Terminal Evaluation of the UN Environment Project "Chemicals management needs and priorities: National dioxin/furan inventories and POPs global monitoring"

Evaluation Office of UN Environment

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This terminal evaluation was undertaken prior to a new UN Environment Programme directive on the visual identity of the organisation, which replaces previous reference to the organisation as 'UNEP' , with 'UN Environment'. This terminal evaluation report, having reached an advanced stage prior to the official directive, has retained the name 'UNEP' throughout to refer to the organisation.

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Chemicals management needs and priorities: National dioxin/furan inventories and POPs global monitoring
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ABOUT THE EVALUATION[1]

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Brief Description: This report is a terminal evaluation of a UN Environment-GEF project implemented between 2015 and 2016. The project responds to the mandate of UN Environment Chemical & Waste Branch in providing support to Parties to the Stockholm Convention on Persistent Organic Pollutants (POPs) to implement their obligations towards unintentional POPs (Stockholm Convention). The project was designed as a continuation of the established cooperation between UN Environment´s Chemicals & Waste and the Basel, Rotterdam and Stockholm Conventions (BRS) Secretariat. The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment and the relevant agencies of the project's participating countries.

Key words: POPs; Dioxin; Furan; Multilateral Environmental Agreements; BRS; Basel; Rotterdam; Stockholm; Conventions; Chemicals; Waste; Project Evaluation; TE; Terminal Evaluation; Non-GEF Project

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

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List of Abbreviations and Acronyms

BAT	Best available techniques
BCCC-SCRC	Centre for Latin America and the Caribbean Region
BEP	Best environmental practices
BRS	Basel, Rotterdam and Stockholm
CEITs	Countries with Economies in Transition
CoP	Conference of the Parties
CSIS	*Consejo Superior de Investigaciones Científicas* Scientific Council for Research (Spain)
CVUA	Chemisches Untersuchungsamt Freiburg (Germany)
DCPI	Division of Communication and Public Information (of UNEP)
DEWA/GRID	Global Resource Information Database (of UNEP)
DTIE	Division of Technology, Industry and Economics (of UNEP)
EA	Expected Accomplishment
EF	Environmental Fund
EOU	Evaluation Office of UN Environment
GCG	Global Coordination Group (to the GMP)
GEF	Global Environment Facility
GMP	Global Monitoring Plan for POPs
GMP DWH	GMP Data Warehouse
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreements
MTM	Man Technology Environment Research Centre (Örebro University)
MTS	Medium Term Strategy
NSFC	National Natural Science Foundation of China
QAS	Quality Assurance Section (of UNEP)
PCDD	Polychlorinated dibenzo-p-dioxins
PCDF	Polychlorinated dibenzofurans
PCTs	Polychlorinated terphenyls
PFOs	Perfluorooctane sulfonate
PIMS	Programme Information and Management System
POPRC	POPs Review Committee
PoW	Programme of Work
ProDoc	Project document
PSC	Programme Support Costs
PUF	Polyurethane foam
RCEES	Research Center for Eco-Environmental Sciences, Chinese Academy of Science

RECETOX	Research Centre for Toxic Compounds in the Environment (Check Republic)
ROA	UNEP Regional Office for Africa
ROAP	UNEP Regional Office for Asia and Pacific
ROLAC	UNEP Regional Office for Latin America and the Caribbean
ROtI	Review of Outcome to Impact
SAICM	Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goals
SOP	Standard Operating Procedures
SSFA	Small Scale Funding Agreement
TOC	Theory of Change
UNDP	United Nations Development Programme
UNDP	United National Development Programme
UNEA	United Nations Environment Assembly (of UNEP)
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
WHO	World Health Organization

Project Identification Table

Table 1: Project Summary as updated for the Terminal Evaluation

UNEP Sub-programme	Chemicals and Waste	**UNEP Expected Accomplishment(s)**	EA b) i
UNEP approval date	10/03/2015	**UNEP PoW Output(s)**	2014-2015 & 2016-2017
Implementing Agency	UNEP	**Project Type**	Global
Executing Agency:	UNEP	**Countries**	The total nº of countries under the ProDoc is 43 and under PIMS is 37 – the following countries are only listed in the ProDoc: Togo, Tunisia, Uganda, Zambia, Cambodia and Kiribati.
Actual start date	10/03/2015	**Actual or Expected completion date**	31/12/2016
No. of revisions	1	**Date of last Revision:**	06/06/2016
Total Cost	**ProDoc - Feb 2015**: US$ 743,065,00 - including Programme Support Costs (inc PSC and Environmental Fund (EF)) **Project Revision (reduction)- June 2016:** US$ 681,066 (including PSC and EF)	**Date of financial closure**	Project operational closure: 31 Dec 2016. Financial closure (for reconciliation): 30 Jun 2017.
Total co-financing realized	100% salary cost for 17 months (UNEP EF): 323,000 USD	**Actual expenditures reported[2]**	96,493.08 USD (Note from the Admin Officer – The BRS Secretariat was not able to provide official expenditure report for their contribution of 88,496 USD, but verbally confirmed that there should not be any balance left as of 31/12/2016.)
First Disbursement	03/2015: 120,960 USD	**Actual expenditures entered in UMOJA**	96,493.08 USD
Mid-term review/ evaluation	N/A	**Terminal Evaluation**	March 2017

[2] Actual expenditures are project activity expenditures, without the salary costs. The co-financing in the form of EF funded staff salary costs are not to be mixed with that amount.

Executive Summary

A. Introduction

1. The project responds to the mandate[3] of **UNEP´s Chemical & Waste Branch** in providing support to Parties to the Stockholm Convention on Persistent Organic Pollutants to implement their obligations towards unintentional Persistent Organic Pollutants (POPs). The project was designed as a continuation of the established cooperation between UNEP´s C&W Branch and the Secretariat of the Basel, Rotterdam and Stockholm (BRS) Conventions. The primary Multilateral Environmental Agreement (MEA) relevant to this project is the Stockholm Convention.

2. The overall purpose of the project is to assist countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment thus promoting a transition to sound management of chemicals and waste at global level. It aims to build capacity in developing country regions and at contributing to the Global Management Plan in assessing the environment fate and transport of POPs globally, as well as in evaluating the effectiveness of the Stockholm Convention.

3. The project mostly builds on other projects focusing on capacity building, namely the UNEP project 524.2 on *Support to implementation of the chemicals and waste Multilateral Environmental Agreements* and the second phase of UNEP Global Monitoring Project (GMP).

4. The project was approved on 10th of March 2015 and its implementation started in February 2015 to be completed in February 2016 (13 months implementation). In June 2016 the project was extended to December 2016 with no increase in the budget.

5. A terminal evaluation is an important component that takes place after project completion. The major objective of this Terminal Evaluation is to assess project performance, determine its outcomes and impacts as well as their sustainability, and identify valuable lessons learnt through the process of implementing the project.

B. Evaluation findings

6. The *strategic relevance* of the project objectives and implementation are consistent with global, regional and national environmental issues and needs. The project is aligned with the UNEP mandate, its Medium Term Strategy (2014-2017) and relevant Program of Work, as well as the Bali Strategic Plan and the Sustainable Development Goals. Rated as **Satisfactory.**

7. The achievement of *project outputs* has been **Moderately Satisfactory**. The project has failed to assist all the beneficiary countries and to make available the information produced, some of which is still a work in progress.

