UNEP Paragraph 29 study" showing that reduction of emissions was possible and affordable.

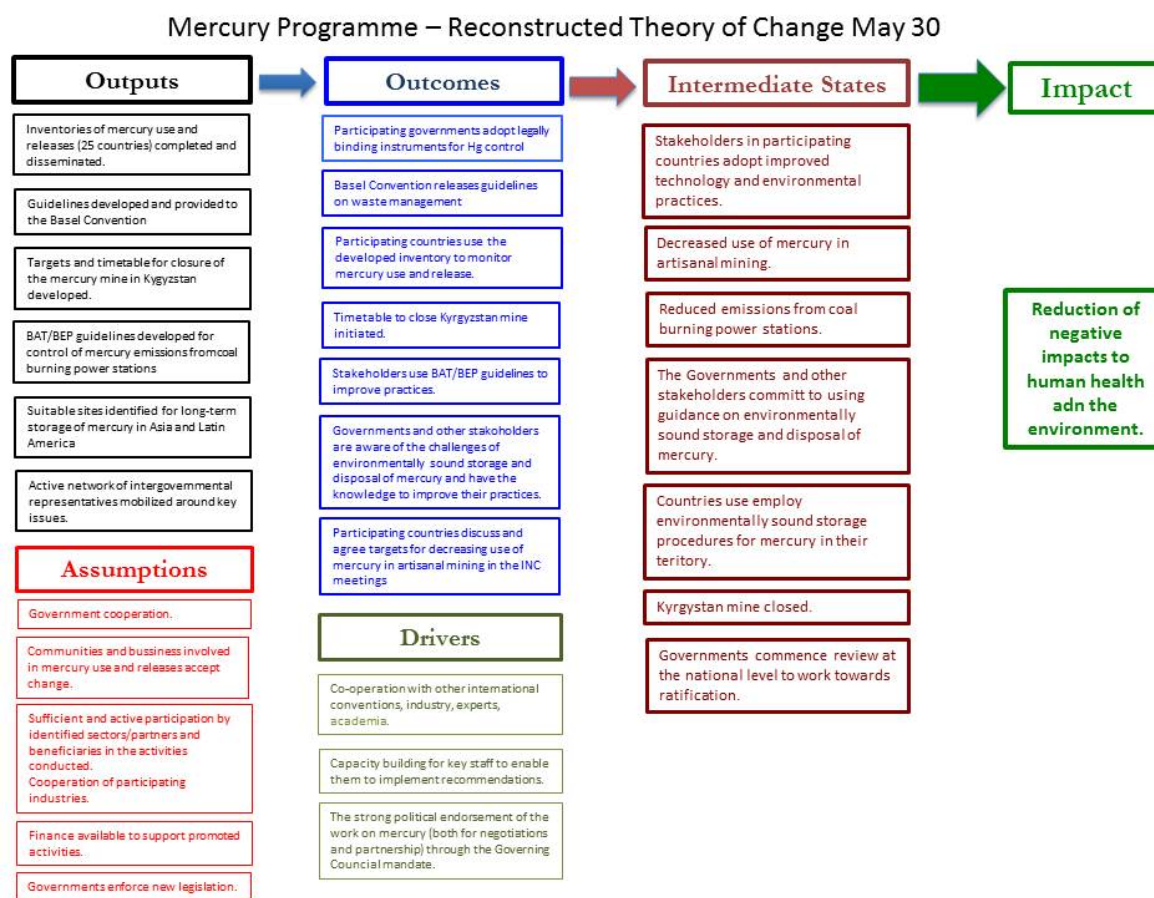
I. Reconstructed Theory of Change of the project

74. The evaluation assesses the extent to which the project's objectives were effectively achieved or are expected to be achieved.

75. The Theory of Change (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC also depicts any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

76. The evaluation reconstructed the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator discussed the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the

TOC. This exercise was also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate.



III. Evaluation Findings

A. Strategic relevance

77. From the point of view of strategic relevance, the evaluation assesses, in retrospect, whether the project's objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

78. The evaluation also assesses the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the SubProgrammes. The evaluation assessed also whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013.

79. The project reflected the programme of work and medium term strategy for the mercury and other metals programme.

80. The primary goal of the Project was to create the conditions necessary for taking action to prevent, reduce, and eliminate the negative consequences of human activities connected with the potential emissions and releases of mercury on the environment.

81. It is necessary to highlight, that the key aspects of the project success are connected with the preparation of the relevant national legislative, regulatory and institutional and technical background in the countries in connection with the national environmental strategy of countries and the respect of all relevant international conventions and agreements (Basel, Stockholm Convention).

82. Effective environmental regulation in every country has to closely connect with the existing international conventions and as well as national legislation. The global ecosystem is an unique part of the planet and needs the protection in the context of the a long-range transport of pollutants including mercury by air, water, waste and products.

83. The Partnership has successfully fulfilled its mission to build networks and to work on key collaborative projects aimed at supporting mercury reduction activities across a number of program areas. The biggest problem is that the Partnership itself does not have resources for programming and so it relies on leveraging Partners activities and resources.

84. Overall, immediate action and the Global Mercury Partnership outputs in the project contributed to the reduction of mercury pollution in parallel with negotiations for a legally binding instrument on mercury.

85. Its activities facilitated the countries' understanding of issues around mercury and contributed to the completion of the text of the Minamata Convention on Mercury. The UNEP Chemicals and Waste Branch played a key role in this process, especially in organizing and running meetings, drafting documents, convening regional meetings, and providing policy advice.

Complementarities with UNEP strategies and programmes

86. The project proposal and all results are fully complementary with the UNEP environmental strategy and existing international conventions (Stockholm, Basel and Rotterdam Conventions) and will be very useful for on-going strategy of the implementation of the chemical multilateral treaties.

87. The evaluated project was formulated prior to the completion of the UNEP Medium Term Strategy (MTS) 2010-2013 and related Programme of Work (PoW) for the period 2010-2011. Nevertheless, there are complementarities with the expected accomplishments outlined in the Strategy. The project is especially in line with the thematic priority Harmful Substances and Hazardous Waste.

Alignment with the Bali Strategic Plan

88. The project outputs can contribute to the implementation of assessments and dissemination of the methods may contribute in general terms to the Bali Strategic Plan for Technology Support and Capacity-building, including cross-cutting issues (vii) Development

of national research, monitoring and assessment capacity, including training in assessment and early warning ; and (viii) Support to national and regional institutions in data collection, analysis and monitoring of environmental trends.

Gender

89. Gender was not specifically mentioned in the project proposal. However, the importance of gender considerations is closely related to the project's aim of protection of vulnerable parts of population including woman and children. The recognition was a background for implementing the project outputs.

South – south cooperation

90. The project was focused on the global problem of mercury contamination and protection of global environment and preparation of the global Minamata Convention and for this reason explicitly oriented to promote South-South cooperation.

91. Evaluation of the project relevance is **highly satisfactory** due to the very useful outputs forming the legal, institutional, scientific and practical base for the effective environmental elimination of mercury.

B. Achievement of outputs

92. The technical support “sub-projects” (technical country focused activities) have contributed to the successful development of the Convention and also made countries in a better shape to implement it (e.g. BAT/BEP guidance for coal-fired power plants). However, the Convention adoption is just the beginning. Much more work remains to ensure its entry into force and effective implementation. The activities of UNEP's Global Mercury Partnership will be important to assist countries in implementing the Convention.

93. Under output 1) “The Global Mercury Partnership meets agreed performance standards”, 3 partnership advisory group (PAG) meetings were held. The PAG composed of partnership area leads and selected representatives from key Partners functions to provide policy direction and advice to the 8 partnership areas on their respective business plans that are aimed to address the objectives of the partnership areas. The project also delivered the brochures “Mercury: Time to Act” and “Mercury. Acting Now” that increased awareness on mercury.

94. The project delivered inventories for 25 countries and the UNEP inventory toolkit was updated under output 2) “Inventories of mercury use and releases in up to 25 countries globally”.

95. For output 3 in the project, five waste projects were implemented in pilot countries drawing on the draft Basel technical guidelines and comments were provided to the secretariat of the Basel Convention on the draft guidelines on waste management.

96. Under output 4 in the project “Roadmap for the transformation of the Haidarkan mine and its community away from primary mercury mining” a plan is available to assist Kyrgyzstan transition away from primary mercury mining. While progress towards the transition away from primary mercury mining of the mining company and community of Haidarkan in

Kyrgyzstan has been less than anticipated, due in large part to political instability in the country, engagement with the local authorities continues and is gaining ground.

97. The project developed “Best available technology and best environmental practice (BAT/BEP) guidelines for control of mercury emissions from coal burning power stations” and were pilot tested in 2 countries under output 5. Drawing on the success of the demonstration projects, the current project has output 1 “Guidance and technical assistance provided to governments and other stakeholders on reduction of mercury emissions and releases from coal combustion, cement production, non-ferrous metals production, waste incineration”.

98. The *The Process Optimization Guidance* (POG) was developed as part of the project. The POG summarizes mercury emission reduction practices and technologies applicable to coal-fired power plants. The POG is a tool to help determine the approaches to control mercury emissions, in many cases a co-benefit of reducing emissions of other pollutants. It is a tool for individual coal-fired power plants. The POG allows for a preliminary selection of a mercury control strategy for a given power plant. In general, the POG is also applicable to coal-fired large industrial boilers. The POG was translated into Chinese and Russia. The POG was of great assistance in conducting projects in the two countries focused on their coal-fired power sector. The POG was the basis for the preparation of the BAT/BEP guidance for coal-fired power plants and industry boilers as required in Article 8 of the Minamata Convention.

99. The POG was further developed into an interactive tool; Interactive Process Optimization Guidance (iPOG), a user-friendly software package that can accurately estimate Hg removals and emissions rates for broad ranges of coal quality, the most common configurations for furnace firing and flue gas cleaning and mercury controls. This makes the iPOG useful for those who are new to the technicalities within the issue of mercury control, such as policy makers or even operators in developed countries or countries with economies in transition. With the iPOG, one can select generic coals and simple plant design options, and then discover how much simple changes in coal characteristics or plant operation may affect emissions.

99. “Decreased use of mercury in artisanal mining” was output 6 in the project where 3 national strategic plans for the artisanal mining sector were delivered.

100. Evaluation of the project contribution to the decreased use of mercury in artisanal mining is an extremely complex question. Because ASGM takes place in over 70 countries, generally in remote areas and often outside the formal economy, it is very difficult to make estimates of mercury use. Even getting a reliable baseline upon which to measure trends has been difficult. The Global Mercury Assessment estimated mercury emissions from 727 tonnes in 2010, much greater than the 2005 estimate. While it is likely that mercury use increased during this period, much of the difference in estimates was probably due to greater efforts to identify ASGM areas. Another huge source of uncertainty is China, which prohibited ASGM in 1996 but where significant mercury use is likely to be occurring.

101. In addition to difficulties in getting reliable data, the prevalence of ASGM and the use of mercury depend upon a great many factors outside this projects control, such as the price of gold (which increases substantially starting in 2009) and the global economic crisis.

102. “Plans for long-term storage of mercury in Asia and Latin America” are in place, relative to output 7 in the project. The countries in Asia and Latin America believe that not all countries would be needing long term storage but only a few countries based on estimates of excess mercury mostly coming from the chlor alkali sector and end-of-life mercury added products.

103. The project significantly contributed to governments’ and other stakeholders’ understanding of the issue on the storage of mercury (waste and non-waste or commodity mercury). The project provided an “Assessment Report on Excess Mercury Supply in Asia-Pacific (AP)” and a similar report for the Latin America and Caribbean (LAC) region. The Assessment Reports estimated the quantities of excess mercury that would be available by 2050 and served as the basis for “Options analysis reports on the environmentally sound management of excess mercury in the Asia-Pacific as well as in Latin America and Caribbean”. Under this project, respective executive committees in the AP and LAC regions were established which served as an institutional mechanism for discussing options on mercury storage in both regions.

104. More information on the projects are available at project website¹⁰.

105. Project team and participating industrial and other stakeholders achieved success in the regions for which funding was provided. The technical and knowledge transfer is being shared on a wider basis - all publications are freely available and knowledge were broadly presented during a lot of workshops and meetings. The work of the partnership was/is to help advise countries on how to implement their commitment to the Minamata Convention.

106. The project has developed the tools necessary to assist countries in developing national inventories. To initiate the work on national inventories it was necessary to focus on training and improving tools. A course to educate trainers was held for staff from the Basel/Stockholm Convention regional centres. These future trainers would be able to support countries in developing national inventories. It was also decided to develop an e-learning Tool, to make it easier for countries without the assistance of a trainer to develop inventories¹¹. As the negotiations proceeded, it was also realized that it would be necessary to update the UNEP Toolkit to harmonize it to the Minamata Convention. The work to develop inventories while doing this was therefore delayed. During this period, GEF changed their guidance for the allocation of funds and opened up for funding development of national inventories. Project activities have therefore been focused on improving the tools since the funding from GEF has addressed the needs of countries. In this way the project has supported many more countries than the originally targeted number.

107. From the side of the project team and participating stakeholders a lot of very good work was done, but much depends on the country calling for this help. However, the basic idea of the partnership is still valid and living – for example expertise concerning coal emissions is made available on a case by case basis to ensure effective mercury minimisation from coal utilities. Mercury emissions from coal plants can be reduced by 90% or more, often in a relatively economic manner.

¹⁰ <http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/SupplyandStorage/Activities/tabid/4505/language/en-US/Default.aspx>

¹¹ <http://mercurylearn.unitar.org/>

108. By any standards, the project has achieved its intentions, in large part because of the successful adoption of the Minamata Convention. In 2009, when the project began, it was not at all clear that this was possible. Of course the Convention is just the beginning, and a complex global problem like mercury pollution is only addressed incrementally. Much more work remains in terms of ensuring entry into force and effective implementation of the Convention, and continuing to share knowledge and expertise through the Global Mercury Partnership. The project team directly supported the process of the negotiation of the Minamata Convention through the support of the five meetings of the intergovernmental negotiating committee (INCs), support for the bureau and regional workshops and the preparations of documents and materials which allowed governments to negotiate the text. This project was very successful in advancing the agenda.

109. The project provided, to a large extent, successful inputs to the development of the Basel Convention: “technical guidelines on the environmentally sound management of waste consisting of elemental mercury and waste containing and contaminated with mercury”. Within the project, activities and small projects demonstrated the applicability of various elements in the Basel Convention technical guidelines on the mercury waste.

110. Demonstration projects and activities included the management of mercury waste from 3 settings with concrete outputs: guidance document on industry mercury waste (chlor alkali sector), awareness raising brochure on household mercury waste (China) and a video on health care mercury waste (Health Care without Harm). Aimed at testing the applicability of the Basel technical guidelines, waste management projects were also implemented in 5 countries - Burkina Faso, Cambodia, Chile, Pakistan, Philippines. Results and more information are available at project website¹².

111. Key elements and sections in the Basel guidelines that were drawn and “pilot tested” under this project include the following: life cycle approach to mercury waste management, legislative and regulatory framework, inventory of mercury waste streams, sampling and analysis, mercury waste minimization, collection, handling, storage and environmentally sound disposal.

112. The target countries in most of projects received a free mercury monitoring toolkit and training in how to use it. Some were supported in a project in which they were encouraged to carry out the majority of work themselves with project support. In some cases, partners from the partnership area provided free materials and assistance in kind. Help was provided to publish the results of all projects and, where possible, meetings and conferences were held to disseminate results. In each case, the projects were designed to represent not just an issue in one region but a common problem to several regions - the results from the project will hopefully be replicated elsewhere. Within this context the project has provided both technology transfer as well as training and capacity building. These communities can now pass on this information and expertise to others.

113. Project reports were produced from all inventories and demonstrations and these are freely available on the partnership website. In some cases, journal and conference papers have been produced. These reports highlight the onsite work carried out by the utilities, the support

¹² <http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/WasteManagement/WasteManagementProject/tabid/3538/language/en-US/Default.aspx>

from the governments and regulatory bodies and, in some cases, the in kind input from project partners. In all cases so far, projects have been successfully completed and the results published.

115. As a follow up to the regional storage project in the LAC region, the project supported 4 countries in their respective national mercury storage projects: 2 in South America (Argentina and Uruguay) and 2 in Central America (Panama and Mexico). The project facilitated the 4 countries' assessment of excess mercury supply based on inventories, and based on available options, helped identify suitable sites for interim and long term storage for excess mercury. Concretely, Argentina produced a structure made of cement that could be used for stabilized mercury; Uruguay identified its chlor alkali facility to serve as interim storage, Panama identified bunkers around Panama Canal for interim storage, and Mexico identified its sanitary landfills as areas for interim storage.

116. Evaluation of the achievement of outputs is **highly satisfactory**, planned results were obtained and all project goals were achieved at high quality, albeit during a longer period than was planned.

C. Effectiveness: Attainment of project objectives and results

117. The following direct outcomes were realized:

- Participating governments adopt legally binding instruments for Hg control
- Basel Convention releases guidelines on waste management
- Participating countries use the developed inventory to monitor mercury use and release.
- Timetable to close Kyrgyzstan mine initiated.
- Stakeholders use BAT/BEP guidelines to improve practices.
- Governments and other stakeholders are aware of the challenges of environmentally sound storage and disposal of mercury and have the knowledge to improve their practices.
- Participating countries discuss and agree targets for decreasing use of mercury in artisanal mining in the INC meetings

118. Several administrative factors created drag that reduced the effectiveness of the Project.

119. Despite these uncertainties, this project shows signs of making a significant positive impact in potentially reducing mercury use, and putting in place conditions for future reductions. The Minamata Convention contains an entire article on ASGM, with a unique, flexible approach that recognizes the sector's informal nature and bases obligations around a National Action Plan. In addition, The Global Mercury Partnership has succeeded in raising the profile of the ASGM issue among many governments, and leveraging the skills and resources of numerous NGOs, donors, and researchers to identify solutions that reduce mercury use while protecting miners' livelihoods. Already 12 countries have signed up with UNEP to develop ASGM National Action Plans to comply with the Minamata Convention.

Table 4: Results and Ratings of Review of Outcome to Impact (ROtI)

Results rating of project entitled:		UNEP Global Mercury Partnership and Mercury Programme					
		D – A)		Rating (D – A)		Rating (+)	Overall
Outputs	Outcomes		Intermediary		Impact (GEBs)		
Inventories of mercury use and releases (25 countries) completed and disseminated.	Participating governments adopt legally binding instruments for Hg control	A	Stakeholders in participating countries adopt improved technology and environmental practices	B	Reduction of negative impacts to human health and the environment	B	AB
Guidelines developed and provided to the Basel Convention	Basel Convention releases guidelines on waste management	A	Decreased use of mercury in artisanal mining.	B			
	Participating countries use the developed inventory to monitor mercury use and release.	A	Reduced emissions from coal burning power stations.	B			
Targets and timetable for closure of the mercury mine in Kyrgyzstan developed.	Timetable to close Kyrgyzstan mine initiated.	A	Kyrgyzstan mine closed	C			
BAT/BEP guidelines developed for control of mercury emissions from coal burning power stations	Stakeholders use BAT/BEP guidelines to improve practices.	A	Stakeholders in participating countries adopt improved technology and environmental practices.	A			
Suitable sites identified for long-term storage of mercury in Asia and Latin America	Governments and other stakeholders are aware of the challenges of environmentally sound storage and disposal of mercury and have the knowledge to improve their practices	A	Countries use environmentally sound storage procedures for mercury in their territory.	B			

Active network of intergovernmental representatives mobilized around key issues.	Participating countries discuss and agree targets for decreasing use of mercury in artisanal mining in the INC meetings	A	Governments commence review at the national level to work towards ratification.	B			
Overall rating	Rating justification: The A rating reflects that project outcomes were delivered, represents a very good base for the continuing process, responsibilities after project funding are defined in the project strategic outcomes	A	Rating justification: The rating B reflects that designated to move towards intermediate states have started and have produced very useful and promising results, but the future sustainability is not quite sufficiently cover from the national sources	B	Rating justification: The rating AB corresponds highly likely results		AB

D. Sustainability and replication

Sustainability of Outcomes

Socio-political sustainability

120. A key factor for the social and political sustainability of project results and their future use to protect the environment of the Globe is the corresponding legal basis creating the legislative environment for the use of findings of the project. Optimal and efficient use of the results necessitates a harmonization of national environmental laws, and synchronization of activities on the regional and national levels. The project achieved very significant results, contributed to the awareness raising concerning the protection of environment and human health, but the level of knowledge about the results outside the concerned bodies is relatively low.

121. The first necessary step to further solve the environmental pollution mercury problems is to conduct a detailed inventory of the pollution sources and sinks, including emissions to air and water, both legal and illegal dumping sites for all types waste and identification of contaminated sites. The absence of inventory data as a key point for any decision making process, is a serious obstacle to the development of conceptual and strategic decisions and financial considerations concerning the environment and development.

122. The Project received full support and technical backstopping a wide range of international donors.

123. Based on the project documents, it is possible to say that the Project was strongly supported by UN bodies at all levels, by stakeholders at both regional and national levels, by concerned NGOs and local communities, as well as by the private sector. The Project served as a catalyst for the strengthening and widening of collaboration between stakeholders at all levels. However, discussion with people during the mission recognized a relatively low awareness especially in the communities beyond the project team. To ensure future effective realization of project outputs, higher involvement of local and regional authorities and non-governmental organizations in the development of nature conservation programs and projects is absolutely necessary.

124. The potential for the socio-political sustainability of the project results was evaluated as **moderately likely** due to existing gaps in environmental international and national legislation that will not allow for the realization of all the planned projects in full.

Financial sustainability

125. The main objectives and principal activities aimed at preventing, eliminating and reducing mercury emissions and releases to the environment. The highest risks for the Project results realisation are lack of financing of future activities and existing shortfalls of environmental legislation.

126. The results of the projects provide valuable contributions to solve the problem of mercury pollution, but the sustainability of the results is not currently financially secured. It requires an intensive involvement from different sectors, and negotiations for their financial participation to address the problems of mercury pollution of environment, which are a result of previous bad environmental management practice.

127. The potential for the financial sustainability of the project results was evaluated as **moderate likely** due to the shortage of finance for environmental programmes aimed at cleaning the Globe, inventory of sources of pollution, disposal sites, contaminated sites, all accumulated damage, and pollution monitoring as a result of the financial crisis. However, the MC has also included in its text a financial mechanism, which includes support from the Global Environment Facility as well as a specific international programme, which will provide ongoing financial support to implement obligations under the Minamata Convention as well as encourage leveraging of other resources. This financial mechanism promises to support the future effective implementation of the MC measures.

Sustainability of institutional frameworks

128. Losing momentum for implementation of the many good initiatives identified and/or started under this programme can become a problem for follow up activities. Financial, economic and political situation and problems can also have very important consequences – for example the unavailability of funds or losing focus if support from the governments and/or international community would decrease. The predominant approach to ensure future institutional sustainability needs to be focused on increasing national institutional and financial support to the sustainable management of the national environment. The key question is whether the sustainability of these activities and continuous support to environmental issues will prevail.

129. Also the follow-up of identified investments to eliminate pollution hot spots, lack of drive at national and regional governmental level towards implementation and enforcement of proposed regulatory measures and/or reforms, represent the other, relevant risks.

130. Sustainability must be developed on the basis of a corresponding national legislative basis, consistency of legislation, and ensuring the control mechanism. Transfer of the project conclusions to the plans, conceptions and strategies of the participating countries, the creation of implementation and control mechanisms, are a necessary condition of the success. It has to be closely connected with the co-ordination and synchronisation of national legislation and harmonisation with international conventions. Minimata Initial Assessments play a very important role in the process towards ratification of the MC in many countries. The ratification and implementation of the Convention further supports the sustainability of project outcomes (for more details see the GEF website¹³).

131. The potential for the institutional sustainability of the project results was evaluated as **moderately likely**.

Environmental sustainability

132. From a global environmental benefit point of view, the project is contributing through the detailed assessments of the current environmental problems of the Globe, and promoting and developing the capacity of local and national stakeholders.

133. Concerning to the future flow of project benefits from the point of view of environmental sustainability, the most important aspect is the reduction or elimination of existing sources of the mercury contamination. These sources represent, on one side the potential long range transport of pollutants via air and rivers round the Globe, and on the other side the effective reduction of local legal and illegal dumping sites, former industrial facilities, and contaminated soils and sediments.

134. The project results can build a base for future environmental sustainability of the Globe. The new legislation and the demonstration projects are an essential base for the effective protection of the Globe eliminating sources of contamination and reducing risks to the environment and human health.

135. The potential for the environmental sustainability of the project results was evaluated as **moderately likely** due to lack of detailed inventory of pollution sources, lack of waste and contaminated site management systems and lack of effective mechanisms to monitor the effectiveness of the project and other environmental protection measures in general.

Catalytic Role and Replication

Catalyzed behavioural changes in terms of use and application by the relevant stakeholders:

¹³ <http://www.thegef.org/topics/mercury>

136. The Project played an important catalytic role in the development of a global and national policy on environmental protection, a number of regulations and procedures for environmental monitoring, risk assessment, analysis, preparation of investment studies and creation of private – public partnerships for preparation and implementation of investment projects directed to social and environmental remediation.

Provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour:

137. A considerable number of industrial facilities, contaminated sites, and legal and illegal dumping sites are located round the Globe. Cleaning of the Globe represents both a big challenge and a great opportunity for businesses that are developing, producing and applying technologies to reduce and eliminate environmental mercury contamination, to dispose waste and to rehabilitate contaminated sites. The situation can be considered as an open market and especially the development of new techniques that are in line with the principles of BAT/BEP strategy is a very promising field of industry development.

Contributed to *institutional changes*:

138. The project results strongly supported the above-mentioned development of new actions concerning the Globe as an international convention legal base for the effective cleaning and future protection of the global environment. In addition, the project played an important catalytic role in leveraging additional funds for inventories and pilot projects.

Contributed to *policy changes*:

139. The project has a high catalytic potential for the development of legislation concerning the mercury pollution problem. Based on the project outputs, the Governments can adopt new strategic documents and change their approaches to solving the environmental mercury problems. Hopefully, the project will also catalyze more effective co-operation between international institutions and the regional and national levels.

140. Also the consequences of the international conventions to protect global environment as well as other bilateral and multilateral agreements were assessed and concrete proposals were made to improve the environment protection system including learning from the experience of other conventions. However, generally, a long time still exists between the planning procedures to solve site-specific environmental problems and the actual realization of the plans. The process to reduce environmental pollution is slow and can be very risky. Also, the main drawback of the environmental protection system is that it does not efficiently allow for the elimination of the negative impact on nature from economic activities. Political changes may always affect projects of high political focus and it is a surely true in the case of Kyrgyzstan.

141. The project was also focused on the acceleration of regional coordination in connection with the negotiation of the Minamata Convention and this support continues. The Partnership also contributed significantly bringing various stakeholders together in the 8 sectors that make up Partnership.

Contributed to sustained follow-on financing (*catalytic financing*) by the recipient country, from other Governments, the GEF or other donors:

142. In particular, the project results have been used for the preparation of the international convention and regional and national programmes of actions for the protection of the environment from mercury production, emissions, releases and contamination.

Created opportunities for particular individuals or institutions to catalyze change;

143. The technologies and approaches showcased by the demonstration projects are very useful for addressing the local and regional environmental problems of the Globe, as well as solving similar problems internationally. The strategic plans and programs are good starting points but attention must be paid to their complementarity with existing legislation. The project is also a good starting point for building an inventory and monitoring system of environmental pollution and a starting point for the development and adoption of waste management system at local, regional and federal levels.

Replication, in the context of GEF projects

144. The project results have a very strong replication potential through UNEP and GEF projects, but also through national projects. The evaluated project provides a very good level of knowledge, expertise and experiences concerning especially to the countries where the effective solution of environmental problems has been politically unacceptable and unrealistic.

145. The catalytic role and replication of the project results was evaluated as **highly satisfactory** due to its very significant role in forming the legislation.

E. Efficiency

146. Cost effectiveness was an important consideration in the design of the planned project targets. All project goals were realized in a cost effective manner and the project achieved much more ambitious results than was initially planned for its first phase.

147. For example the NAP guidance which was done by the Partnership was created with about 30K worth of funds, most of which was asked US Environmental Protection Agency USEPA to contribute. The vast majority of work was done by volunteers among the Partners.

148. Evaluation of the project efficiency is **satisfactory** due to good project management, which led to the additional positive effects. All project goals were realized in a cost effective way.

F. Factors affecting performance

Preparation and Readiness

149. The project objectives, scope and design were quite well defined, realistic and reasonable within the time and budget available, as well as very useful and important

150. UNEP was the implementing agency of the project and the Project Team was housed in the Chemicals Branch (now Chemicals and Wastes Branch) in the Division of Technology, Industry and Economics. The project team included the Project Manager, programme officers and administrative support. The services of a Financial Management Officer was available to support the project.

151. The partnership arrangements were properly identified during the preparatory stage with clearly defined roles and responsibilities were held prior to implementation of the project.

152. The project preparation and readiness is evaluated as **highly satisfactory** due to very well done organisation of project preparatory and realisation phases.

Implementation Approach and Adaptive Management

153. The negotiations portion of the project successfully established a global legally binding instrument on mercury. While the results of this are difficult to measure in the short term, as countries take on the obligations associated with being Parties to the Minamata Convention on Mercury, the possible mercury risks will be reduced. The obligations of the Convention provide a sound structure to address mercury risks, and would serve as guidance for Parties in how to take mercury emissions and releases, as well as assist in the reduction of use of mercury-added products (as their manufacture is phased out and they become less available). The measures within the Convention to deal with interim storage of mercury other than waste mercury, and also with mercury wastes will assist in reducing the incidences of contamination of sites, while the measures on contaminated sites will assist in providing Parties with the necessary tools to manage their contaminated sites effectively.

154. An effective management and coordination framework was established. The Overarching Framework of the UNEP Global Mercury Partnership established a Partnership Advisory Group to encourage the work of the partnership areas.

155. The Partnership Advisory Group, composed of up to 25 members, was established through the Overarching Framework of the Global Mercury Partnership to serve the Partnership. Its membership includes partnership area leads, partners nominated by the partnership areas and other representatives. Observers may attend meetings of the Partnership Advisory Group.

156. The functions and responsibilities of the Partnership Advisory Group include: to encourage the work of the partnership areas consistent with the overall goal and operational guidelines of the UNEP Global Mercury Partnership; to review the partnership area business plans in order to advise the partnership areas on the consistency of their business plans with the overall goal and the operational guidelines of the UNEP Global Mercury Partnership; to report to the Executive Director of UNEP on overall progress; to communicate overarching issues and lessons learned while promoting synergy and collaboration across partnership areas and to report on activities undertaken within the UNEP Global Mercury Partnership.

157. All relevant information concerning the project scope and activities of the PAG are documented in the Project SC meeting reports and are available on the Project website.