8. *Efficiency:* Considering the limited human and financial resources the project team made a tremendous effort to deliver on their mandate by applying a number of cost effective measures and requesting for a project extension. The main effect of the delay in implementation was the extension of the execution period to complete the project outputs without any budget implication. However at the end of the

[3] UNEP´s Governing Council decisions 19/13 C [http://www.unep.org/Documents.multilingual/Default.asp?DocumentID=96&ArticleID=1438&l=en] and 23/9 [http://www.unep.org/chemicalsandwaste/Portals/9/Lead_Cadmium/docs/GC_mandates/GC_23_9_III_English.pdf]

extension period the project was still failing to achieve all the milestones with regard to outputs 1, 2, 4 and 5. Rates as **Moderately Satisfactory.**

9. *Effectiveness - Attainment of Objectives and Planned Results*: for the purpose of the evaluation and the Theory of Change, the two original project outcomes were reformulated into the following:

- Governments from targeted countries enhance their capacities to monitor POPs releases;
- National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way;
- Parties to the Stockholm Convention disseminate and use the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.

10. The *achievement of direct* outcomes has been rated **Moderately Satisfactory**- the project has generally contributed to enhancing the capacities of the national laboratories within the target countries and to disseminating key scientific information generated by it. However it is to early to assess the degree to which this key scientific information has contributed to shaping of appropriate, effective and sustainable plans to reduce POPs, especially considering the yet to be determined level of effective country ownership (given the nature of the activities developed and the timing of the evaluation when some of the project activities are still being developed). Also the project did contribute to the support of global monitoring with new data and to the generation of part of the key scientific information that will support Parties in implementing their obligations under the Stockholm Convention.

11. The *likelihood of achievement of project impact* (transition among countries to the sound management of chemicals) is examined using the Review of Outcomes to Impact (ROtI) analysis and the reconstructed Theory of Change. A summary of the results and ratings of the ROtI can be found in Table 9.

12. *Sustainability and replication:* The beneficiary countries are all Parties to the Stockholm Convention. The project activities are thus supported by firm political commitment. However the level of country ownership is difficult to determine. The continuation of the project outcomes does not seem to be sustained, particularly after 2018 with the end if the second phase of UNEP/GEF GMP projects and no evidence was found that the project has created a foundation towards institutional and legal strengthening. Furthermore no evidence was found that the project has catalysed behavioural changes by the relevant stakeholders of capacities developed in spite of its substantial potential for replication. The overall rating for Sustainability and replication is **Moderately Unsatisfactory.**

13. *Factors affecting project performance:* The project was generally well designed. It was implemented under a very light management structure mainly based in the Project Manager - the transition period between project managers as thus affected the project timeliness. The project was based on a multi-stakeholders approach - several partners have been involved in its implementation and have contributed to the achievement of its outputs (Table 5). The rules on Monitoring and Evaluation under Section 6 of the ProDoc were not implemented and no financial or progress/implementation reports were elaborated during the project implementation – this has affected the overall level of UNEP supervision and backstopping which was technically highly regarded by the key stakeholders.

14. The table below provides a summary assessment and ratings by evaluation criteria for the project.

15. This report has undergone several rounds of reviews and deliberations. There were significant delays experienced in the completion of the final deliverable (it must be noted that this was not on account of the independent evaluator). The Evaluation Office of UN Environment has included comments in Table 2 below (Summary assessment and ratings by evaluation criterion for the project) as a culmination of the entire undertaking of this evaluation and based on information collected from various parties consulted. The same is also presented in Chapter IV section A of the main report.