158. The project supported the provision of the secretariat to the intergovernmental negotiating committee which developed the text of the legally binding instrument on mercury. There were 8 meetings held as followed:

- Preparatory meeting for the negotiating process – Bangkok, October 2009
- INC1 – Stockholm, Sweden, June 2010
- INC2 – Chiba, Japan, January 2011
- INC3 – Nairobi, Kenya, Oct/November 2011
- INC4 – Punta del Este, Uruguay, June/July 2012
- INC5 – Geneva, Switzerland, January 2013
- Preparatory meeting for the Conference of Plenipotentiaries, Kumamoto, Japan, October 2013
- Conference of Plenipotentiaries, Kumamoto, Japan, October 2013

159. The preparatory meetings allowed technical discussions of issues related to the negotiations, and also allowed discussion of, and provisional agreement to, the rules of the procedure for the negotiations and the election of officers. This allowed negotiations to commence smoothly at INC1 without excessive time being spent on these issues.

160. INC 1 to 5 allowed governments to negotiate the text of the agreement. There were extensive discussions on the structure of the agreement, as well as the scope. Once these had been agreed, negotiations considered the obligations which would be imposed under the convention, as well as the mechanisms for support to assist in meeting those obligations. The secretariat supported the Chair in his drafting of a proposed chair's text which was considered at INC5 and served as the basis for the final negotiations of suitable packages of obligations and support which could be agreed by consensus.

161. The preparatory meeting held immediately prior to the conference of plenipotentiaries prepared the Final Act for adoption at the Conference of Plenipotentiaries, negotiating the resolutions which would guide the work under the Convention in the period up to the first meeting of the Conference of the Parties. The Conference of Plenipotentiaries adopted the Final Act and the text of the Convention, and opened the Convention for signature. Government representatives with valid credentials were then able to sign the Final Act and those with full powers were able to sign the Convention.

162. The project was therefore crucial to the successful negotiation of the Convention.

163. The project implementation approach is evaluated **as satisfactory**.

Stakeholder Participation and Public Awareness

164. The project objectives and proposed activities were strongly focused on the mobilization of national resources and gaining commitment from municipalities, local NGOs as well as businesses. The project managed to build a sustainable network to reduce environmental damage.

165. The main project partners and beneficiaries were mainly representatives of concerned governments, industry, NGOs and academia.

166. All interested parties were actively engaged in the work even at the planning stage. The degree and effectiveness of collaboration and interaction between the various project partners and institutions during the implementation of the project and the degree and effectiveness of the various public awareness activities were generally good.

168. Questionable is limited levels of knowledge and understanding concerning the project results outside the project community. It would, thus, be very useful to continue the process of public information.

169. Project stakeholder involvement is evaluated as **Satisfactory** due to the significant involvement of stakeholders of different levels, but better publicity of project results and of their relevance is needed.

Country Ownership and Drivenness

170. The project was developed based on national sectoral and development priorities and plans, and was supported by the relevant country representatives from the government and civil society. The history of the negotiation process is available on the following site¹⁴, which reflects the input countries had to the development of the project through the mandates set out in Governing Council decisions. These decisions established the partnerships and tasked UNEP to support the INC, especially decisions 24/3 and 25/3¹⁵.

171. Project country ownerships and drivenness is evaluated as **moderately satisfactory**.

Financial Planning and Management

172. The project prepared, in a timely manner, all necessary financial planning and reporting documents that were fully up to standards and met the quality requirements of the Executing Agency and UNEP/DGEF. The financial documents were also thoroughly evaluated at the PAG meetings. Moreover, a certified auditing company has duly audited all financial transactions.

173. The Project had the necessary resources for fulfilling all planned activities by the end of October 2010. The financial reports were audited, no problems were found as per available project documents.

174. The GEF, which is identified as part of the financial mechanism under the Convention, is already providing funding both to assist countries in developing the infrastructure and information base required to implement the convention, and also funding for substantive activities to reduce emissions of mercury. These substantive activities are already having an impact on the mercury risks, while the enabling activities are assisting countries to either develop or refine mercury inventories as well as undertake legal assessments to identify gaps in the legal structure and any new legislation required.

175. Financial planning and management is evaluated as **satisfactory**.

¹⁴ <http://www.mercuryconvention.org/Negotiations/History/tabid/3798/Default.aspx>

¹⁵ <http://www.mercuryconvention.org/Negotiations/Mandates/tabid/4223/Default.aspx>

UNEP Supervision and Backstopping

176. Several administrative factors created drag that reduced the effectiveness of the Project.

177. First, UNEP management failed to recruit staff and consultants in a timely manner, which caused delays and eroded trust with outside stakeholders.

178. The position of coordinator of the UNEP Global Mercury Partnership was left vacant for over two years despite funds being available for the position. Also, other positions such as Head of Branch and administrative assistant were not filled in a timely manner despite retirements having been announced many months in advance.

179. In addition, overly bureaucratic procedures added costs (in the form of staff time and other costs) to almost all workings of this (and other) projects. Procedures that could be streamlined include those for approving funding agreements, recruitment, travel approval, and the creation and approval of project documents and project revisions. It should be noted that these concerns apply not only to this project, but also to projects throughout DTIE and perhaps throughout UNEP.

180. There are many factors that affect project performance. Supervision is clearly important to follow up project activities, and by this I also include having good technical expertise to advise country experts while executing activities and also to review draft reports from countries. The network of experts built up in the Partnership has been very useful in this context. However, it is important that we have sufficient staff to be able to follow up our activities. In the project period we have been under staffed due to extremely slow internal procedures to recruit staff and consultants in a timely manner.

181. In addition, UNEP's bureaucratic procedures are becoming a burden and are taking a lot of staff time. Most procedures could be streamlined and authority should be delegated down in the system to make it more effective; such as approval of legal agreements, recruitment, and travel. This is the case of course for UNEP as a whole and not only for this project and this Branch.

182. UNEP supervision and Backstopping is evaluated as **moderately unsatisfactory**.

Monitoring and Evaluation

Monitoring and Evaluation Design

183. The project monitoring and evaluation plan was very briefly mentioned in the Project Document (Section 7 of the Project Document) and indicates that project monitoring will be carried out by the project coordinator at the Chemical Branch, who will regularly report on the progress and quality of the implementation of the project activities, including any encountered difficulties and actions taken to overcome them. This ProDoc also indicated that the project partners will be requested to provide feedback and advice as appropriate.

184. Activity reports were generated following the UNEP and donors requirements at the time of design. Reports on Progress of the UNEP Global Mercury Partnership were prepared at the

end of two year periods (from 2007, total 5 Reports) and are available on the project website¹⁶.

185. Technical activity reports were prepared by stakeholders upon completion of any specific component activity and were submitted to the Chemicals Branch. Baseline information were sufficient and adequate to the project goals, specific selected indicators were SMART to the project objectives.

183. Project monitoring and evaluation design is evaluated as **satisfactory**.

Budgeting and Funding for M&E Activities

184. The evaluation budget indicated in the project (through a number of project revisions) has been USD 15 000. This was intended to cover evaluation of the project by the Evaluation and Oversight Unit of UNEP, with limited travel to meet with relevant partners in the margins of a major meeting.

185. Project budgeting and funding is evaluated as **satisfactory**.

Monitoring and Evaluation Plan Implementation

186. All monitoring reports were sufficient and produced in a timely manner.

187. All Project reports, including Financial Reports, were submitted to UNEP DGEF Nairobi in a timely manner. Project Advisor to the EA has been monitoring all project activities by means of regular revision of project financial and operational documents. An independent auditing company audited project annually.

188. Detailed reports of all meetings and reports of the implementation of the demonstration and pilot projects were distributed among all interested parties and uploaded on the official Project website. The website also entails photos and videos of the demonstration projects. The quality of the reports was fully acceptable.

189. Implementation of the project monitoring and evaluation plan is evaluated as **satisfactory**.

IV. Conclusions and Recommendations

A. Conclusions

Conclusions and ratings

190. All project tasks were successfully achieved; the main critical topics of the project are likely to contribute towards improvement of the nature protection system of the Globe.

¹⁶ <http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/PartnershipAdvisoryGroup/tabid/4536/Default.aspx>

191. The project was implemented within the context of a planet with very vulnerable and relatively polluted regions, where inventory of mercury pollution sources is lacking, where there is no sufficient waste management system in place and where numerous pollution hot spots are located. The project approach and results can serve as useful starting point and examples for effective approaches for solving of severe environmental problems. The delivered outputs can also help in developing new approaches to tackle environmental problems.

192. Anthropogenic mercury releases come from every country on earth. The project sought to create global conditions for the reduction of mercury pollution, through the establishment of a legally-binding instrument, and to build capacity for reductions in specific countries and sectors, through the UNEP Global Mercury Partnership. The Partnership has contributed significantly in terms of technical and policy information on mercury threats, and has informed negotiators of the Minamata Convention, which in turn will require parties to take action to control these threats. In this way the Partnership has been very influential in the future reduction of mercury pollution.

193. An important component of the project also sought to estimate global anthropogenic mercury releases. This was the UNEP Global Mercury Assessment, and its results can help track reductions in mercury pollution. The latest Global Mercury Assessment, conducted in 2013, uses data from 2010 as a baseline year. The estimated global anthropogenic mercury emissions were 1960 tonnes. A direct comparison with the 2008 Global Mercury Assessment (base year 2010) is not possible because different methodologies were used, however, the general trend is that estimated emissions were slightly higher in 2010, although within the margin of error. In particular, uncertainties regarding mercury emissions from ASGM are quite high. The next Global Mercury Assessment will use 2015 as a baseline year. This will allow further analysis of trends in anthropogenic mercury emissions.

194. Regional trends show that mercury emissions are increasing significantly, but also in Africa and South America, while decreasing in Russia, Europe, and North America during this time period. 2005-2010 coincided with rapid increases in industrialization in parts of Asia, and also greater ASGM activity (and more attention to ASGM) in Asia, Africa, and South America.

195. It should be noted that these are estimates of absolute mercury emissions. Per-capita or per-unit-GDP emissions change would be lower due to economic and population growth.

196. Based on the options analysis reports, the project executive committees in Asia and Latin America concluded that not all countries would be needing long term storage but only a few countries based on estimates of excess mercury mostly coming from the chlor alkali sector, by-product from natural gas and non-ferrous mining, as well as end-of-life mercury-added products. Suitability for a site is dependent on several factors such as topography, geography, climatic conditions, among others. Thus, while the project did not identify a regional long term storage facility for mercury, the project capacitated the individual countries to assess their excess mercury and to find solutions such as interim storage, stabilization, and export to other countries that have suitable sites for long term storage, taking into account provisions of the Basel Convention transboundary movement of mercury waste.

197. The most remarkable achievement of the project was the preparation of the global Minamata Convention. It addressed the environmental problems of the Globe by taking

advantage of the high political momentum in order to strengthen and sustain a platform for environmentally and socially sustainable development.

198. The negotiations part of the project worked directly to support the negotiations of the Minamata Convention. Under this part of the projects, UNEP provides secretariat support to the intergovernmental negotiating committee. Activities included the convening of one preparatory meeting (November 2009 in Bangkok) and five sessions of the intergovernmental negotiating committee (INC) (Stockholm (June 2010), Chiba, Japan (January 2011), Nairobi (October/November 2011), Punta Del Este, Uruguay (June 2012) and Geneva, Switzerland (January 2013), as well as the Conference of Plenipotentiaries held in Kumamoto, Japan (October 2013).

199. The INC provided the forum within which governments negotiated the text of the Convention, and agreed by consensus on the way forward. Convening the meetings included making all logistical arrangements for the meetings (venue, conference services, security, travel for funded participants) as well as substantive preparations (preparation of the meeting documents, briefings for permanent missions and governments, briefings for the Chair, engagements of UNEP senior management etc).

200. The INCs were also supported by intersessional work undertaken by the secretariat. This included convening regional preparatory meetings, support for the Chair including during informal consultations, and ongoing administrative arrangements to allow the work to proceed (engagement of consultants etc)

201. The Convention can considerably assist in solving the environmental problems of the Globe. An important tool is the development and effective application of technologies for cleaning of contaminated sites and disposing of waste. The project has played a positive role in preparation and implementation of the MC. Regional coordination for the negotiations of the Minamata Convention was supported and became an important and valued opportunity for governments to coordinate their regional positions. This mechanism continues (with support of the current project) to this day. The Partnership also serves an important coordination role, which tends to be organized along the sectors that make up the eight partnership areas (e.g. coal. ASGM, products. etc.).

202. The project also managed to build a sustainable network of stakeholders to promote solving of mercury environmental problems. All the interested parties were actively engaged in the work even at planning stages, and stakeholders at different levels supported the project. Special importance was given to the efficient working cooperation with the countries and all relevant stakeholders.

203. The results of the project are moderately likely to be sustainable and some deliverables are already being used, to some extent to solve environmental problems of the planet (Guidelines, BAT/BAT approaches and guidelines). The main risks for project sustainability are lack of financing for environmental programmes, the current state of environmental legislation and lack of interest from private businesses.

204. Within the project an effective management and coordination framework was established. This administrative experience can be recommended for replication in the future programme and other environmental programmes and projects.

205. The website allowing interactive communication and providing the basis for long-term dialogue and for on-going participation of stakeholders in the project, was, and still is a useful tool for public project presentation.

206. The work of the project was made more challenging through changes in supervision throughout the project, with the Branch head changing 3 times during the project implementation, as well as changes in the lead officer for the negotiations team and for the global mercury partnership twice during the project period. Fortunately, there were few changes in programme officers directly working in implementation of the project, which allowed for continuity of actions.

207. UNEP financial management structure was able to support the implementation of the project, and was flexible enough to allow donor's expectations (including payment of contributions through a reimbursement method, as well as specific earmarking of funds to certain activities) to be dealt with.

Table 5: Overall Rating Table

Criterion	Summary Assessment	Rating
A. Strategic relevance	Due to the very useful outputs forming the legal, institutional, scientific and practical base for the effective environmental elimination of mercury.	HS
B. Achievement of outputs	Planned results were obtained and all project goals were achieved in good quality and in time.	HS
C. Effectiveness: Attainment of project objectives and results	Project efficiency was high, the planned results were obtained and the objectives were achieved within a reasonable timeframe and with a reasonable quality.	HS
1. Achievement of direct outcomes	All the planned activities were realized during the longer period than was planned.	HS
2. Likelihood of impact	Global impact depends on the financial support in future and effectiveness of implementation in the countries.	S
3. Achievement of project goal and planned objectives	Main part of the planned activities was realized.	HS
D. Sustainability and replication		ML
1. Financial	Due to the shortage of finance for environmental programmes aimed at cleaning the Globe, inventory of sources of pollution, disposal sites, contaminated sites, all accumulated damage, and pollution monitoring as a result of the financial crisis.	ML
2. Socio-political	Due to existing gaps in environmental international and national legislation that will not allow for the realization of all the planned projects in full.	ML
3. Institutional framework	A suitable network was established for the inventory and technical solution of the mercury pollution problems.	ML

4. Environmental	Due to lack of detailed inventory of pollution sources, lack of waste and contaminated site management systems and lack of effective mechanisms to monitor the effectiveness of the project and other environmental protection measures in general.	ML
5. Catalytic role and replication	Due to its very significant role in forming the legislation.	HS
E. Efficiency	Due to good project management, which led to the additional positive effects. All project goals were realized in a cost effective way, but during the longer period than was planned.	S
F. Factors affecting project performance	The project realisation was affected by the amount of financial support, voluntary contribution of project partners.	S
1. Preparation and readiness	Due to very well done organisation of project preparatory and realisation phases.	HS
2. Project implementation and management	Project implementation depends on the process of implementation of the MC	S
3. Stakeholders participation and public awareness	Due to significant involvement of stakeholders of different levels, but better publicity of project results and of their relevance is needed.	S
4. Country ownership and driveness	Project was developed to be in-line with the national and sectoral priorities and plans and was supported by the relevant country representatives. The national stakeholders were involved in the project from the beginning.	MS
5. Financial planning and management	Project prepared all the necessary financial planning and reporting documents based on the UNEP/Donors considerations. Project budget was evaluated and accepted by the APG.	S
6. UNEP supervision and backstopping	Bureaucratic obstacles, the support could be more effective	MU
7. Monitoring and evaluation		S
a. M&E Design	The project had a well developed M&E plan. Detailed reports for all meetings, and for implementation of demo and pilot projects with all associated documentation have been distributed among all interested parties and uploaded on the official Project website.	S
b. Budgeting and funding for M&E activities	The budget for monitoring and evaluation was satisfactory	S
c. M&E Plan Implementation	Project progress reporting was done on six-monthly and annual basis. The monitoring was continued throughout the project implementation and was used to optimize activities and ensure effective use of financial resources.	S
Overall project rating	Project supported very important part of the preparation of the Minamata Convention and its implementation and fulfilled the expected goals and could be the basis for further, ongoing projects leading to the implementation of MC	S

B. Lessons Learned

Lesson 1:

208. *Both awareness raising and the dissemination of information play important roles in moving towards successful negotiations.* The effective participation of developing countries and communication strategies have to be used for the future successful implementation of the Minamata Convention and follow-up activities of the Global Mercury Partnerships as very important tools for this implementation process.

Lesson 2

209. *In countries with unstable governments, project implementation is connected with a higher risk for success than in other countries.* The new governments of Kyrgyzstan did not approve of the goals of the developed project aimed at phasing out primary mercury mining, resulting in the need to negotiate an amended objective of the project. The new government wanted a change in focus of the project from being phasing out mercury mining, to focus on cleaning up contaminated sites and finding alternative jobs for miners so that a possible closing of the mine could be considered.

Lesson 3

210. *A strategic key point is also to consistently apply the BAT/BEP principles (Best Available Techniques/Best Environmental Practices) in all cases of new industrial development activities.*

Lesson 4

211. *In addition to the deliverables or outputs that a project delivers, communication and engagement with governments are critical elements to achieve a committed partnership.* Mercury was very low on the agenda in most of the countries that were invited to take part in project activities under the UNEP Global Mercury Partnership in the beginning of the work period. Considerable communication and several meetings have resulted in several project activities carried out in many countries. The communication created through these projects increased the awareness of mercury emissions in governments and provided them with information and knowledge to enable them to address the challenges. In addition to project results obtained (deliverables/outputs), we believe that the activities improved our communication with the governments on mercury issues and led to a wider engagement in the governments on the mercury issue in general. The increased engagement and knowledge in the targeted countries was very useful in the important first phase of the mercury negotiations.

C. Recommendations

For UNEP, Secretariat of the MC, and Project Team:

Recommendation 1

212. *To make the project results and the positive experiences gained from its implementation available, the project management needs to ensure that results are communicated to all stakeholders, decision makers, the scientific community and the broader public.*

The project has delivered a set of useful results valuable for future projects concentrated on tackling the global environmental problems. There is a need to better communicate progress of the Partnership and further recruit key stakeholders, especially Government partnership, to expand the sphere of influence of the partnership areas. In addition, the Partnership must do a better job communicating its potential to assist with Minamata implementation to the INC and individual stakeholders.

For UNEP, Secretariat of the MC:

Recommendation 2

213. *The Partnership as a whole, and each partnership area individually, should reflect on the best ways they can contribute to Minamata implementation.* The Partnership has a very important role in helping countries ratify and implement the Minamata Convention.

214. Partnership areas should look for ways to work together and find synergies to increase the overall effectiveness of the Partnership. One example that was given was the potential for collaboration between the chlor-alkali partnership area and the supply and storage partnership area on the problem of excess mercury for closed chlor-alkali plants.

215. The Partnership plays a very important role in information dissemination. The web site is a key tool, but it could be better utilized to increase the ease of which interested parties can find the needed information. Individual partnership areas should consider how they want information organized on the web site and work with the UNEP secretariat to make changes.

Recommendation 3

216. *It is recommended that business plans are reviewed and priority actions revised.* Mostly, the business plans were described as on track. However, this may be the time to revisit some language in the business plans to make modifications, for example some of the priority actions may have shifted now that the Minamata Convention has been finalized.

Recommendation 4

217. *The project team of the ongoing work on mercury should continue the identification and inventory of all environmental pollution sources.* It is necessary to continue the identification and inventory of all environmental pollution sources, including emission sources, release to water bodies, as well as legal and illegal waste dumping sites. It is also necessary to identify all contaminated sites in every country as well as to develop programmes for environmental clean-ups. The inventory needs to be closely connected with similar inventories connected with other international chemical conventions.

Recommendation 5

218. *An effective waste management system needs to be developed and adopted on international, regional and national levels, since it forms the key condition for the protection of the global environment.* Based on the experiences from the evaluated process, it can be strongly recommended to continue with the support of the GMP, for examples as a follow up project(s), which can be very useful tool for the implementation of the Minamata Convention on Mercury

Annexes

Annex I: List of persons met and interviewed

Bureau of the INC

Jordan

Mr. Mohammed Khashashneh

Director of Hazardous Substances and Waste Management Directorate

Ministry of Environment

P. O. Box 1408

Amman 11941

Jordan

Tel: +96265560113

Email: mkhashashneh@yahoo.com

Slovenia

Mr. Alojz Grabner

Director

Chemicals Office

Ministry of Health

Ajdovscina 4

Ljubljana SI-1000

Slovenia

Tel: +38614006039

Email: alozj.grabner@gov.si

Zambia

Mr. David Kapindula

Principal Inspector

Pesticides and Toxic Substances

Environmental Management Agency

Corner of Suez and Church Roads

P. O. Box 35131

Lusaka 10101

Zambia

Tel: +260211254130

Email: dkapindula@zema.org.zm

Partnership area co-leads

ASGM

Ms. Susan Keane

Senior Environmental Analyst

Health and Environment Program

Natural Resources Defense Council

1152 15th St. NW Suite 300

Washington DC 20005

United States of America

Tel: +12022892389

Email: skeane@nrdc.org

Coal Combustion

Dr Lesley Sloss

Principal Environmental Consultant

Lead on UNEP Coal Partnership Environment Group
International Energy Agency - Clean Coal Centre (IEA)
Michael House, The Haugh
East Wemyss
KYI 4SB Kirkcaldy
United Kingdom
Tel: (+44) 1592 5811 32
Fax: (+44) 1592 7131 00
Email: lesleysloss@gmail.com

Mr. Nicola Pirrone
Director
CNR- Institute of Atmospheric
Pollution Research
Via Salaria Km. 29300
00015 Monterotondo (Rome)
Italy
Tel.: + 06 90 672 803
Fax: + 06 90 672 472
Email: pirrone@ia.cnr.it, fino@ia.cnr.it

Cement Industry

Philippe Fonta
Managing Director
Cement Sustainability Initiative
World Business Council for Sustainable Development
+41 22 839 31 04
fonta@wbcasd.org

Key Governments

Latvia

Ms. Daina Ozola
Head of Division
Environmental Protection Department Pollution Prevention Division
Ministry of Environmental Protection and Regional Development
Peldu iela 25
Riga LV 1013
Latvia
Tel: +37167026516
Email: daina.ozola@varam.gov.lv

Madagascar

Ms. Hanitriniaina Liliane Randrianomenjanahary
Chef de Service Médico-Social, Point Focal de la Convention de Minamata sur le Mercure
Ministère de l'Environnement, de l'Ecologie et des Forêts
BP 571 Ampandrianomby
Antananarivo 101
Madagascar
Tel: +261320212393
Email: randrialiliane@gmail.com

Czech Republic

Mr. Karel Bláha
Mrs. Kateřina Šebková

Key partners

UNIDO

Ms. Carmela Centeno
Industrial Development Officer
Stockholm Convention Unit
United Nations Industrial Development Organization (UNIDO)
Vienna 1220
Austria
Tel: +431260263385
Email: c.centeno@unido.org

GEF

Mr. Anil Sookdeo
Senior Environmental Specialist
Climate Change and Chemicals
Global Environment Facility (GEF)
1818 H Street, NW
Washington DC 20433
United States of America
Tel: +12024580683
Fax: +12025223240
Email: asookdeo@thegef.org

WHO

Ms. Carolyn Vickers
Team Leader
Chemical Safety
World Health Organization (WHO)
20 Avenue Appia
Geneva 1211
Switzerland
Tel: +41227911286
Email: vickersc@who.int

IPEN

Mr. Björn Beeler
International Coordinator and General Manager
IPEN Secretariat
IPEN
1962 University Av. #3
Berkeley CA 94704
United States of America
Tel: +15107041962
Email: bjornbeeler@ipen.org

Annex II: Evaluation TORs (without annexes)**TERMS OF REFERENCE¹⁷****Terminal Evaluation of the UNEP Project
“UNEP Global Mercury Partnership and Mercury Programme”****II. PROJECT BACKGROUND AND OVERVIEW****1. Project General Information¹⁸****Table 1. Project summary**

UNEP PIMS ID:		IMIS number:	2B23/3795
Sub-programme:	Harmful substances and hazardous waste	Expected Accomplishment(s):	EA3: Appropriate policy and control systems for harmful substances of global concern are developed and in place, in line with the State’s international obligations
UNEP approval date:		PoW Output(s):	2010/11-531 2010/11-532 2010/11-537 2012/13-531 2012/13-534
Expected Start Date:	01 March 2009	Actual start date:	24 March 2009
Planned completion date:	31 Dec 2013	Actual completion date:	31 Dec 2014
Planned project budget at approval:	15,760,110 USD	Total expenditures reported as of [date]:	
Planned Environment Fund (EF) allocation:		Actual EF expenditures reported as of [date]:	
Planned Extra-budgetary financing (XBF):		Actual XBF expenditures reported as of [date]:	
XBF secured:		Leveraged financing:	
First Disbursement:		Date of financial closure:	
No. of revisions:		Date of last revision:	
Date of last Steering Committee meeting:			
Mid-term review/ evaluation (planned date):	N/A	Mid-term review/ evaluation (actual date):	N/A
Terminal Evaluation (actual date):	Sep-Oct 2015		

2. Project rationale

1. Concerns about the global adverse effects of mercury on human health and the environment have been acknowledged by governments since 2003, when the conclusions of the Global Mercury Assessment were discussed and agreed by the Governing Council. Since 2003, UNEP has delivered a programme of activities to address the global challenge of mercury, including developing the UNEP Global Mercury Partnership. In 2007,

¹⁷ TOR template version of February 11 2015

Governing Council decision 24/3 called for UNEP to strengthen the Global Mercury Partnership, and also to support the process to review and assess options for enhanced voluntary measures and new or existing international legal instruments.

2. This project activities fell within the programme of work for both the existing and next Biennium.

Activities included ongoing support for the UNEP Global Mercury Partnership, as well as support for the development of an internationally agreed framework within which future Mercury activities would be delivered. It was expected that the structure as well as the scope of the framework (in particular whether it is limited to mercury, or whether it has the capacity to include other hazardous substances of concern) would be further elaborated at the upcoming Governing Council.

3. The project supported the ongoing work of the UNEP Global Mercury Partnership; including support for the Partnership Advisory Group and coordination of the partnership areas. The major component of the project was support for on the ground activities in areas such as increasing knowledge through the development of inventories, managing mercury supply by interaction with the last exporting mercury mine in Kyrgyzstan, reducing mercury emissions from coal fired power plants, environmentally sound management of waste containing mercury, plans for long-term storage of surplus mercury to prevent it re-entering the supply chain, and activities to reduce the emissions of mercury from artisanal mining activities. While a full range of activities to address the global mercury challenge were described within the project document, the delivery of these was dependent upon availability of funding.

4. At the time of project design some pledges had already been received relating to activities addressing the issues of mercury releases from coal combustion, mercury storage and mercury containing waste. The sub-projects were described in general terms within the project document. Detailed plans for implementation of each were to be further developed in consultation with the regional offices, participating, countries and donors. The support for the development of an internationally agreed framework within which future Mercury activities would be delivered was covered by the project document. Major activities aimed to include secretariat support for the negotiating process, the development of technical documents and servicing meetings.

5. The project reflected the programme of work and medium term strategy for the mercury and other metals

programme. Work was to be directed in two main areas, including activities to provide on-the-ground reductions in mercury emissions (primarily undertaken through the UNEP Global Mercury Partnership), and also to facilitate the development of an internationally agreed framework under which future mercury activities would be delivered. Costs for support of the UNEP Global Mercury Partnership (including support for on-the-ground activities as well as for the work of the Partnership Advisory Group) were budgeted at \$9,386,000 plus programme support costs. Costs for the negotiating process was budgeted at \$4,920,000 plus programme support costs. There were also overall expenses associated with all aspects of the project (rent, computers, paper etc) of \$51,000, communication including postage (\$30,000) and the evaluation costs.

6. To assist in meeting the goal of the UNEP Global Mercury Partnership, concrete activities to facilitate the

reduction of mercury emissions were planned at the national and regional level. The specific activities to be delivered would include:

- Further inventories of mercury releases in least developed, developing countries and countries with economies in transition from all regions would assist in prioritising activities required to address their mercury problems. The production and publication of an inventory report and national action plan was included in the costs for the development of the inventory at the national level, and reports were to be made available electronically via the Chemicals Branch website. Inventories had already been undertaken in five countries in Asia (including two in West Asia), three from Latin America and one in Africa. It was planned to extend this work to involve Nigeria and the United Republic of Tanzania as well as two other countries (to be selected based on country interest and consultation with the regional office)
- feasibility studies for suitable sites for the safe long-term storage of mercury were planned for the Asian and Latin American regions, including assessment against criteria to be developed and agreed within each region, along with follow-up activities to implement safe storage and remove mercury from global supply,

- investigation of effective management of mercury releases from coal combustion, including the development of BAT/BEP guidelines and pilot testing of systems in a number of facilities, and
- other work to provide assistance in accordance with the key strategic activities identified within each of the partnership areas.