Table 2: Summary assessment and ratings by evaluation criterion for the project

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
A. Strategic relevance	The project is aligned with the UNEP mandate, its MTS and relevant PoW, as well as the Bali Strategic Plan and the SDG. The project is consistent with environmental issues and needs and addresses south-south cooperation. It generally reflects gender balance and indigenous peoples concerns.	**S**	EOU concurs. The project is considered strategically relevant to the implementation of the Global Monitoring Plan by assisting developing countries and CEITs in generating quality and comparable monitoring data on the presence and transnational transport of POPs. The GMP is mandated in the the Stockholm Convention of which all the participating countries are Parties. UNEP's C&W Branch has a specific mandate given by the Conference of the Parties to the Stockholm Convention to continue its support for the implementation of the GMP. The project is also strategically relevant to the GEF initiatives that also contribute to the GMP. Timeliness issues could however compromise project relevance in the targeted developing countries and CEITs that had not yet completed their National Implementation Plans during the project implementation (recorded by the evaluator, as 40 countries as at January 2017 - paragraph 63)	**S**
B. Achievement of outputs	The outputs had been partially achieved at the time of the evaluation. However, the project did not succeed in assisting all the beneficiary countries and make available the information produced, some of which was still a work in progress by the time the evaluation was ongoing.	**MS**	It is acknowledged that at the time of the evaluation, output delivery was at varying levels of completion and utility, notwithstanding a project extension. It is also acknowledged that in some cases, planned outputs were eventually completed following the operational closure of the project. Outputs deemed most critical to the achievement of expected outcomes have been considered in this rating. The objective of assisting countries to generate high quality scientific data for monitoring national presence of POPs and contribute the Global Monitoring Plan does rely on all five planned outputs becoming available, accessible and operational. EO concurs with the Evaluator's rating for this criterion based on the status at the time of the evaluation. The Project Manager indicates that the delivery of outstanding outputs was complete by October 2017, though it is not possible at this time to provide an	**MS**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
			in-depth assessment of their utility to the intended users. Issues of timeliness of outputs have a direct bearing on their utility and their attribution to the project's laid-out objectives. In this regard, EOU shall concur with the Evaluator on the rating.	
C. Effectiveness: Attainment of project objectives and results		**MS**		**MS**
1. Achievement of direct outcomes	The project has generally contributed to enhancing the capacities of the national laboratories within the target countries and to disseminating key scientific information generated by it. However it is too early to assess the degree to which this key scientific information has contributed to shaping of appropriate, effective and sustainable plans to reduce POPs, especially considering the yet undetermined low level of country ownership.	**MS**	The report indicates that the main beneficiaries of the project are governments that are Parties to the Stockholm Convention, and who are to be assisted and advised on the fulfilment of their obligations under this treaty through the outputs generated by the project. The Evaluator has noted that those immediate outcomes related to enhanced capacities in the targeted countries were acknowledged, but pointed out to shortcomings related to the level of uptake and changes in beneficiary behaviour. Direct outcomes are generated from the use of outputs (products and services). Having said that, the assessment on achievement of outputs (above) implies that some direct outcomes – especially those reliant on outputs delivered post project closure e.g. Component 4) can only be assessed post-project closure. EOU however recognises that providing Parties with assistance and technical guidance is an ongoing activity, and though it is not possible to measure direct outcomes at the global scale with the available resources, the fact that countries continue requesting for guidance is indicative of a change resulting from the use of project outputs.	**MS**
2. Likelihood of impact	The project's intended outcomes were delivered but were not designed to feed into a continuing process after project funding – the long-term impact requires a global involvement of countries.	**Moderately Unlikely (DC)**	The Project Manager confirms that there are elements of this project have been adopted in a new project (Project on Knowledge 5.II). Supporting evidence was not made available. It is also not possible within this evaluation to assess their efficacy in achieving the intended impact. By being Parties to	**ML**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
			the Stockholm Convention, and participating in this initiative, there is indication that the governments engaged in this project do have an intention, as Parties, to transition towards sound management of chemicals. On this account, EOU considers the longer-term likelihood of achieving impact to be at the least "Moderately Likely"	
3. Achievement of project goal and planned objectives	Several factors have affected the project intervention and its capacity to clearly identify "next steps" for implementation. Nevertheless the project did contribute to the support of global monitoring with new data and to the generation of part of the key scientific information that will support Parties in implementing their obligations under the Stockholm Convention.	**MS**	It is expected that with the post-project completion of outputs and related direct outcomes, as implied by the project team, the Parties to the Stockholm Convention would eventually benefit from the dissemination and use of the key scientific information to help them develop effective and sustainable plans to reduce POPs at national level, as well as contribute to global monitoring. Shortcomings in delivery already mentioned in the evaluation findings however point to the fact that without a follow-on project that builds on the achievements of this initiative, achievement of its planned objectives may not materialise. EOU concurs with the consultant's assessment on this criterion, in as far as what was achieved during the project's lifetime, but it is noted that building capacity at global scale is a long term investment and results cannot always be readily measured in the short- to medium-term.	**MS**
D. Sustainability and replication		**MU**	Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. It is considered to be a fundamental evaluation criterion and the overall rating will be the lowest rating among the three sub-categories below	**ML**
1. Socio-political	The beneficiary countries are all Parties to the Stockholm Convention. The continuation of the GMP activities has been reaffirmed by Parties at different CoPs (Annex V) as well as during the GCG and Regional Organisation Groups meetings. The project	**ML**	The sustainability of project outcomes has a high degree of dependency on social/political factors. It may be considered that project participants, being Parties to the Convention, and the support of the GMP activities, provide some general assurance of country-level interest and/or commitment to take the project achievements forwards.	**L**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
	activities are thus supported by firm political commitment. However the level of country ownership is yet to be determined given the nature of the activities developed and the timing of the evaluation.			
2. Financial	The continuation of the project outcomes does not seem to be sustained, particularly after 2018 with the end of the second phase of UNEP/GEF GMP projects. However since the project still has two years to go it is premature to determine its level of sustainability.	**MU**	The following outcomes identified by the evaluation are considered to be highly dependent on a continuous flow of resources: • Governments from targeted countries enhance their capacities to monitor POPs releases • National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way • Parties to the Stockholm Convention disseminating and using the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs Financial sustainability is particularly relevant where the direct outcomes of a project have been extended into a future project phase and this has been implied through the continuation of some elements of this project in other GEF initiatives. Unfortunately this was not made explicitly evident and no supporting data has been made available to the evaluation to verify the likelihood that project outcomes will continue to receive new financial inputs. However, given the continuous nature of the intervention (i.e. a project based on MEAs and involving its Parties), we can speculate that financial sustainability is at least Moderately Likely	**ML**
3. Institutional framework	No evidence was found that the project has created a foundation towards institutional and legal strengthening.	**MU**	The sustainability of this project's outcomes have a high dependency on institutional support. Here the main consideration is whether institutional aspects (e.g. governance structures and processes, policies, legal and accountability frameworks	**ML**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
			etc.) are robust enough to continue delivering the benefits associated with the project outcomes after project closure. In consideration of the project's overall objective (*to assist countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment*) the question is then to what extent the country-level institutional and policy structures are able to sustain the project's main outcomes within their countries. It may be considered that as Parties to the Stockholm Convention, the participating governments have certain mechanisms in place to sustain/support the institutionalization of these outcomes, though their robustness cannot be confirmed by this evaluation. The report does however indicate that the capacity of relevant individuals appears to be sustained (i.e. new skills practised or new practices adopted), but targeted individuals could also move to other assignments.	
4. Environmental	Generally, there are no project outputs that would have a negative impact on the environment if sustained. Up-scaling of the project can have long-term positive benefits minimizing the impacts of chemicals on the environment and human health.		The EOU no longer requires a rating for this criterion in the evaluation of projects/programmes.	**N/A**
5. Catalytic role and replication	The project had a number of strong catalytic elements and potential for replication. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed behavioural changes by the relevant stakeholders of the capacities developed.	**MU**	Some evidence of the catalytic effect and replicability may be evidenced in the continued generation, aggregation and dissemination of data on POPs concentrations at national, regional and global levels; it is also evidenced by the complementary GEF initiatives that are connected to this project, including the new initiative 'Project on Knowledge 5.II' - though there is no evidence of the extent of attribution.	**MS**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
E. Efficiency	Given the limited human and financial resources available the project has achieved a considerable number of results however at the end of the extension period the project was yet to achieve all of its planned milestones.	**MS**	EOU concurs with the rating. The project has experienced implementation delays and a no-cost extension with amendments to the results framework. Output/outcome delivery was affected during the duration of the project.	**MS**
F. Factors affecting project performance				
1. Preparation and readiness	The project was generally well designed with stakeholders identified and a risk analysis done. It had however minor shortcomings mainly with regard to the links between the different outputs/activities and their clarity under the logframe.	**MS**	EOU concurs with the evaluator's rating.	**MS**
2. Project implementation and management	The project was implemented under a very light management structure based in the Project Manager. The transition period between Project Managers affected its timeliness but the management was generally adaptive. However the rules on M&E were not followed by the project management which are crucial for implementation.	**MU**	During the evaluation there was a notable challenge in obtaining documented evidence to support the assessment of this criterion. This may be related to the low human resource allocated to the project. Progress reporting in PIMS mainly comprised of brief entries on project highlights. There is limited documented evidence on results based project monitoring, adaptive management, how the project has dealt with known problems, risks or challenges, etc. That being said however, the evaluation findings do indicate that in spite of the thin staff, there were notable efforts made by the Project Team to promote stakeholder ownership and engage them in the project process, and that the Project Manager promoted information exchange and through varied channels.	**MS**
3. Stakeholders participation, cooperation and partnership	A multi-stakeholder approach has been used in the development of some of the project outputs. Several partners have been involved in the project implementation and have contributed to	**S**	EOU concurs with the rating	**S**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
	the achievements of its outputs (Table 5).			
4. Communication and public awareness	Communication and awareness raising through tools for presentation and visualization was one of the output areas of the project that did not achieve all the planned milestones. No evidence was found of communication strategies developed and entrusted by the beneficiary governments	**MS**	The EOU notes that during implementation, communication was augmented by informal correspondences by means of email and telephone, to interested Parties seeking support in the project activities and processes. Unfortunately this is not easily verified but it can be assumed from the positive assessment of stakeholder participation (section F.iii) that communication was an ongoing activity. The launching of the website (post evaluation) is also expected to enhance communication and public awareness. While the Project team has informed the EOU that additional outputs (e.g. reports, tools, Standard Operating Procedures, guidance materials) were completed after the evaluation period, these have not been made available for assessment or verification.	**MS**
5. Country ownership and driven-ness	The geographical scope of the project is global. The level of ownership is therefore difficult to determine. In those activities country driven (2.1 and 2.2) the level of ownership was however not evident.	**MU**	From the findings presented, it is not evident that government ministries / public sector agencies that are essential for moving outputs to direct outcomes or from direct outcomes to intermediate states took a leadership role in: strategic guidance of project delivery, driving or advocating for change to achieve higher level results, or endorsing project results. The GMP in China does however indicate country-drivenness though the provision of co-financing contribution. That being said, the participation by Parties in the Convention and the monitoring of POPs is itself indicative of some level of country ownership to the larger process. The Project manager also indicates that stakeholders were involved in the conceptualization and letters of endorsement were received in support of the project. Although the present level of ownership at national level to the project's initiative is likely to be varied across different countries, and difficult to determine within this evaluation, one can presuppose commitment towards the general goal	**MS**