7. General activities to strengthen the UNEP Global Mercury Partnership were also planned, including coordination with the Partnership Advisory Group, assisting the partnership area leads with coordination of meetings and discussions and the general administration of the partnerships. For all activities, costs of production of reports and documentation was included in the overall agreement with the implementing partner, or in the budget for conference services as appropriate. The publication budget was intended for any necessary printing of UNEP guidance documents and awareness raising materials: in general, electronic distribution of documents was used to reduce costs.
8. The development of an inventory of mercury sources and releases was seen as an important contribution, and essential to allow a coordinated and effective approach to the main national mercury problems within participating countries. A prioritisation of sources would allow reduction activities to be focused and effective, resulting in the greatest reduction achievable with limited funding. Mercury inventories had already been undertaken under the UNEP mercury programme in Burkina Faso, Cambodia, Chile, Madagascar, Pakistan, Philippines, Syria and Yemen, while other inventories in Latin America had been facilitated by UNITAR. At the time of project development, planning was already underway to undertake four inventories in African countries (Nigeria, the United Republic of Tanzania and two other motivated countries) with funding from the European Commission. It was intended to extend this to up to 21 more countries, subject to available funding. Selection of these countries would be based on advice from the regional office and assessment of country proposals, as well as consideration of expressed regional needs. It is to be noted that no mercury inventories had been carried out in countries from Central and Eastern Europe at the time of project development, and the possibilities for this, as well as further inventories in other regions were to be explored.
9. The need for detailed guidelines on the management of waste containing mercury was been identified as a priority. Work had already been undertaken, in collaboration with the secretariat of the Conference of the Parties of the Convention, to develop a first draft of the waste guidelines. Over the next year, pilot projects were to provide initial input to these guidelines, prior to their finalisation and adoption by the Basel Conference of the Parties (this work was already underway under a project funded by Norway). Following the initial project, additional work to extend the work into other countries and provide additional input into the draft guidelines was undertaken. Priority was to be given to countries which had either participated in the inventory project or who, like Qatar, had undertaken an inventory of mercury uses and releases independently.
10. Addressing mercury supply was a key element of managing the global mercury issue. Preventing additional mercury entering the market place prevents mercury entering the environment, without the expense of waste management. At the time of the project design, only one mine (in Kyrgyzstan) exported mercury to the global marketplace, although there are a number of mines operating in China producing mercury for domestic use. Work had been undertaken in 2008 to address the issue of the mercury mine in Kyrgyzstan. Under this project, it was planned to conduct further work towards closing this mine, including a feasibility study, which was aimed to produce an estimate of the costs involved. This work was to be undertaken in cooperation with UNEP-GRID Arendal and with UNITAR.
11. A pilot project, including gathering additional information on mercury releases and demonstration projects in power plants in a number of developing countries had been developed with support from the EU. The project, involved China, India, Russia and South Africa, and aimed to enhance understanding of how BAT/BEP could be adapted and used at the facility level, give guidance on how to reduce mercury emissions in the context of optimizing multipollutant control techniques, including reduction of greenhouse gas emissions and improved energy efficiency; improve information on mercury emissions, including improving methods for estimating emissions; and promote emission reductions and involvement of the private sector through

targeted projects in large source countries and other related activities. The project was to be undertaken over the next 3 years, commencing early in 2009.

12. The main area where UNEP aimed to focus activities was to raise awareness at the governmental level of the multi-faceted issue of artisanal mining and to establish cooperative actions in governments to address the challenge. Awareness raising activities were to be carried out at the local community level to increase awareness of the human health risks and potential environmental damage associated with the continuation of mining activities. UNEP aimed to support the work of UNIDO on technical issues where possible and ongoing collaboration and communication between the organisations would be a feature of the program. Specific activities planned through the partnership on artisanal and small scaling mining included market strategies via the promotion of 'Green gold', with potential to promote this at the 2010 winter Olympics.

13. Safe long-term storage of mercury has been identified as a priority to enable mercury to be removed from

themarket and managed in an environmentally sound manner. There were a number of proposals for different methods for storage, with both above ground (warehousing) and underground storage advocated. It was recognised that surplus mercury would require storage in the Asian region from around 2017, as by this time supply was expected to exceed demand. Surplus mercury was also expected in the Latin American region, following the closure of mercury-cell chloralkali plants along with decreased demand for mercury in products. Work was therefore planned to develop mechanisms for long-term storage in both of these regions.

14. Within this project, UNEP's Chemicals Branch proposed support for further discussions or negotiations of a framework for mercury within the context of the decision taken by Governing Council at its twenty-fifth session to develop a legally binding instrument. This required intergovernmental meetings to agree to the structure and elements of a framework. It was foreseen that regional consultations would be required throughout this process. The activities budgeted under this project included the development of relevant documents and analyses for consideration by the meeting, as well as conference support and support for the travel of participants to the meeting.

3. Project objectives and components

15. While a full range of activities to address the global mercury challenge were been described within the project framework, the delivery of these was dependent upon availability of funding. Detailed plans for implementation of each were to be developed in consultation with the regional offices, participating, countries and donors.

16. The support for the development of an internationally agreed framework within which future mercury activities was part of this project. Major activities included secretariat support for the negotiating process, the development of technical documents and servicing meetings. At the initial stage, a detailed timeframe and description of the specific activities was not finalized; a number of intergovernmental meetings to be held in order to agree to the framework were anticipated. Table 2, illustrates the Project Framework and the revised outputs throughout the years.

Table 2. Mercury Programme Project Framework

Objective: Reduction of the risks to environment and human health from the anthropogenic releases of mercury					
Outcome: Reduction of anthropogenic releases of mercury					
Outputs¹⁹	Revision of Outputs²⁰	Amended Outputs²¹	Amended Outputs²²	Amended Outputs²³	Amended Outputs²⁴

¹⁹ Original Pro Doc Mercury Programme

²⁰ Project Document Supplement, May 3rd, 2010

²¹ Project Document Supplement May 3rd, 2010

²² Project Document Supplement December 16th, 2010

²³ Project Document Supplement October 21st, 2011

²⁴ Project Document Supplement December 26th, 2012

The Global Mercury Partnership meets agreed performance standards inventories of mercury use and releases in up to 25 countries globally	1. The Global Mercury Partnership meets agreed performance standards	Interim activities as specified in GC 25/5 continuing and enhanced	Interim activities as specified in the GC 25/5 continuing and enhanced		Interim activities as specified in GC 25/5 enhanced
Input provided to guidelines on waste management being developed by the secretariat of the Basel Convention	Input provided to guideline on waste management being developed by the secretariat of Basel Convention Inventories of mercury use and releases in up to 25 country globally				
Target and timetable developed and agreed for closure of the mercury mine in Kyrgyzstan	Target and timetable developed and agreed for closure of the mercury mine in Kyrgyzstan				
Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations	Best available technology and best environmental practice (BAT/BEP) guidelines developed for control of mercury emissions from coal burning power stations				
Decreased use of mercury in artisanal mining	Decreased use of mercury in artisanal mining				
Suitable sites identified for long-term storage of mercury in Asia and Latin America	Suitable sites identified for long term storage of mercury in Asia and Latin America				

<p>Intergovernmental meetings development of a legally binding instrument for the control of mercury</p>	<p>Intergovernmental meetings development of a legal binding instrument for the control of mercury</p>	<p>Documents developed for the first session of the intergovernmental negotiating committee in a timely manner with suitable technical input</p> <p>First session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)</p> <p>Attendance at the first session of the committee of officially nominated delegates from developing countries and countries with economies in transition supported and travel arranged</p> <p>Preparation for the second session of the intergovernmental negotiating committee (to be held 24 to 28 January 2011) commenced to ensure smooth delivery of the session</p>	<p>Documents developed for the second session of the intergovernmental negotiation committee in a timely manner with suitable technical input</p> <p>Second session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated and the provision of interpretation services)</p> <p>Attendance at the second session of the committee of officially nominated delegates from developing countries and countries with economies in transition supported and travel arranged</p> <p>Preparation for the third session of the intergovernmental negotiating committee (to be held late October/early November 2011) commenced to ensure smooth delivery of the session</p>	<p>Travel arranged for the third sessions of the committee of officially nominated delegates from developing countries and countries with economies in transition</p> <p>Third session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)</p> <p>Preparations for the fourth session of the intergovernmental negotiating committee (to be held 25 to 29 June 2012) commenced to ensure smooth delivery of the session</p> <p>Documents developed for the fourth session of the intergovernmental negotiating committee in a timely manner with suitable technical input</p>	<p>Preparations for the fifth session of the intergovernmental negotiating committee (to be held in January 2013) and the conference of plenipotentiaries (October 2013) commenced to ensure smooth delivery of the session.</p> <p>Travel arranged for delegates from developing countries and countries with economies in transition officially nominated to attend the fifth session of the intergovernmental negotiating committee and for the conference of plenipotentiaries</p> <p>Fifth session of the intergovernmental negotiating committee delivered with suitable conference services support (including translated documents and the provision of interpretation services)</p> <p>Conference of plenipotentiaries delivered with suitable conference services support (including translated documents and the provision of interpretation services)</p> <p>Documents developed for the Conference of plenipotentiaries in a timely manner with suitable technical input</p>
--	--	--	---	--	---

4. Executing Arrangements

17. UNEP as the implementing agency (IA), aimed to facilitate the delivery of activities, to provide secretariat support for the work of the intergovernmental negotiating committee and for the working of the partnerships and to encourage the development of ambitious goals in line with the overall partnership objective. This included encouraging partners to move beyond easily achievable targets to identify more challenging targets requiring greater input to meet.

18. Much of the project is *externally executed* by a range of external partners, including non-governmental organizations. DTIE - Chemicals Branch was responsible for overall project management and for overseeing the project progress through the monitoring and evaluation of project activities and progress reports, including technical issues. In relation to servicing the work of the intergovernmental negotiating committee, Chemicals Branch, DTIE provided the services and executed the work, with the support of other divisions of UNEP, along with services contracted to UNON Conference Services.

19. The activities under this project were to be facilitated by communication with stakeholders as appropriate. Within the partnership programme, the prime contact point was expected to be the lead of the relevant partnership area. Contacts were also to include relevant government officials, representatives of non-governmental organizations, industry representatives and academics, as required. Given the structure of the UNEP Global Mercury Partnership full involvement of members of civil society was to play an integral part not only in activities but also in planning and priority setting. For any official intergovernmental activities, the UNEP official contact point were planned to be used as the prime point of contact, while for operational issues, the SAICM Focal Point for the country were to be contacted, to ensure coordination with other elements of the sound management of chemicals at the national level.

20. The involvement of the regional offices and DTIE industry officers during the development of project activities was to be ensured. This aimed to improve cooperation with the regional office and ensure they were aware of activities being undertaken within the project. Their input on country selection, suitable partners within the region, identification of relevant expertise and any other pertinent issues would be sought, particularly with the aim to ensure focused delivery of UNEP activities within specific countries or sub-regions. Extensive discussions were to be held at the development stage for project activities. Country contacts were to be initiated with the assistance of the Regional Director. UNEP aimed to actively communicate with project partners on the progress of the project.

21. Following each group of activities, information exchange was to be done within the region to assist regional officers in advising on the selection of countries for future projects, and with the delivery of implementation activities when projects focusing on capacity building rather than development and pilot testing of guidelines. Where appropriate, this information exchange was to be done at a regional meeting; otherwise, information was to be disseminated through relevant regional mechanisms, such as the SAICM focal points.

22. Given the important role both awareness raising and the dissemination of information would play in moving towards successful negotiations with effective participation of developing countries, communication strategies were to be developed in consultation with DCPI, who were already engaged in developing and launching an updated version of the mercury website.

23. In developing the agreed detailed policy framework to address the mercury challenge, and an agreed mechanism for implementation of these activities, the Chemicals Branch aimed to work closely with the relevant staff from DELC to ensure any such implementation mechanism was consistent with other international legal instruments. Efforts were to be made to ensure delivery in an efficient and effective way, including links with the ongoing discussions on synergies within the chemicals cluster of multilateral environmental agreements.

24. The National Ministries of Environment were expected to be the primary focal points for the implementation of activities at the national level, the organization of inter-agency committees, and the execution of planned activities together with the local governments and national project coordinator. Other ministries, such as the Ministry of Industry and the Ministry of Health were to be involved in relevant discussions.

5. Project Cost and Financing

25. The funds for pre-2010-2011 were made up of contributions from the Governments of Canada, Finland, France, Norway, Spain and Switzerland, as well as from the European Commission. The funds for 2010-2011 were made up of contributions from the Governments of Canada, the Czech Republic, Germany, Norway, Sweden, Switzerland, and United States of America as well as from the Nordic Council of Ministers. The 2011-2012 funds were made up of contribution from the Governments of Sweden, Switzerland, Denmark, Belgium, Germany, Uruguay, Finland, Spain, US Dept of State, Canada, Japan, Norway and France.

Project cost (USD)	Pre 2010	2010-2011	2011-2012
Overall cost to Trust Fund		13,947,000	
Programme Support Cost (13%)		1,813,110	
In-kind Contribution (including UNEP contribution)		1,140,000	
Total		15,760,110	20,661,296

6. Implementation Issues

26. The project was officially closed on 31 December 2014 and it did not undergo an interim mid-term evaluation or assessment of the project.

27. The first project revision, in November 2009, amended the budget by including new contributions. The second revision, dated May 3, 2010, amended the budget by including the new contributions, added new outputs and activities (as it is described in the project framework). Activities, work-plan and respective budget were revised accordingly.

28. The next revision took place on the 16th December 2010, the reasons for this second revision were to introduce the new 2010 financial contributions and the increase in the overall cost of the project. Other revisions included additional Outputs, in activities and changes in the work plan.

29. The fourth revision, dated 21 October 2011, reflected the sub-project account to the various donors and the re-phasing of the unspent balance to 2011 for the continuation of the project's activities, as well as to amend the duration of the project, cost of the project, activities, work plan and timetable and the budget. As per this revision, the project was extended up to 31 December 2013. Cost of the project amounted to 13,957,684 USD.

30. The final revision was dated 26 December 2012. It encompassed the actual 2011 sub-project account cost to the various Donors and the re-phase of the unspent balance to 2011, for the continuation of the project's activities. It also introduced the new contributions and replenishments to the MC TF and the increase to the overall cost of the project. This last revision amended another project extension to 31 December 2014, and the revision of outputs, activities, work plan and budget. Cost of the project after this revision amounted to 20,654,296 USD.

30bis. The revisions allowed the inclusion of the specific activities relating to the negotiations of the global legally binding instrument. The intergovernmental negotiating committee meetings were included in revisions as their approximate dates and locations were identified. Activities relating to mercury releases from coal combustion, mercury storage and mercury containing waste were addressed during the project, as had been flagged during the preparatory phase.

31. During discussion with the PM of the Project the need for the evaluation to focus on the significant challenges related to the activities the mercury mine in Kyrgyzstan emerged. While, at the start of the project, there was optimism from both the government and the mining community that there were possibilities for a shift away from mercury mining as a prime income source, a number of political changes within the country resulted in a swing of policy which was not supportive. Evaluating the impact that these political changes had on the work of the project may contribute to future consideration of how best to take into account a changing

political scene, and how the risks of such political change can be addressed within the project development process. The extent to which actions should be based on a 'safe' political climate could be considered.

32. Two follow on projects are being implemented. The interim secretariat of the Minamata Convention on Mercury has been functioning since October 2013, with the project document formally approved in August 2014. The support for the UNEP Global Mercury Partnership and Mercury Programme is on-going, with the formal project document approved in July 2015.

III. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

33. In line with the UNEP Evaluation Policy²⁵ and the UNEP Programme Manual²⁶, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and main project partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially for the follow up projects which are being implemented.

34. It will focus on the following sets of **key questions**, based on the project's intended outcomes, which may be expanded by the consultants as deemed appropriate:

- a) What is the likelihood that the project will contribute to the reduction of the risks to environment and human health from the anthropogenic releases of mercury.
- b) To what extent has the project succeeded in reducing the anthropogenic releases of mercury? If so, what level of reduction is recorded?
- c) To what extent has the project completed the inventories of mercury use and releases in up to 25 countries globally?
- d) To what extent has the project provided successful inputs which have assisted in the development of the guidelines on waste management being developed by the secretariat of the Basel Convention?
- e) To what extent has the project provided best available technology and best environmental practice BAT/BEP, guidelines developed for control of mercury emission, from coal burning power stations?
- f) To what extent has the project contributed to the decreased use of mercury in artisanal mining?
- g) To what extent has the project identified suitable sites for long-term storage of mercury in Asia and Latin America?
- h) To what extent has the project ensured the success of intergovernmental meetings, as of a legally binding instrument for the control of mercury? If so, what has been the number of meetings and main results?
- i) What lessons can be learned from the political challenges faced Kyrgyzstan?

2. Overall Approach and Methods

35. The Terminal Evaluation of the Project will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Project Manager

²⁵ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

²⁶ http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

and the Sub-programme Coordinators of the UNEP Harmful substances and hazardous waste Sub-programme Sub-programme.

36. It will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. 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.

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

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

- Relevant background documentation, inter alia:
 - Project Document
 - Project Document Supplement, 2010, 2011, 2012
 - Progress Reports
 - Financial Reports
 - UNEP Mid Term Strategy 2010-2013
 - UNEP Programme of Work 2012-2013
- 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.;
- Documentation related to Project outputs
- Evaluations/reviews of similar projects
- Reports of the preparatory meetings, INC 1 – 5, the preparatory conference and the Conference of Plenipotentiaries which are available at:
<http://mercuryconvention.org/Negotiations/History/tabid/3798/Default.aspx>
- Reports of the Partnership Advisory Group meetings which are available at:
<http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/PartnershipAdvisoryGroup/tabid/4536/Default.aspx>
- Reports of the INC bureau which are also available at:
<http://mercuryconvention.org/Negotiations/INCBureau/tabid/3827/Default.aspx>
- The reports of the Partnership Advisory Group also includes reports of the activities of each partnership area, however more detailed information, and publications produced are available on the individual partnership area pages accessible from
<http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/tabid/1253/Default.aspx>.

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

- UNEP Project Manager
- UNEP/DTIE key staff related to this project
- UNEP/DCPI key staff related to this project
- Project management team
- UNEP Fund Management Officer;
- Project partners, including, National Environmental Ministries, Government Officials, SAICM focal point, Inter-agency Committee, civil society, Ministry of Industry and Health, UNITAR, UNEP/GRID Arendal etc.
- Relevant resource persons;

(c) **Field visits:** The evaluator will attend the regional Minimata Convention Central and Eastern Europe meeting in Brno from February 3rd, 4th (and will meet with project staff prior to the meeting on Feb 2nd). He will visit the project headquarters in Geneva on February 15th and will attend the Intergovernmental negotiation committee meeting in Jordan on March 9th and 10th

3. Key Evaluation principles

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

39. The evaluation will assess the project with respect to a **minimum set of evaluation criteria** grouped in six categories: (1) Strategic Relevance; (2) Attainment of objectives and planned result, which comprises the assessment of outputs achieved, effectiveness and likelihood of impact; (3) Sustainability and replication; (4) Efficiency; (5) Factors and processes affecting project performance, including preparation and readiness, implementation and management, stakeholder participation and public awareness, country ownership and driven-ness, financial planning and management, UNEP supervision and backstopping, and project monitoring and evaluation; and (6) Complementarity with the UNEP strategies and programmes. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

40. Ratings. All evaluation criteria will be rated on a six-point scale. Annex 3 provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

41. 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.

42. 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. This means that the consultants need to go beyond the assessment of “*what*” the project performance was, and make a serious effort to provide a deeper understanding of “*why*” the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain “*why things happened*” as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of “*where things stand*” at the time of evaluation.

43. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant should consider how reflection and learning can be promoted, both through the evaluation process and in the communication of evaluation findings and key lessons.

44. Communicating evaluation results. Once the consultant has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant 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.

a. Evaluation criteria

A. Strategic relevance

45. The evaluation will assess, in retrospect, whether the project's objectives and implementation strategies were consistent with global, regional and national environmental issues and needs.

46. The evaluation will also assess the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the SubProgrammes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2010-2013. The magnitude and extent of any contributions and the causal linkages should be fully described.

47. The evaluation should assess the project's alignment / compliance with UNEP's policies and strategies. The evaluation should provide a brief narrative of the following:

- b. *Alignment with the Bali Strategic Plan (BSP)*²⁷. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP BSP.
- c. *Gender balance*. Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance Human Rights & GE?
- d. *Human rights based approach (HRBA) and inclusion of indigenous people's issues, needs and concerns*. Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.
- e. *South-South Cooperation*. This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

48. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups.

B. Achievement of Outputs

49. The evaluation will assess, for each component, the project's success in producing the programmed outputs and milestones as presented in Table 2 above, both in quantity and quality, as well as their usefulness and timeliness.

50. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided

²⁷ <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

under Section F (which covers the processes affecting attainment of project results). Were key stakeholders appropriately involved in producing the programmed outputs?

C. Effectiveness: Attainment of Objectives and Planned Results

51. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.
52. The **Theory of Change** (ToC) of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions). The ToC will also depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further defines the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.
53. The evaluation will reconstruct the ToC of the project based on a review of project documentation and stakeholder interviews. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and/or interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may have been modified / adapted from the original design during project implementation).
54. The assessment of effectiveness will be structured in three sub-sections:
 - (d) Evaluation of the **achievement of outcomes as defined in the reconstructed ToC**. These are the first-level outcomes expected to be achieved as an immediate result of project outputs. For this project, the main question will be to what extent the project has contributed to the immediate outcomes.
 - (e) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach²⁸. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to [intermediate states], and the likelihood that those changes in turn to lead to positive changes in the natural resource base, benefits derived from the environment and human well-being.
 - (f) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document²⁹. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.
 - (g) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which HR and GE were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of HR and GE principles (e.g. new services, greater responsiveness, resource re-allocation, etc.)

²⁸ Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

²⁹ Or any subsequent **formally approved** revision of the project document or logical framework.

D. Sustainability and replication

55. Sustainability is understood as the probability of continued long-term project-derived results and impacts after the external project funding and assistance ends. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of benefits. Some of these factors might be direct results of the project while others will include contextual circumstances or developments that are not under control of the project but that may condition the sustainability of benefits. The evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time. The reconstructed ToC will assist in the evaluation of sustainability, as the drivers and assumptions required to achieve higher-level results are often similar to the factors affecting sustainability of these changes.
56. Four aspects of sustainability will be addressed:
- (h) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders? To what extent has the integration of HR and GE led to an increase in the likelihood of sustainability of project results?
 - (i) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources³⁰ will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
 - (j) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?
 - (k) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?
 - (l) *Relation between poverty and environmental pollution.* To what extent it is expected for the project to contribute to improving the quality of life (by reducing poverty and better living conditions) in the project areas?
 - (m) What anticipated impact is expected on women, who are exposed to a greater extent than men to mercury contamination?
57. **Catalytic role and replication.** The *catalytic role* of UNEP interventions is embodied in their approach of supporting the creation of an enabling environment and of investing in pilot activities which are innovative and showing how new approaches can work. UNEP also aims to support activities that upscale new approaches to a national, regional or global level, with a view to achieve sustainable global environmental benefits. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:
- (n) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;
 - (o) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

³⁰ Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

- (p) contributed to *institutional changes*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;
- (q) contributed to *policy changes* (on paper and in implementation of policy);
- (r) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.;
- (s) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

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

E. Efficiency

59. The evaluation will assess the cost-effectiveness and timeliness of project execution. It will describe any cost- or time-saving measures put in place in attempting to bring the project as far as possible in achieving its results within its (severely constrained) secured budget and (extended) time. It will also analyse how delays, if any, have affected project execution, costs and effectiveness. Wherever possible, costs and time over results ratios of the project will be compared with that of other similar interventions. The evaluation will also assess the extent to which HR and GE were allocated specific and adequate budget in relation to the results achieved.
60. 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. For instance; How the UNEP and UNIDO collaboration to address the challenge of mercury use in mining, and, as part of these collaborations, has been developed into a good working relationship, that builds on the strengths of each organization?

F. Factors and processes affecting project performance

61. **Preparation and readiness.** This criterion focusses on the quality of project design and preparation. Were project stakeholders³¹ adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?
62. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions, the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:
- (t) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
 - (u) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.

³¹ Stakeholders are the individuals, groups, institutions, or other bodies that have an interest or 'stake' in the outcome of the project. The term also applies to those potentially adversely affected by the project.

- (v) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (w) Assess the extent to which project management responded to direction and guidance provided by the UNEP Project Manager and project steering bodies including, inter-agency committee etc.
- (x) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

63. **Stakeholder participation, cooperation and partnerships.** The Evaluation will assess the effectiveness of mechanisms for information sharing and cooperation with other UNEP projects and programmes, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users (such as governments, industry representatives, academics, civil society) of project products. The TOC and stakeholder analysis should assist the evaluators in identifying the key stakeholders and their respective roles, capabilities and motivations in each step of the causal pathways from activities to achievement of outputs, outcomes and intermediate states towards impact. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (y) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (z) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- (aa) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- (bb) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document³²? Have complementarities been sought, synergies been optimized and duplications avoided?
- (cc) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project? This should be disaggregated for the main stakeholder groups identified in the inception report.
- (dd) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning with other organizations and networks? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?
- (ee) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?
- (ff) To what extent have the national consultations in each region have resulted in best approaches for the development of feasibility studies?

64. **Communication and public awareness.** The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report. Did the project identify and make use of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels? The Mercury Partnership Project had as strong communication and public awareness component.

- How successful have been the awareness campaigns in tackling government officials, industry, community groups and health workers' decision making processes on mercury related issues?

³² [If the ProDoc mentions any opportunities for collaboration with other projects and programmes, present these here in the footnote]

- To what extent the public awareness materials have been conducive to the needs of the government official, to industry and to community groups and health workers? How they contributed in raising awareness on the relevant issues? What is their level of accessibility and availability?
 - (gg) **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution and those participating in intergovernmental meetings, Bureau members of the INC., and UNEP Global Mercury Partnership area leads and members of the Partnership Advisory Group
 - (hh) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?
 - (ii) How and how well did the project stimulate country ownership of project outputs and outcomes?
65. **Financial planning and management.** Evaluation of financial planning requires assessment of the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime. The assessment will look at actual project costs by activities compared to budget (variances), financial management (including disbursement issues), and co-financing. The evaluation will:
- (jj) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
 - (kk) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
 - (ll) Present the extent to which co-financing has materialized as expected at project approval (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).
 - (mm) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.
66. Analyse the effects on project performance of any irregularities in procurement, use of financial resources and human resource management, and the measures taken UNEP to prevent such irregularities in the future. Determine whether the measures taken were adequate.
67. **Supervision, guidance and technical backstopping.** The purpose of supervision is to verify the quality and timeliness of project execution in terms of finances, administration and achievement of outputs and outcomes, in order to identify and recommend ways to deal with problems which arise during project execution. Such problems may be related to project management but may also involve technical/institutional substantive issues in which UNEP has a major contribution to make.
68. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:
- (nn) The adequacy of project supervision plans, inputs and processes;
 - (oo) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);
 - (pp) How well did the different guidance and backstopping bodies play their role and how well did the guidance and backstopping mechanisms work? What were the strengths in guidance and backstopping and what were the limiting factors?

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

(qq) *M&E Design.* The evaluators should use the following questions to help assess the M&E design aspects:

- Arrangements for monitoring: Did the project have a sound M&E plan to monitor results and track progress towards achieving project objectives? Have the responsibilities for M&E activities been clearly defined? Were the data sources and data collection instruments appropriate? Was the time frame for various M&E activities specified? Was the frequency of various monitoring activities specified and adequate?
- How well was the project logical framework (original and possible updates) designed as a planning and monitoring instrument?
- SMART-ness of indicators: Are there specific indicators in the logframe for each of the project objectives? Are the indicators measurable, attainable (realistic) and relevant to the objectives? Are the indicators time-bound?
- Adequacy of baseline information: To what extent has baseline information on performance indicators been collected and presented in a clear manner? Was the methodology for the baseline data collection explicit and reliable? For instance, was there adequate baseline information on pre-existing accessible information on global and regional environmental status and trends, and on the costs and benefits of different policy options for the different target audiences? Was there sufficient information about the assessment capacity of collaborating institutions and experts etc. to determine their training and technical support needs?
- To what extent did the project engage key stakeholders in the design and implementation of monitoring? Which stakeholders (from groups identified in the inception report) were involved? If any stakeholders were excluded, what was the reason for this? Was sufficient information collected on specific indicators to measure progress on HR and GE (including sex-disaggregated data)?
- Arrangements for evaluation: Have specific targets been specified for project outputs? Has the desired level of achievement been specified for all indicators of objectives and outcomes? Were there adequate provisions in the legal instruments binding project partners to fully collaborate in evaluations?
- Budgeting and funding for M&E activities: Determine whether support for M&E was budgeted adequately and was funded in a timely fashion during implementation.

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

- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
- Progress reports were prepared (the realism of the Task Manager's assessments will be reviewed)
- Half-yearly Progress & Financial Reports were complete and accurate;
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

G. The Consultants' Team

70. For this evaluation, the evaluation team will consist of one Consultant. Details about the specific roles and responsibilities of the Consultant are presented in Annex 1 of these TORs. The Consultant should have extensive evaluation experience, including of large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making. The Consultant will have a solid environmental education and professional experience; adequate monitoring and evaluation experience; and experience in managing partnerships, knowledge management and communication.

71. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. The consultant will ensure together that all evaluation criteria and questions are adequately covered.
72. By undersigning the service contract with UNEP/UNON, the consultant certify that he/she 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.

H. Evaluation Deliverables and Review Procedures

73. The evaluation team will prepare an **inception report** (see Annex 2(a) of TORs for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.
74. It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):
 - Strategic relevance of the project
 - Preparation and readiness;
 - Financial planning;
 - M&E design;
 - Complementarity with UNEP strategies and programmes;
 - Sustainability considerations and measures planned to promote replication and up-scaling.
75. The inception report will present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.
76. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the Project document and discussion with the project team. See annex 2 for template.
77. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.
78. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons. A template for this has been provided in Annex?.
79. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.
80. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.
81. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents

outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

82. **Review of the draft evaluation report.** The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the Project Manager, who will alert the EO in case the report would contain any blatant factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders, in particular the partnership area leads, and the INC bureau members 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. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.
83. The Consultant will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.
84. **Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the Evaluation Office. The Evaluation Office will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. Specifically,

Ms. [Ligia Noronha](mailto:ligia.noronha@unep.org) (ligia.noronha@unep.org)
UNEP Division of Technology, Industry and Economics
15 Rue de Milan
75009 Paris, France
Tel: +33 (1) 44 37 46 92
Fax: +33 (1) 44 371474

Mr. Jacob Duer, Principal Coordinator of the interim secretariat of the Minamata Convention on mercury (jacob.duer@unep.org)
International Environment House
15 Chemin des Anemones
1219 Chatelaine (GE), Switzerland
Tel: +41 (22) 917 8217
Fax: +41 (22) 917 8076

Mr. Achim Halpaap, Chemicals Branch Head (achim.halpaap@unep.org)
International Environment House
15 Chemin des Anemones
1219 Chatelaine (GE), Switzerland
Tel: +41 (22) 917 8183
Fax: +41 (22) 917 8076

copy to :

Ms. Sheila Logan, Programme Officer, interim secretariat of the Minamata Convention,
Chemicals Branch (sheila.logan@unep.org)
International Environment House
15 Chemin des Anemones
1219 Chatelaine (GE), Switzerland

Tel: +41 (22) 917 8511

On Fund, financial and budgetary matters to:

Mr. Theresa Panuccia, Chief: Corporate Services Section (Theresa.Pannuccia@unep.org)

UNEP

P.O. Box 67578

Nairobi, Kenya

Tel: +254 (20) 62 3637

Fax: +254 (20) 62 3755

Mr. Michael Evteev, OIC Administrative Services Section (MichaeJ.EVTEEV@unep.ch)

International Environment House

IS Chemin des Anemones

1219 Chatelaine (GE), Switzerland

Tel: +41 (22) 917 8267

Fax: +41 (22)9178076

copy to:

Ms. Erika Mattson, Chemicals Branch Administrative Officer (erika.mattson@unep.org)

International Environment House

IS Chemin des Anemones

1219 Chatelaine (GE), Switzerland

Tel: +41 (22) 917 82 59

FAX: +41 (22) 797 34 42

85. The final evaluation report will be published on the UNEP Evaluation Office web-site www.unep.org/eou.
86. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultants. The quality of the report will be assessed and rated against the criteria specified in Annex 3.
87. The UNEP Evaluation Office will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultants and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP Evaluation Office on project ratings, both viewpoints will be clearly presented in the final report. The UNEP Evaluation Office ratings will be considered the final ratings for the project.
88. 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. After reception of the Recommendations Implementation Plan, the Project Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a Terminal Evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

I. Logistical arrangements

89. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant' individual responsibility to arrange for their travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP 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.