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
			of enhancing the capacity for POPs monitoring and quality of scientific data	
6. Financial planning and management	No financial or progress/implementation reports were elaborated during the project implementation (Annex V).	**U**	Lack of access to detailed financial information was a major hindrance to this evaluation. Based on the evaluation findings (section F vi. and Annex V) no explicit financial expenditure reports were produced during the project implementation. Entries in PIMS (Project Implementation Management System) were insufficient for conducting a suitable assessment of this criterion	**HU**
7. UNEP supervision and backstopping	The level of technical guidance and supervision by the Project Manager and in some activities by consultants and partners was highly regarded by the key stakeholders. Technical expertise was considered one of the main comparative advantages of UNEP. However the lack of project monitoring during its implementation affected the level of project performance and its supervision.	**MS**	Here we are considering the supervision and guidance provided by UN Environment to implementing partners and national governments and this has been indicated as having been satisfactory. EOU notes the limitation of human resources and commend the project team for efforts made to provide technical support to Parties during the project. That being said, this criterion goes further to assesses the effectiveness of project management with regard to achieving the planned outcomes, supervision by steering group(s), risk management, problem-solving / project adaptation and overall project execution. There was no steering body established to provide leadership towards achieving the planned outcomes. It is not evident what mechanism was in place to support the project team with problem-solving, risk management or adaptive management.	**MU**
8. Monitoring and evaluation	The rules on Monitoring and Evaluation under Section 6 of the ProDoc were not implemented.	**U**	At evaluation, no monitoring plan or system was available aside from the Logframe. Although progress was captured in the Project Implementation Management System (PIMS), the data available is comprised of project highlights and is insufficient to make an assessment on how the project tracked its results against the verifiable indicators, or how it responded to risks and challenges (adaptive	**HU**
a. M&E Design	A general M&E was designed which included a very general Monitoring Plan, which does not constitute a comprehensive monitoring instrument. A general reference was made to the Evaluation	**MU**		

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at October 2017	EOU Rating
	Plan.		management). There is no indication that there was a designated officer responsible for results based monitoring. Aside from the entries made in PIMS, there were no other detailed progress reports made available to the evaluation. Based on the evaluation findings, no Steering Committee was either planned or constituted. It was argued to the Project Review Committee that a separate Steering Committee would add a layer of complication and reduce cost efficiency and effectiveness. The project however indicated that monitoring results were discussed at annual GMP meetings and that the implementation results and lessons learned from the dioxin/furan toolkit were discussed in annual expert group meetings. No explicit monitoring plan or system was available (aside from the logical framework and reporting requirements). There was no evidence that any funds were spent on monitoring, and the PIMS/donor reporting made available does not adequately reflect the project's scope of work.	
b. Budgeting and funding for M&E activities	Terminal Evaluation clearly costed. No budget for monitoring which is crucial for project implementation.	**U**		
c. M&E Plan Implementation	The M&E Plan was not implemented. Except for the general reporting under PIMS there was no evidence of any reporting activity, including lack of the mandatory six-monthly reporting. Under PIMs reporting was done by project outcome and output, which are presented as general descriptions of what was done and which lack analytical value. The information under PIMS was last updated in 31/12/2017.	**HU**		
Overall project rating		**MS**	A weighted scheme has been applied to determine an overall score of 3.78 / 6.00 points, which falls under "Moderately Satisfactory" (i.e. between >=3.5<=4.33)	**MS**

C. Main Conclusions

16. **Considering the limited human and financial resources available the project has achieved a lot of its outputs.** The fact that the project partly builds on other GEF projects implemented by UNEP incorporating the conclusions and recommendations from the implementation of these projects have contributed to its performance. **Other factors that have contributed to the project success** include: the level of technical expertise and commitment of the staff involved; the long-term partnership with the BRS Secretariat; the partnerships with strategic players (with WHO and expert laboratories); the adoption of pre existing guidance procedures (e.g. WHO survey of human milk for POPs[4], already existing SOPs, training manuals and guidelines for human milk sampling).

17. The project puts a strong emphasis on adopting a **multi-stakeholder approach**, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them. However stakeholders were not involved in the conceptualization of the project and the majority was not consulted during the design phase The geographical coverage of the project is also ambiguous - the exact number of countries covered by the activities developed by the project is ambiguous (paragraph 179) and the selection criteria are unclear.

18. **Cooperation and partnership arrangements with strategic players** (WHO, reference laboratories and regional centres) have contributed to achieving some of the project outputs. However not all the external partners identified during the project design were involved in its implementation (Table 5).

19. The key stakeholders interviewed had high praise for the technical expertise and sensitiveness to countries contexts from the project supervision, which were considered the **main comparative advantage of UNEP.** Other advantages when compared with other implementing agencies include: specific mandate on environment (whereas others have different core businesses); extensive knowledge of the MEAs (UNEP is involved since the legal drafting of the MEAs to their implementation, being the author of the main technical and scientific tools); neutrality and roster of senior expert consultants.

20. Monitoring and institutional capacities are the main constraints for the implementation of MEAs. This project, which has only covered a few countries, has the **potential to be replicated to other countries and to strengthen the institutional capacities of other organisations within the same beneficiary country**. The fact that some of the project outputs are endorsed by the CoP (GMP for effectiveness evaluation) increases the replication's potential. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed changes by the relevant stakeholders of capacities developed.

21. **The main challenges in the project performance** are: the nature of the project itself - implementing a global project is very demanding and using a multi-stakeholder approach requires the involvement of many partners; time required to involve the primary beneficiaries (Parties to the Stockholm Convention); cumbersome procurement procedures which resulted in lack of sufficient human resources; long transition period between the project managers and changes in staff composition which affected the institutional memory and the transition to new management software (UMOJA) which caused several delays.

[4] WGO survey of human milk for POPs in cooperation with UNEP – Guidelines for developing a national protocol (Revised 1 October 2007) http://www.who.int/foodsafety/chem/POPprotocol.pdf

22. **Other challenges** have been the dissemination, availability and use of the key scientific information provided by the project some of which is still work in progress and the turnover in trained staff within the national laboratories. **The project has also failed** to assist all the beneficiary countries.

23. The key scientific information generated by the project has supported the global monitoring and the quality of the data generated by the laboratories. However due to delays in implementation it is not possible to determine the degree to which the new data generated by the project has supported the national inventories and it is too early in the process to assess whether it has helped shape appropriate, effective and sustainable plans to reduce POPs. To strengthen compliance with the Stockholm Convention **Parties need assistance on the implementation of this key scientific information.**

24. **No system of monitoring performance was implemented** which the ProDoc identified as an overall responsibility of the project management and should include self-evaluation and half-year reports on substantive and financial matters. This is a strong weakness of the approach followed by the project management.