J. Schedule of the evaluation

90. Table 7 below presents the tentative schedule for the evaluation.

Table 7. Tentative schedule for the evaluation

Milestone	Deadline
Document review and preparation of inception report	January
Regional meeting Brno	Feb 2 - 4
Visit to project team in Geneva	Feb 15
Telephone interviews, surveys etc.	February
Attendance of INC meeting Jordan	March 8-11
Note on preliminary findings and recommendations	March 25
Zero draft report	End of March
Draft Report shared with UNEP Project Manager	April 8
Draft Report shared with project team	April 8
Draft Report shared with stakeholders	April 15 (allow two weeks for feedback)
Final Report	May 6

Annex III: Bibliography

A desk review of:

Relevant background documentation, inter alia:

- Project Document
- Project Document Supplements, 2009, 2010, 2010, 2011, 2012
- Progress Reports
- Financial Reports
- UNEP Mid Term Strategy 2010-2013
- UNEP Programme of Work 2012-2013

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.;

Documentation related to Project outputs

Evaluations/reviews of similar projects

Reports of the preparatory meetings, INC 1 – 5, the preparatory conference and the Conference of Plenipotentiaries are available at:

<http://mercuryconvention.org/Negotiations/History/tabid/3798/Default.aspx>

Reports of the Partnership Advisory Group meetings are available at:

<http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/PartnershipAdvisoryGroup/tabid/4536/Default.aspx>

Reports of the INC bureau are also available at:

<http://mercuryconvention.org/Negotiations/INCBureau/tabid/3827/Default.aspx>

The reports of the Partnership Advisory Group also includes reports of the activities of each partnership area, however more detailed information, and publications produced are available on the individual partnership area pages accessible from

<http://www.unep.org/chemicalsandwaste/Mercury/GlobalMercuryPartnership/tabid/1253/Default.aspx>.

Interviews (individual or in group) with:

- UNEP Project Manager
- UNEP/DTIE key staff related to this project
- UNEP/DCPI key staff related to this project
- Project management team
- UNEP Fund Management Officer;
- Project partners, including, National Environmental Ministries, Government Officials, SAICM focal point, Inter-agency Committee, civil society, Ministry of Industry and Health, UNITAR, UNEP/GRID Arendal etc.
- Relevant resource persons;

Annex IV: Global Mercury Partnership Partners

Governments - Intergovernmental Organisations - Non Governmental Organisations - Others

Governments

- Burkina Faso
- Cambodia
- Canada
- Côte d'Ivoire
- Czech Republic
- Georgia
- Germany
- Iraq
- Italy (Italian National Research Council (CNR) - Institute for Atmospheric Pollution)
- Liberia
- Madagascar
- Malawi
- Mali
- Mexico
- Nigeria
- Norway
- Papua New Guinea - Mineral Resources Authority
- Philippines
- Portugal
- Senegal
- Slovenia
- Spain
- Switzerland
- Syrian Arab Republic
- Tanzania
- United States of America
- Uruguay

Intergovernmental Organisations

- Basel Convention
- Basel Convention Regional Centre for Asia and the Pacific
- Basel and Stockholm Conventions Regional Centre for francophone countries in Africa
- European Commission
- United Nations Development Programme (UNDP)
- United Nations Industrial Development Organization (UNIDO)
- United Nations Institute for Training and Research (UNITAR)
- World Health Organization (WHO)

Non Governmental Organisations

- Asociación Argentina de Médicos por el Medio Ambiente (AAMMA)
- Action d'Etude et de Valorisation de l'Environnement (ACEVE)
- Association for Responsible Mining (ARM)
- Artisanal Gold Council
- Association d'Etude et de mise en valeur des Ressources Naturelles et des Institutions (ASERNI)
- Associazione Malttie da Intossicazione Cronica e/o Ambientale (A.M.I.C.A)
- Balifokus
- Ban Toxics
- BioDiversity Research Institute
- Blacksmith Institute
- Brooks Rand Instruments
- Centre for Environment Justice and Development (CEJAD)
- Centre de Recherche et d'Education pour le Développement (CREPD)
- Center for Environmental Governance - Ghana
- Centre pour l'Environnement et le Développement RDC
- Centre for Public Health and Environmental Development (CEPHED)
- Centre for Science and Environment
- Community Foundation

- Consumers for Dental Choice
- Day Hospital Institute for Development & Rehabilitation (DHIDR - Egypt)
- Diálogos
- Earthworks
- Ecological Restorations
- Education for All in Africa (EDUCAF)
- Environmental Health Council
- Environmental Law Institute
- Environment, Health and Disaster Management Initiative (EHDMI)
- European Lamp Companies Federation (ELC)
- Grupo Parques Nacionales Panamá / Alianza Contaminación Cero
- Health Care Without Harm
- International Academy of Biological Dentistry and Medicine (IABDM)
- International Academy of Oral Medicine and Toxicology
- International Federation of Dental Educators and Associations (IFDEA)
- International POP's Elimination Network (IPEN)
- Informer, Sensibiliser, Eduquer sur les Polluants Organiques Persistants en Cote d'Ivoire (ISE-POPS-CI)
- International Commission on Geosciences for Environmental Management (GEM), a commission of the International Union of Geosciences (IUGS)
- International Society of Doctors for the Environment (ISDE)
- Kyrgyz Mining Association
- Lumencor
- MERCURIADOS
- Mercury Dentistry Free India (OSVSWA)
- Natural Resources Defense Council (NRDC)
- New World Hope Organization (NWHO)
- Occupational Knowledge International (OK International)
- Pollution control Association of Liberia
- Pollution Probe
- Pro-Biodiversity Conservationists in Uganda (PROBICUO)
- Responsible Jewellery Council
- Safe Minds
- Society of Environmental Toxicology and Chemistry (SETAC)
- Solidaridad
- Sustainable Development Policy Institute (SDPI)
- The Money Stone
- Uganda Network on Toxic Free Malaria Control (UNETMAC)
- World Chlorine Council
- World Dental Federation (FDI)
- World Medical Association (WMA)
- Young Naturalist Network
- Zero Mercury Working Group
- Zoï environment network

Others

- Albemarle
- ARCADIS US, Inc.
- Association of Lighting and Mercury Recyclers (ALMR)
- Bromine Science Environmental Forum (BSEF)
- Cabot Corporation
- Cardno ENTRIX
- CASIO
- CETAC Technologies
- Chungnam National University
- Dartmouth College
- Department of Toxicology Faculty of Chemical Science and Pharmacy (USAC)
- Econ Industries GmbH
- EERC (Energy & Environmental Research Center) University of North Dakota)
- Encinal Resources
- Environmental Visual Artist

- Estelle Levin Ltd
- Geological Survey of Denmark and Greenland
- Geological Survey USA
- GEOMIN
- Great Lakes Solutions
- Hazardous Waste Europe
- Hg. Recoveries Pty. Ltd.
- IEA - Clean Coal Centre
- Illinois Institute of Technology Herek L. Clack
- Institute for Combustion Science and Environmental Technology (ICSET)
- International Association for Dental Research (IADR)
- International Dental Manufacturers (IDM)
- Instituto Nacional Del Carbon (INCAR)
- Investhill Group
- Lehigh University Energy Research Center
- Lextran
- Lowell Center for Sustainable Production (UMASS)
- McGill University
- Macquarie University
- MineResearch
- NALCO, An Ecolab Company
- National Atmospheric Deposition Program
- Niksa Energy Associates (NEA)
- Nomura Kohsan co., LTD.
- OIKON - Institute for Applied Ecology
- Peerless Green Initiatives
- Rayovac
- Reaction Engineering International
- Sang-Joon Yoo
- Scientific Research Institute for Atmospheric Air Protection
- South African Weather Service (SAWS)
- S&P Trading
- State Key Laboratory of Coal Combustion - Huazhong University of Sciences and Technology
- Syracuse University - Department of Civil and Environmental Engineering
- Transparence S.A.
- Tsinghua University
- TÜV Theinland Immissionsschutz und Energiesysteme GmbH Vosteen Consulting GmbH
- University of Stuttgart - IFK
- Umwelt Technik Meatllrecycling (UTM)
- V.L. Natarajan
- Vosteen Consulting GmbH Germany
- World Coal Association
- Yonsei University

Annex V: Key evaluation questions:

These questions were sent to main stakeholders by e-mail and discussed with project people during the stay in Geneva. Due to the overlaps with other UN meeting in Geneva in this time, where a lot of project people had to participate, the main part of question were answered by e-mails.

To all groups of stakeholders:

- What was your role/position in the project?
- Please give a brief description of the main project – goals, results, problems?
- In what ways did you as a project stakeholder affect (positively or negatively) the project design and results? (Please give a brief specific example of each).
- Can you describe how the economic, social and environmental impacts to the key stakeholders were identified, with particular reference to the most vulnerable groups?
- In what ways have the specific roles and responsibilities of the key stakeholders been would you say documented in relation to project delivery and effectiveness?
- In what ways and what extent would you say that the project is on track to achieve its goal of overcoming the existing global, regional and national environmental problems in the reducing possible mercury risks of their appearance, taking into account the influence of such threats and potential remedies on both regional and global levels?
- In what ways, and what extent has a process have been followed that ensues to prepare and adopt a strategic action programme that creates the enabling conditions and identifies the necessary actions required to improve the environmental situation concerning to elimination of mercury sources and reduction of mercury emissions, releases, wastes and environmental contamination?
- Could you described the main assumptions and drivers affected the project progress from outcomes to income?
- What is the likelihood that the project will contribute to the reduction of the risks to environment and human health from the anthropogenic releases of mercury.
- To what extent has the project succeeded in reducing the anthropogenic releases of mercury? If so, what level of reduction is recorded?
- To what extent has the project completed the inventories of mercury use and releases in up to 25 countries globally?
- To what extent has the project provided successful inputs which have assisted in the development of the guidelines on waste management being developed by the secretariat of the Basel Convention?
- To what extent has the project provided best available technology and best environmental practice BAT/BEP, guidelines developed for control of mercury emission, from coal burning power stations?
- To what extent has the project contributed to the decreased use of mercury in artisanal mining?
- To what extent has the project identified suitable sites for long-term storage of mercury in Asia and Latin America?
- To what extent has the project ensured the success of intergovernmental meetings, as of a legally binding instrument for the control of mercury? If so, what has been the number of meetings and main results?
- What lessons can be learned from the political challenges faced Kyrgyzstan?

To UN and project people:

- Did you participate in the design stages of the project and did their involvement influence the project design?
- Can you describe if the project on track to achieve its goal of overcoming the existing global, regional and national environmental problems in the reducing possible mercury risks of their appearance, taking into account the influence of such threats and potential remedies on both regional and global levels?
- In what ways did the project contributed to implementation of the principal international mercury convention?
- Describe if the progress been made in developing a partnership mechanism to objectively measure effects of investment initiatives and management actions?
- Could you described the main factors affecting project performance (supervision, financial management etc).

To the governments:

- Can you describe the country feedback of the project mainly from the point of view of the effectiveness of the project results implementation?
- Can you describe the involvement of national authorities, industry, academia, NGO?
- Did you participate in the design stages of the project and did their involvement influence the project design?
- Is the project on track to achieve its goal of overcoming the existing global, regional and national environmental problems in the reducing possible mercury risks of their appearance, taking into account the influence of such threats and potential remedies on both regional and global levels?
- Do you think that the progress been made in developing a partnership mechanism to objectively measure effects of investment initiatives and management actions?
- Do you think that an effective regional/national coordination mechanism was established and functioning?
- What are you able to to the effective implementation of the project measures in your country?

To NGO:

- In what ways the project contributed to implementation of the principal international mercury convention?
- Do you think that the progress been made in developing a partnership mechanism to objectively measure effects of investment initiatives and management actions?
- Do you think that an effective regional/national coordination mechanism established and functioning?

To academia:

- Can the project results contribute to effective and efficient mercury problems elimination based on the scientific and technical knowledge and analysis?
- In what ways the actions should the project take to improve the efficiency and effectiveness of this process?
- Can you describe the main problems in the case of research, monitoring and technical solution of mercury problems

Annex VI: Brief CVs of the consultant

CURRICULUM VITAE

Prof. RNDr. Ivan H O L O U B E K, CSc.

RECETOX

Research Centre for Toxic Compounds in the Environment

Masaryk University

Kamenice 126/3, 625 00 Brno, Czech Republic

Tel: +420 549 491 475; Mobile: +420 602 753 138; Fax: +420 549 492 840

E-mail: houloubek@recetox.muni.cz; tocoen@tocoen.cz, <http://recetox.muni.cz/> ;
<http://www.tocoen.cz/>



Curriculum vitae

Date of birth: April 11, 1951
Private address: Vomáčkova 168/16, 619 00 Brno, Czech Republic
Phone: + 420 602 753 138
Nationality: Czech
Civil status: divorced

Educational training:

1975 - Organic Chemistry, Purkyně University, Brno, CR
1977 - MSc. - Analytical Chemistry, Purkyně University, Brno, CR
1987 - PhD. - Ecology - Charles University, Praha, CR
1990 - Assoc. Prof. - Environmental Sciences, Charles University, Praha, CR
1998 - Prof. - Environmental Chemistry, Technical University Brno, CR

Employment:

1976 - Water Research Institute, Brno, technical assistant
1977 - Department of Organic Chemistry, Purkyně University, Brno, Assistant Professor
1983 - Department of Environmental Studies, Purkyně University (from 1990 Masaryk University)
1990 - Head of Department of Environmental Studies, Masaryk University, Brno (from 1995 – Department of Environmental Chemistry and Ecotoxicology)
From 1993 – until now - Director of TOCOEN, s.r.o.
From 1994 – until now - Director of RECETOX (Research Centre for Environmental Chemistry and Ecotoxicology, Masaryk University Brno, CR, from 2010 – The Research Centre for Toxic Compounds in the Environment)
1995 - Project Manager of EU PHARE Project EU/Air/21
1997 – 1998 - Expert for Risk Assessment, PHARE Programme „Air Pollution Monitoring of Slovakia“, EU/Air/22
1997 - Co-ordinator of Consortium RECETOX - TOCOEN & Associates
2001 - 2002 - Regional co-ordinator of UNEP Chemicals/GEF Project “Regionally-based Assessment of Persistent Toxic Substances - Region 3 – Europe

2002 - 2004 - National Co-ordinator of UNIDO/GEF Project “Enabling activities to facilitate early action in the implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs Convention) in Czech Republic“
2004 – until now – reviews for WB, GEF, UNEP
From 2006 – 2012 - Director of the Czech National POPs Centre
From 2005 – 2012 - Director of the Central and Eastern European Regional POPs Centre
2013 – 2015 - Technical Assistance for “Implementation of the Persistent Organic Pollutants Regulation” in Turkey. TR2010/0327.03-01/001 - EuropeAid/132428/D/SER/TR – Team leader, key expert

Qualification:

Environmental Chemist

Language skills:

English, Russian

Educational topics:

Environmental Chemistry, Ecotoxicology, Chemical Ecotoxicology, Risk Analysis, Monitoring Systems, Environmental Impact Assessment

Research activities:

The fate of persistent organic pollutants in the environment, environmental impact assessment, risk analysis - ecological risk assessment, environmental technologies, remediation

Areas of expertise:

Environmental chemistry, chemical ecotoxicology, human and ecological risk assessment and analyses, environmental monitoring and assessment, environmental impact assessment, emission, releases and contaminated sites inventories, environmental technologies, BAT/BEP development and application, remediation – all with the special focus on persistent toxic substances; national implementation plans for the Stockholm Convention development and evaluation, development and application the Stockholm Convention on POPs and Minamata Convention tools (BAT/BEP guidelines, Toolkits on UPOPs and Hg, POPs and Hg monitoring, emission, releases and contaminated sites inventories).