D. Key lessons learned

25. **Project design and revision procedures should be streamlined:** the QAS/Strategic Programme and Policy Division of UNEP should be faster in approving the project. In order to ensure synchronisation and that there are no gaps in project implementation projects must be approved before the starting of the activity and before the PoW biennium. Also there should be a fast track recruiting mechanism.

26. **The full engagement of key stakeholders is crucial during the design of projects and throughout their implementation:** in order to facilitate the implementation of projects that use a multi-stakeholders approach and involve external partners it is important to ensure that resources allocation and expectations are defined at the project design phase and with the engagement of the stakeholders.

27. **The ownership of primary beneficiaries is required to ensure sustainability of the project outcomes and impacts:** in order to promote a transition to sound chemicals management, activities developed at national level need to be anchored in national priorities, namely poverty reduction and sustainable development.

28. **Monitoring is crucial for implementation and supervision of project performance:** in order to improve implementation it is essential that its progress towards projects objectives throughout the project implementation period, and quality are regularly monitored including the identification of any difficulties encountered and actions taken to overcome them.

E. Key recommendations

29. **Key stakeholders should be appropriately involved since the conceptualization of the project:** UNEP's C&W Branch in designing its project based on a multi-stakeholder approach that rely on external partners to implement many of its outputs should actively promote the involvement of stakeholders in the design and implementation phase.

30. **UNEP Regional Offices and Regional Centres should be involved in the design and implementation of all the activities with a regional scope**: Regional Centres expertise should be explored since the project design. Within the Regional Offices the dedicated Chemicals and Waste Officers could play an active role not only in identifying the needs and priorities of the countries in their regions (which would require effective involvement in the design phase) but also in disseminating and up scaling the project to other countries within the region. Both entities could play a role in increasing the countries ownership.

31. **Institutional memory is key to sustainability:** UNEP's C&W Branch needs to reply on permanent staff to implement multi-stakeholders projects with a global scope - consultants and trainees regardless of their commitment affect the Branch's institutional memory.

32. **Future priorities should be focused on implementation:** the project has developed key scientific data, which is now available and should be used by the primary beneficiaries. In order to promote a sound transition to management of chemicals at the global level the BRS Secretariat needs to focus on assisting countries in implementing the obligations derived by the Conventions.

33. **Policy development and guidance:** considering the competitive advantages of UNEP and the work being developed by the UNEP's C&W Branch it should focus its future work on policy development and guidance at global (through pre-existing networks) and regional level (through regional centres and regional offices) rather then country interventions (where UNEP does not have representation).

I. Introduction

A. Project Summary

1. The project responds to the mandate of UNEP's Chemicals and Waste (C&W) Branch in providing support to Parties to the Stockholm Convention. It was designed as a continuation of the established cooperation between UNEP's C&W Branch and the BRS Secretariat.

2. The project has a global geographical scale (four sub-regions) and scope (transnational movement of POPs), and is focused on developing countries and Countries with Economies in Transition (CEITs).

3. The total budget of the project is US$ 743,065.00 with UNEP in kind contributions of US$ 152,500.00. The project was approved on 10th of March 2015 and its implementation started in February 2015 to be completed in February 2016 (13 months implementation).

4. In June 2016 the project was extended to December 2016 with no increase in the budget (23 months total implementation). The justification for the extension was the need to build on the existing work done, ensure adequate dissemination of findings and provide expert assistance and guidance in the development of polychlorinated dibenzo-p-dioxins and polychlorinated dibenzofurans (PCDD/PCDF) inventories as well as POPs sampling and analysis as requested by a number of countries to UNEP in the context of updating their National Implementation Plans (NIPs) as well as the implementation of the GMP.

5. The project is implemented by UNEP, the Research Centre for Eco-Environmental Sciences (RCEES), Chinese Academy of Science[5], in collaboration with the BRS Secretariat, UN Agencies, Regional Offices and Centres, Academia, NGOs and Civil Society (Figure 3 in Part II Section E below).

B. The Terminal Evaluation

i. Objectives and Scope of the Evaluation

6. In line with the UNEP Evaluation Policy[6], the UNEP Programme Manual[7] and the UNEP Evaluation Manual[8], the terminal Evaluations is a vital element that needs to be undertaken after project completion 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. More detail of the evaluation principles and criteria can be found in the Evaluation Terms of Reference (TOR) under Annex I.

7. The present Terminal Evaluation has two main purposes:

- To provide evidence of results to meet accountability requirements, and
- To promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP, and its main project partners, namely the BRS Secretariat, the Basel Convention and Stockholm Convention Regional Centres, UNEP Regional Offices, National Governments, WHO and Expert laboratories. In this regard, this evaluation will identify lessons of operational relevance for future project development and implementation.

8. The terminal Evaluation focuses on a set **key questions**, based on the project's intended outcomes:

[5] http://english.rcees.cas.cn/
[6] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[7] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf
[8] http://web.unep.org/evaluation/unep-evaluation-manual-1

a. To what extent is there evidence emerging of target countries having achieved **enhanced awareness and capacity in the scientific understanding** of the nature of POPs and their impacts on environment and health?

b. To what extent has the project contributed to the **increased use** o**f scientific and technical knowledge and tools** for the implementation of sound management of chemicals and wastes, within governments, industries and the general public? Is the project making significant contributions to the Global Monitoring Plan initiative?

c. Is there any emerging evidence that the project has contributed to **improvements in the institutional structure** of target countries which is likely to lead to the achievement of the project's overall objective? To what extent are the project results/products (assessment reports, monitoring reports, national surveys, outreach materials, tools for presentation and visualisation of results, etc.) being used by policy makers in the target countries?

d. How successful has the project been in fostering **replication and scaling up of its activities** through lessons learned, good practices and innovations? Is there evidence emerging of target countries implementing sustainable plans to reduce POPs?

e. To what extent is the project **support provided to target countries matching their needs** (technical capacities, infrastructure, institutional set up, etc.), and what lessons can be learned from implementation?

f. To what extent have the current **partnership and collaborations been effective** (primarily with BRS Secretariat, key partners, collaborating agencies and other strategic stakeholders) in supporting the delivery of the project's planned results?

9. These key questions have been further developed in the Inception Report[9] and constituted the basis of the interviews undertaken during the implementation phase.

10. The evaluation period was from February 2015 up to 31 September 2016. However, information collected from 31 September to 31 December was also used as evidence of the work undertaken to meet the projects outputs.

11. The present report consists of this introduction as Part I and the following three Parts: Part II provides information about the Project including its context objectives and outputs, target areas and partners, implementation arrangements and financing; Part III presents the evaluation findings with regard to the evaluation criteria presented below (paragraph 13); Part IV offers the conclusions and recommendations. There are five Annexes, which should be consulted in tandem with the main text when indicated.

ii. Overall Approach of Evaluation

12. The evaluation was conducted by an independent consultant (hereinafter referred to as the 'Evaluator') between July 2016 and January 2017 under the overall responsibility and management of the UNEP Evaluation Office (EOU) in Nairobi, and in consultation with the Project Manager of UNEP Division of Technology, Industry and Economics (DTIE – now called the Economy Division) of the C&W Branch in Geneva. The inception phase was conducted remotely via Skype with the UNEP Evaluation Team and the UNEP Project Manager and the Inception Report was approved on 12th October 2016.