Publication:

28 books or book chapters, 8 textbooks, over 1 000 scientific papers, conference contributions, research and technical reports.

Cumulative IF = 298; number of IF papers: 129; number of citation: 2 392; h-index: 30

Grants 1993-2016:

USA (1), Canada (1), EC (3), Belgium (1), Ministry for Environment Czech Republic (15), Ministry for Education (15), Czech Grant Agency (6), UN (15), NATO (1)

The most relevant international project:

1994 – 1995 - EU PHARE Project EU/Air/21.
2001 – 2002 - Regionally Based Assessment of Persistent Toxic Substance - European Regional Report. UNEP Chemicals. Project GF/CP/4030-00-20, subproject: GF/XG/4030-00-86.
2002 – 2004 - Project GF/CEH/01/003: Enabling activities to facilitate early action in the implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs Convention) in Czech Republic.
2002 – 2005 - EC DG Research 5th Framework Programme - Centre of Excellence for Environmental Chemistry and Ecotoxicology.
2002 – 2005 - EC DG Research 5th Framework Programme – Project APOPSBAL - Assessment of the selected POPs (PCBs, PCDDs/Fs, OCPs) in the atmosphere and water ecosystems from the waste materials generated by warfare in former Yugoslavia.
2005 – 2008 - EC DG Research 6th Framework Programme – Project ECODIS - Dynamic Sensing of Chemical Pollution Disasters and Predictive Modelling of their Spread and Ecological Impact.
2001 – 2002 - Polar Programme Norway - Expedition Svalbard - The Photochemistry of PBT Compounds in Ice.
2007 – 2011 - Project Account No: SC/4030-06-01 - Measurements of POPs concentration in ambient air in two UN regions: Africa and Central and Eastern Europe.
2005 – until now – MONET - Monitoring of persistent organic pollutants in ambient air of the Czech Republic, Central and Eastern Europe, Central Asia, Africa and Pacific Islands.

- 2013 – 2015 - Technical Assistance for “Implementation of the Persistent Organic Pollutants Regulation” in Turkey. TR2010/0327.03-01/001 - EuropeAid/132428/D/SER/TR – Team leader, key expert
- 2015 – 2016 - NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan, UNDP, expert, international experts
- 2015 – 2017 - Environmentally Sound Management and Final Disposal of Polychlorinated Biphenyls (PCBs), UNIDO, international expert, consultant

Expertise:

UNEP/Stockholm Convention:

- 2001 - 2002 - Regional co-ordinator of UNEP Chemicals/GEF Project “Regionally-based assessment of Persistent Toxic Substances - Region 3 – Europe
- 2005 - 2014 – member of POPs Review Committee, SC
- 2005 - 2016 – member of BAT/BEP expert group, SC
- 2006 - 2007 – chair of Ad hoc Technical working group on the effectiveness evaluation of the SC on POPs
- 2007 – until now – Chair of Regional Organisation Group for the evaluation of the POPs monitoring in the Central and Eastern Europe and Central Asia and member of Global Co-ordination Group for the Global POPs monitoring
- 2012 - UNEP/SSC project Pilot testing of guidance documents for the review and updating of national implementation plans in Serbia
- 2015 – 2017 – member of the Effectiveness evaluation expert group of the Stockholm Convention

GEF:

- 2009 - Analysis of Scientific and Technical Aspects of the Stockholm Convention NIP Inventories

UN/ECE:

- 1991 – 1994 - Member of Task Force on Persistent Organic Pollutants
- 1993 - 1998 - Member of Task Force on Emission Inventories
- 1995 – 1997 - Member of Ad Hoc Preparatory Working Group on Persistent Organic Pollutants
- 2000 – until now - Member of Task Force on Measurement and Modeling
- 2006 – until now - Task Force on Hemispheric Modeling

UNIDO:

- 2002 - 2004 - National Co-ordinator of UNIDO/GEF Project “Enabling activities to facilitate early action in the implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs Convention) in Czech Republic“
- 2003 - 2015 - UNIDO/GEF Projects “Enabling activities to facilitate early action in the implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs Convention) in Armenia, Croatia, Egypt, Hungary, Macedonia, Oman, Serbia and Montenegro, Slovakia, Bosnia and Herzegovina, Maldives, Seychelles, Serbia - training courses, development and upgrade of the NIPs
- 2015 – 2017 – International expert on PCBs, of the project “Environmentally Sound Management and Final Disposal of Polychlorinated Biphenyls (PCBs)”, GEF Project ID: 4386, GEF Agency Project ID: 140 124

UNDP:

- 2008 – Consultant of the project Preparation of Study on Establishment of an Efficient and Sustainable System for Pesticide Packaging Waste Management in the Prespa Region, Republic of Macedonia.
- 2011-12 – Expert of the project Transfer of the best Czech experience in the field of design and execution of PCB Management to Kyrgyz national and local experts
- 2011-12 - RFP 2011/18 – Transfer of best Czech experiences in the field of design and execution of a comprehensive PCB management plan for Kazakhstan
- 2012 - Provision of services for POPs dumpsite detailed assessment, correction volume of non-soil mixed obsolete POPs pesticides stockpile and development of long-term site remediation plan on Iagluja Mountain in Marneuli Municipality of Georgia
- 2015 - The international expert on the mercury and National Implementation Plan of Stockholm Convention on persistent organic pollutants (POPs) and capacity building on POPs and mercury within the frameworks of

UNDP/GEF Project “NIP update, integration of POPs into national planning and promoting sound healthcare waste management in Kazakhstan”

Other expert activities:

2002-2003 – head of governmental expert group for the evaluation of the contamination of Spolana Neratovice surroundings by polychlorinated dibenzo-p-dioxins, dibenzofurans and biphenyls after floods in 2002.
 1997 – 1998 - Expert for Risk Assessment, PHARE Programme „Air Pollution Monitoring of Slovakia“, EU/Air/22
 1995 - Project Manager of EU PHARE Project EU/Air/21
 2005 – up to now – member of the Environmental Committee of the Presidium of Academy of Science, CR
 2007 – up to now – member of National committee for environmental impact assessment
 2009 – up to now - member of the Board for chemical safety CR
 Person responsible for the environmental impact assessment based on the Czech Act No.244/1992

Scientific visits:

1988 – 2015 – more than 400 short time stays (5 days - 4 month)

Memberships in scientific organisation and institutions:

UN/ECE – member of the Task Force on Persistent Organic Pollutants, Task Force on Emission Inventory, Ad Hoc Preparatory Working Group on Persistent Organic Pollutants, Task Force on Measurements and Modelling
 UNEP/Stockholm Convention – regional experts group, regional co-ordinator of UNEP/GEF Regionally Based Assessment of PTS Project, member of POPs Review Committee, member of BAT/BEP Expert Group, chair of the Ad hoc Technical Working Group on Effectiveness Evaluation of the Stockholm Convention on Persistent Organic Pollutants, co-ordinator of the Central and Eastern European Regional Organisation Group Society for Risk Analysis, SETAC - Society of Environmental Chemistry and Toxicology, SECOTOX - Society of Ecotoxicology and Chemical Safety (member of CEEC regional committee)
 Chairman of Czech Society for Environmental Chemistry and Ecotoxicology
 Member of editorial board of Environmental Science and Pollution Research, Fresenius Environmental Bulletin, Acta Hydrobiologica et Hydrochimica, Chemosphere

Language skills: Indicate competence on a scale of 1 to 5 (1 - excellent; 5 - basic)

Language	Reading	Speaking	Writing
Czech	1	1	1
English	1	1	1
Russian	2	2	4

Summary of key qualifications:

Qualifications and skills

University professor in the field of environmental chemistry and technology, Ph.D. (CSc.) in the field of ecology

General Professional experience

Over 30 years of professional experience in the field of environment, chemistry and biology including extensive managerial experience.

Specific professional experience

Extensive professional experience (more than 15 years) in the implementation of the EU legislation on Chemicals, Waste, IPPC. As a Director of the Czech National POPs Centre involved in the implementation of EU chemicals Legislation and Directives relevant for POPs. As a Director of the Central and Eastern European Regional POPs Centre responsible for the implementation of the Stockholm Convention on POPs in the Czech Republic, including preparation and conclusion to the Czech legislation in a context of EU Law and Directive requirements. As a member of the BAT/BEP group involved in the implementation of EU Chemical and IPPC Directives. Supported Czech Republic and other countries in the implementation of relevant legislation related to POPs.

Unique and vast experience in POPs Regulation and Stockholm Convention (over 20 years). Prof. Holoubek was responsible for the implementation of the Stockholm Convention on POPs in the Czech Republic from 2001 until now. He was responsibile for preparation of the Czech National Implementation Plan and supported numerous countries in preparation of NIP documents, monitoring of POPs, legal and methodological support, research and studies. More than 20 years of experience in leading international and national projects (ca 25 – PHARE, EU Framework Programs, UN), scientific teams and expert groups mainly on the UN level. Extensive experience in the implementation of EU funded projects (Phare, EU Framework Programmes), at the managerial positions (project coordinator, project manager, leader of various working groups).

Annex VII: Quality Assessment of the Evaluation Report and Process

Evaluation Title:

Terminal Evaluation of Global Mercury Partnership
--

All UNEP evaluations are subject to a quality assessment by the Evaluation Office. The quality assessment is used as a tool for providing structured feedback to the evaluation consultants.

The quality of both the draft and final evaluation report is assessed and rated against the following criteria:

	UNEP Evaluation Office Comments	Draft Report Rating	Final Report Rating
Substantive report quality criteria			
A. Quality of the Executive Summary: Does the executive summary present the main findings of the report for each evaluation criterion and a good summary of recommendations and lessons learned? (Executive Summary not required for zero draft)	Draft report: Some restructuring/completion needed Final report:	4	5
B. Project context and project description: Does the report present an up-to-date description of the socio-economic, political, institutional and environmental context of the project, including the issues that the project is trying to address, their root causes and consequences on the environment and human well-being? Are any changes since the time of project design highlighted? Is all essential information about the project clearly presented in the report (objectives, target groups, institutional arrangements, budget, changes in design since approval etc.)?	Draft report: Adequate contextual information provided Final report:	4	5
C. Strategic relevance: Does the report present a well-reasoned, complete and evidence-based assessment of strategic relevance of the intervention in terms of relevance of the project to global, regional and national environmental issues and needs, and UNEP strategies and programmes?	Draft report: Final report:	4	5
D. Achievement of outputs: Does the report present a well-reasoned, complete and evidence-based assessment of outputs delivered by the intervention (including their quality)?	Draft report: Final report:	4	5
E. Presentation of Theory of Change: Is the Theory of Change of the intervention clearly presented? Are causal pathways logical and complete (including drivers, assumptions and key actors)?	Draft report: No narrative provided Final report: No narrative provided and no discussion of drivers and assumptions	2	3
F. Effectiveness - Attainment of project objectives and results: Does the report present a well-reasoned, complete and evidence-based assessment of the achievement of the relevant outcomes and project objectives?	Draft report: The effectiveness of the project is not discussed in depth Final report: RotI approach used	3	4

G. Sustainability and replication: Does the report present a well-reasoned and evidence-based assessment of sustainability of outcomes and replication / catalytic effects?	Draft report: Final report:	4	5
H. Efficiency: Does the report present a well-reasoned, complete and evidence-based assessment of efficiency? Does the report present any comparison with similar interventions?	Draft report: Final report:	4	4
I. Factors affecting project performance: Does the report present a well-reasoned, complete and evidence-based assessment of all factors affecting project performance? In particular, does the report include the actual project costs (total and per activity) and actual co-financing used; and an assessment of the quality of the project M&E system and its use for project management?	Draft report: Minimal financial information and analysis provided Final report: Minimal financial information and analysis provided	3	3
J. Quality of the conclusions: Do the conclusions highlight the main strengths and weaknesses of the project, and connect those in a compelling story line?	Draft report: There was need to sort out lessons and recommendations for the conclusion Final report:	3	5
K. Quality and utility of the recommendations: Are recommendations based on explicit evaluation findings? Do recommendations specify the actions necessary to correct existing conditions or improve operations ('who?' 'what?' 'where?' 'when?'). Can they be implemented?	Draft report: Final report:	3	5
L. Quality and utility of the lessons: Are lessons based on explicit evaluation findings? Do they suggest prescriptive action? Do they specify in which contexts they are applicable?	Draft report: Final report:	3	5
Report structure quality criteria			
M. Structure and clarity of the report: Does the report structure follow EO guidelines? Are all requested Annexes included?	Draft report: Final report:	4	5
N. Evaluation methods and information sources: Are evaluation methods and information sources clearly described? Are data collection methods, the triangulation / verification approach, details of stakeholder consultations provided? Are the limitations of evaluation methods and information sources described?	Draft report: No description of evaluation methods provided Final report: No description of evaluation methods provided. List of those consulted included.	3	3
O. Quality of writing: Was the report well written? (clear English language and grammar)	Draft report: Editing required Final report:	3	4
P. Report formatting: Does the report follow EO guidelines using headings, numbered paragraphs etc.	Draft report: Final report:	5	5

OVERALL REPORT QUALITY RATING	3.5	4.5
--------------------------------------	-----	-----

The quality of the evaluation process is assessed at the end of the evaluation and rated against the following criteria:

	UNEP Evaluation Office Comments	Rating
Evaluation process quality criteria		
Q. Preparation: Was the evaluation budget agreed and approved by the EO? Was inception report delivered and approved prior to commencing any travel?	<i>Due to staff changes the evaluation process was managed by more than one evaluation officer and knowledge of the whole process is fragmented so detailed answers cannot be provided. Overall the process is rated as Moderately Satisfactory by the Evaluation Manager who completed the process.</i>	N/A
R. Timeliness: Was a TE initiated within the period of six months before or after project completion? Was an MTE initiated within a six month period prior to the project's mid-point? Were all deadlines set in the ToR respected?		N/A
S. Project's support: Did the project make available all required documents? Was adequate support provided to the evaluator(s) in planning and conducting evaluation missions?		N/A
T. Recommendations: Was an implementation plan for the evaluation recommendations prepared? Was the implementation plan adequately communicated to the project?		N/A
U. Quality assurance: Was the evaluation peer-reviewed? Was the quality of the draft report checked by the evaluation manager and peer reviewer prior to dissemination to stakeholders for comments? Did EO complete an assessment of the quality of the final report?		N/A
V. Transparency: Were the draft ToR and evaluation report circulated to all key stakeholders for comments? Was the draft evaluation report sent directly to EO? Were all comments to the draft evaluation report sent directly to the EO and did EO share all comments with the commentators? Did the evaluator(s) prepare a response to all comments?		N/A
W. Participatory approach: Was close communication to the EO and project maintained throughout the evaluation? Were evaluation findings, lessons and recommendations adequately communicated?		N/A
X. Independence: Was the final selection of the evaluator(s) made by EO? Were possible conflicts of interest of the		N/A

selected evaluator(s) appraised?			
OVERALL PROCESS RATING			4.5

Rating system for quality of evaluation reports

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1

The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.