[9] Inception Report from 12 October 2016
See Annex III - Matrix of Project Evaluation Framework

13. In accordance with the ToR, the project was assessed with respect to a minimum set of evaluation criteria grouped into six categories, described below. As per UNEP guidance, the evaluation ratings for the criteria are on six-point scale.[10] Evaluation ratings are shown at the end of each section of the findings and a complete evaluation ratings table is presented in the Conclusions section of this report.

14. **Strategic Relevance:** focuses on whether the project objectives and implementation strategies are consistent with global, regional and national environmental issues and needs. The evaluation also briefly describes the project's relevance in relation to UNEP's mandate and its alignment with UNEP policies and strategies at the time of the project approval including on human rights and gender equality and integration of social and environmental safeguards.

15. **Achievement of outputs**: assessing, for each activity, the project success in producing the programmed outputs and milestones as per the Project logframe.

16. **Effectiveness: attainment of project objectives and results:** assessment of: the effectiveness with which formal project objectives were (or are expected to be) achieved, the achievement of outcomes resulting from project outputs, and the likelihood of impact achievement.

17. **Sustainability and replication:** identify and assess the financial, socio-political, institutional and environmental sustainability of project outcomes, and also assesses efforts and achievements in terms of replication and up-scaling of project outcomes, lessons and best practices.

18. **Efficiency**: assess the cost-effectiveness and timeliness of project execution.

19. **Factors and processes affecting project performance:** covers project preparation and readiness, implementation approach and management, stakeholder participation, cooperation and partnerships, communication and public awareness, country ownership and driven-ness, financial planning and management, supervision and backstopping, and monitoring and evaluation.

20. In addition, the quality of the project design was assessed in the Inception Report[11] (Table 10 for the summarised highlights).

21. Both quantitative and qualitative evaluation methods were used to determine project achievements against the expected outputs, outcomes and, to the greatest extent possible, emerging evidence of impacts. These methods consisted of:

22. **Desk review**: a detailed review of the relevant background documentations, project documentation supplied by the UNEP Project Manager and collected during the interviews to stakeholders as well as publications, websites, the Global Monitoring Plan for POPs (GMP) data warehouse - a list of documents reviewed is provided in Annex II. It should be noted that all the references to the website of UNEP´s W&C Branch are made to the version that was on line during the course of the evaluation. A new website was launched on 5 January 2017 when the evaluation findings had already been concluded (paragraph 10) and therefore it was not considered.

23. **Face-to-face interviews:** interviews were undertaken with the project manager and staff as well as the staff of the BRS Secretariat during a mission to UNEP in Geneva (28-30 November).

[10] Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU). Please refer to the Inception Report which under Table 6 on the UNEP assessment ratings provided an interpretation of each of the six point-scale.
[11] Inception Report from 12 October 2016
See Annex II – Assessment of Project Design Quality

24. **Remote interviews:** contacts were made with all the key stakeholders identified by the project manager and interviews were requested. The list of interviewees is provided in Annex III.

25. During the implementation phase and in view of the reduced number of key stakeholders identified by the Project Manager, the Evaluator proposed to replace the initial foreseen questionnaire for targeted countries and key stakeholders with interviews, which was accepted by the UNEP Evaluation Office (EOU). A total of 12 people were interviewed for this project (which included the Project Managers - previous and present- and project staff.

26. Due to the nature of the project that covers too many different activities it was also decided during the implementation phase to replace the country visit initially foreseen to China (which would only cover activity 2.2) by a mission to UNEP Geneva to cover all the activities through interviews with the project team and staff from the BRS Secretariat.

27. The information collected was triangulated. Close communication was maintained with the Project Manager and information was exchanged throughout the evaluation implementation phase.

iii. Limitations to the Evaluation

28. **Timely and accurate access to information.** There were substantial delays in the receipt of implementation information and documentation from the project team. The information that was provided, after the Inception Report had been completed in October 2016, was at varying levels of completeness, currency and relevance. This slow and sometimes inconclusive process of collecting internal project information constrained the amount of time available for processing information and contributed to inefficiencies in the collection of data from other sources. Some gaps in information remain.

29. **Lack of monitoring data**. This evaluation did not have the benefit of up-to-date and complete monitoring data or regular project reporting, which undermined the efficiency and scope of the evaluation exercise. For progress on the activities developed the Evaluator had to rely exclusively in the information provided in the Programme Information and Management System (PIMS), which was out-dated- for progress on the activities developed the last update was from 30 June 2016 and on financial matters the last update was from 30 May 2015 when UMOJA[12] was launched.

30. **Poor response rate from stakeholders**. The list of key stakeholders and their respective contacts was requested at the kick of meeting (27 July 2016) but only provided late in the implementation phase. From the 47 key stakeholders identified as relevant by the project manager a selection was made based on geographical and institutional criteria and a total of 23 key stakeholders were contacted (i.e. introduction letters were sent by EOU and UNEP/DTIE) but only 8 were available to contribute to the evaluation – many did not reply and from those who did several indicated lack of information or no involvement in the project. Another factor that may have affected the poor response rate is the fact that due to the delays mentioned above, many of the contacts that were only made later in the year overlapped in some cases with the 2016 Christmas break. As a result, the findings of this evaluation are based on only a small sample of respondents beyond the project team itself. However, primary data was triangulated across all sources to arrive at reliable conclusions.

[12] https://umoja.un.org/ - Umoja is not an acronym – it means “unity” in Swahili and was designed to streamline administrative processes through the implementation of an Enterprise Resource Planning System.

II. The Project

A. Context

31. The Stockholm Convention was adopted on 22 May 2001 and entered into force on 17 May 2004 to "protect human health and the environment from persistent organic pollutants by reducing or eliminating releases to the environment". It presently has 181 Parties in all UN regions[13].

32. The Stockholm Convention is based on the precautionary principle[14] and its main purpose is to establish accurate measures to reduce or even eradicate POPs dissemination. Since 1995 the Governing Council of UNEP has been engaged in launching the adoption of such measures to reduce or even eradicate POPs dissemination. The list that started with 12 POPs (considered the most dangerous) at the time of the Convention's adoption has now more than doubled (26 in 2015)[15] which strengthens the idea that international action is vital.

33. The project is designed to assist developing and CEIT countries that are Party to the Stockholm Convention in the implementation of articles 5 and 16 of the Stockholm Convention especially, with a view on articles 7, 10, 11 and 15 of the Stockholm Convention as summarised in Table 3 below. The main relevant CoP Decisions are listed in Annex VI to the present report.

34. More specifically, the project will support national inventories and global monitoring by generating new data on the presence of the 11 new POPs added in Annex A of the Convention, as well as on the unintentionally generated POPs (PCDD/PCDF). Moreover, a new core matrix will be analysed for measuring Perfluorooctane sulfonate (PFOS) emissions, namely water. On the other hand, the project aims at improving the quality of the data generated by the laboratories by organizing new rounds of the global inter-laboratory assessment.

35. Listed below are the key obligations derived from the Stockholm Convention that the project seeks to assist Parties to implement. The main relevant CoP Decisions are listed in Annex IV to the present report:

Table 3: Main relevant obligations from the Stockholm Convention

MAIN RELEVANT OBLIGATIONS		LEGAL BASIS
Unintentional POPs	▪ Reduce or eliminate releases from unintentionally produced POPs that are listed in Annex C to the Convention (using best available techniques and best environmental practices)	Article 5 Annex C
NIPS	▪ Develop and implement a NIP conducive to the adoption of the Convention obligations ▪ Transmit the NIP to the Conference Parties ▪ Review and update the NIP in the terms defined	Article 7
Public	▪ Promote and facilitate access to information and awareness	Article 10

[13] http://chm.pops.int/Countries/StatusofRatifications/PartiesandSignatoires/tabid/4500/Default.aspx

[14] Defined under Article 15 of the Rio Declaration (1992) as: Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation. http://www.unesco.org/education/pdf/RIO_E.PDF

[15] At CoP4 (May, 2009) the following 9 new chemicals were added to POPs list by Decisions SC-4/10, 4/11, 4,12, 4/13, 4/14, 4/15, 4/16, 4/17 and 4/18 respectively: alpha hexachlorocyclohexane; beta hexachlorocyclohexane; chlordecone; hexabromobiphenyl; octabromodiphenyl ether; lindane; pentachlorobenzene; perfluorooctane sulfonate and pentabromodiphenyl ether.
At CoP 5 (April, 2011) endosulfan was added by Decision SC-5/3.
At CoP 6(May 2013) hexabromocyclododecane was added by Decision SC-6/13
At CoP 7 (May 2015) the following 3 new chemicals were added to the POPs list by Decisions SC-7/12, 7/13 and 7/14 respectively: hexachlorobutadiene; pentachlorophenol and its salts and esters and chlorinated naphthalenes

MAIN RELEVANT OBLIGATIONS		LEGAL BASIS
information, awareness and education	regarding POPs and the development of education and training programs	
Research, development and monitoring	▪ Encourage and/or undertake appropriate research, development, monitoring and cooperation pertaining to POPs and, when relevant, to their alternatives and to candidate POPs ▪ Support and further develop international programmes, networks and organizations to define, conduct, access and finance research, collect data and monitor, considering the need to minimize duplication of effort ▪ Support national and international efforts to strengthen national scientific and technical research capabilities in developing countries and CEITs and promote access to, and exchange of, data and analyses ▪ Cooperate in improving capability in developing countries and CEITs, taking into account their needs, specially on financial and technical resources, to fulfil the obligations above ▪ Undertake research work geared towards alleviating the effects of POPs on reproductive health and cooperation work on storage and maintenance of information generated from research, development and monitoring ▪ Make results of research, development and monitoring activities accessible to the public on a timely and regular basis	Article 11
Reporting	▪ Report the measures taken to implement the provisions of the Convention ▪ Report the effectiveness of such measures on meeting the objectives of the Convention ▪ Provide statistical data on the quantities of production, import and export of the chemicals listed on the Annexes A and B of the Convention ▪ Provide, when possible, the list of the States from which the substances were imported and to which the substances were exported	Article 15
Effectives evacuation	▪ Evaluate (4 years after the entry into force of the Convention and periodically thereafter at intervals to be decided by the CoP) the effectiveness of the Convention ▪ These evaluations should be conducted on the basis of available scientific, environmental, technical and economic information, including: (a) Reports on comparable monitoring data on the presence of the chemicals listed in Annexes A, B and C as well as their regional and global environmental transport; (b) National reports submitted pursuant to Article 15.	Article 16

B. Objectives and components

36. The overall purpose of the project is to assist countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment. It aims to build capacity in developing country regions and at contributing to the Global Monitoring Plan for POPs (GMP) in assessing the environment fate and transport of POPs globally, as well as in evaluating the effectiveness of the Stockholm Convention.

37. More specifically, the project objective is to **support national inventories and global monitoring** by generating new data on the presence of the 11 new POPs added in Annex A of the Convention[16] as well as on the unintentionally generated POPs (PCDD/PCDF)[17]. On the other hand, the project aims at **improving the quality of the data generated** by the laboratories by organizing new rounds of the global inter-laboratory assessment.

38. The project aims to achieve the following main **outcome**[18]: the capacities of the national laboratories are enhanced within the targeted countries, and the key scientific information generated by the project is disseminated to help shape appropriate, effective and sustainable plans to reduce POPs.

39. In order to achieve the outcome stated above the project has been designed to address specific activities that move around the delivery of five main outputs as summarised in Table 4 and described in the paragraphs below.

Table 4: Expected project outputs and related activities

EXPECTED OUTPUTS[19]	ACTIVITIES
1. Assessment reports on the release of unintentional POPs (from the PCDD/PCDF Toolkit inventories) available	**Activity 1.1:** Assist countries in the development of release inventories of unintentional POPs according to the revised PCDD/PCDF Toolkit and guidance on BAT/BEP, and prepare an assessment report
2. Geographic and sectoral POPs monitoring reports published and feed the GMP and Guideline	**Activity 2.1:** Provide expertise and technical assistance to Parties under the GMP and report results back to the GMP groups and the BRS Secretariat
	Activity 2.2: Provide support for the GMP in China
	Activity 2.3: Provide guidance to the GMP Global Coordination Group
3. Final report for the biennial global inter-laboratory assessment on POPs published	**Activity 3.1:** Undertake one round of the biennial global inter-laboratory assessment on POPs laboratories.
4. Tools for presentation and visualization of POPs monitoring and dioxin/furan inventory results developed and disseminated	**Activity 4.1:** Present quantitative data in cartographic or other display
	Activity 4.2: Produce electronic materials available at the Web, as well as flyers, brochures and larger reports (whenever a review is warranted)
5. Expert assistance and guidance for the development of PCDD/PCDF inventories and POPs sampling analysis provided	*This output is not identified in the Project Review – to be provided by the Project Team*

[16] See Annex IV COP decisions SC-4/10-18, SC-5/3 and SC-6/13
[17] See Table 3 Article 5 and Annex C
[18] The Project "outcome" is the direct intended results stemming from the outputs.
[19] The Project "outputs" are the actual products/services delivered by the project. The outputs of the project have been rephrased in line with this definition.

Output 1

40. ***The Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases***[20] (toolkit) was developed and first published in 2003. In 2006 its usefulness was acknowledged by the CoP and at the same time Parties recognised the need for its on-going revision and update. It has been revised periodically at CoP2, COP3, COP4, COP5 and COP6, by Decisions SC-2/5, SC-3/6, SC-4/7, SC-5/13 and SC-6/9, respectively.

41. In January 2013 a new version of the toolkit[21] was published with the purpose of supporting Parties to fulfil their obligations in preparing PCDD/PCDF inventories that are consistent in format and content ensuring that it is possible to compare results, identify priorities, mark progress and follow changes over time at country, regional and global levels.

42. The Toolkit is useful in guiding parties to assess the progress made in the implementation of Article 5 of the Convention, namely determining whether the measures taken to reduce and ultimately eliminate releases of Annex C POPs are successful in meeting their objectives. Pursuant to Article 5 of the Stockholm Convention, a review of the success in the implementation of the action plan included in the NIPs to identify, characterize and address the releases of the chemicals listed in Annex C is required every five years. This review needs to be based on periodic updating of source inventories and release estimates. By using the Toolkit to estimate releases over time and reporting these under Article 15, parties are able to demonstrate their achievements and progress in implementing the Convention.

Output 2

43. Article 16 of the Stockholm Convention indicates that the effectiveness of the Convention shall be evaluated four years after the date of its entry into force and periodically thereafter. The Effectiveness Evaluation includes a **Global Monitoring Plan** (GMP), which monitors the presence of POPs in the environment and in humans. Such monitoring and subsequent assessment should be undertaken on a regional basis. One of the objectives of the GMP is to assess POPs regional and global transport.

44. The GMP[22] for POPs was provisionally established in 2006 and its mandate formally adopted in 2009 to collect comparable, harmonized and reliable information on POPs levels in core environmental matrices (air, human tissues (breast milk/blood), and water). The objective of the POPs GMP is to provide an harmonized organizational framework for the collection of comparable monitoring data on the presence of the POPs listed in Annexes A, B and C of the Convention in order to identify trends in levels over time as well as to provide information on their regional and global environmental transport.

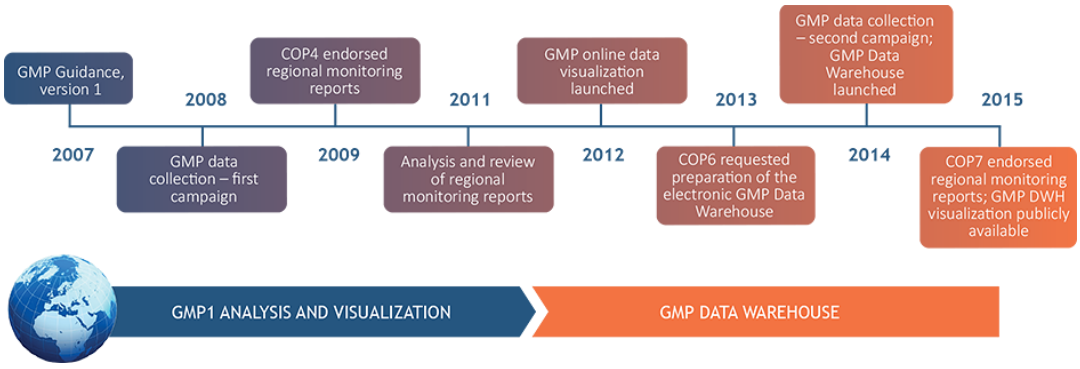
45. UNEP´s C&W Branch initiated the work on the GMP and developed and published the first edition of the Guidance on GMP in 2004, which was submitted by the CoP to the Parties. The second edition of the Guidance on GMP was submitted to the Parties at CoP 7.[23] The aim of the guidance document is to support comparability and consistency in monitoring results, including guidelines for collection, analysis and reporting of information and data including on the sampling and analysis of the newly listed POPs.

[20] http://www.pops.int/documents/guidance/toolkit_2003.pdf
[21] http://toolkit.pops.int/Publish/Downloads/UNEP-POPS-TOOLKIT-2012-En.pdf
[22] http://chm.pops.int/Implementation/GlobalMonitoringPlan/Overview/tabid/83/Default.aspx
[23] In COP 7 the Info UNEP/POPS/COP.7/INF/39 about Guidance on the global monitoring plan for persistent organic pollutants was submitted, *retrieved from* http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP7/tabid/4251/mctl/ViewDetails/EventModID/870/EventID/543/xmid/13075/Default.aspx

46. The first and second regional monitoring reports have been welcomed by the CoP 4 and CoP 7 respectively. While the first monitoring reports provide information on the baseline concentrations of the 12 legacy POPs, the second global monitoring report provides first indications as to the changes in concentrations of the chemicals initially listed in the Convention, as well as baseline information on the newly listed POPs.

47. To facilitate the preparation of the Global Monitoring Report, and harmonize and coordinate activities and cooperation between the regions, a **Global Coordination Group** (GCG)[24] is in place, comprising three members from each region, nominated by the respective regional coordination groups. The **GMP Data Warehouse** (GMP DWH) is an online tool developed for handling POPs monitoring data generated in the frame of the GMP[25]. Since its establishment, UNEP's C&W Branch serves as an expert member to the GCG and assists in the implementation of the GMP through capacity building projects at national level following a regional approach. The Second **Global Monitoring Report** prepared by the GCG will be submitted to the Parties at CoP 8 of the Stockholm Convention[26].

Figure 1: Milestones of the GMP[27]



48. The following four GEF projects have contributed to the GMP on POPs[28]:

- GMP implementation, phase 1 (2009-2012) and phase 2 (2016-2019);
- Development of tools and methods to analyse new POPs (2012-2015);
- Needs for capacity building to analyse POPs (2005-2008).

49. The project is mainly building on these GEF projects, which are in the process of being internalized, specially the phase 2 of the GMP implementation. The data generated by these GEF projects will feed the regional and global monitoring reports in assessing POPs environment fate and transport at the global level, and will contribute to the effective evaluation of the Stockholm Convention. The data and experiences gathered in the GEF projects will also be useful in other aspects of UNEP´s C&W Branch work in the GMP and within its mandate as observer to the GCG.

[24] UNEP Chemicals is an observer in the GCG providing guidance and orientation with respect to the types of chemicals and matrices to be analysed in the regions., *retrieved from* http://chm.pops.int/Implementation/GlobalMonitoringPlan/Implementation/tabid/179/Default.aspx
[25] http://www.pops-gmp.org/index.php?pg=gmp-data-warehouse
[26] UNEP/POPS/COP.8/INF/38
[27] http://www.pops-gmp.org/
[28] http://web.unep.org/chemicalsandwaste/what-we-do/science-and-risk/persistent-organic-pollutants-pops/pops-monitoring/global-monitoring-4

Output 3

50. UNEP´s C&W Branch maintains an **inventory of POPs laboratories**[29], which provides information on the technical and analytical capabilities of each laboratory so that potential partners for a POPs GMP may be identified.

51. So far, two rounds of inter-laboratory assessments have been completed with funding from the GEF and the European Union. In these assessments laboratories analyse the same sample, within a limited time frame, for previously determined analyses and report the results to the coordinator of the intercalibration assessment. All results are evaluated together according to international standards, such as those established by the International Organization for Standardization or the International Laboratory Accreditation Cooperation, thus allowing a performance classification. These comparison studies allow the analytical results reported by the laboratories involved to be reliable, meet international standards, and be presented in a harmonized manner to make them acceptable for clients at international level. UNEP´s C&W Branch plans to have these rounds on a regular basis, (every two years).

52. During 2010-2011, **the first round of the *Biennial Global Inter-laboratory Assessment on Persistent Organic Pollutants*** was implemented (with 103 laboratories subscribing). Its goal was to test the capabilities of laboratories in the analysis of the 12 initial POPs listed in the Stockholm Convention. The first round report was published by UNEP/DTIE in March 2012.[30]

53. The **second round of inter-laboratory assessments was finalized in 2014**. The success of the first round was confirmed and slightly exceeded (105 laboratories participating and 89 laboratories reporting results). The second round report was published by UNEP/DTIE in June 2014.[31] For the **third round**, more than 170 laboratories have registered. The submission of results is now on-going.[32]

54. The results are laid down in the **POPs Laboratory databank**, hosted by UNEP C&W Branch since 2005[33].

Output 4

55. In order to foster dissemination and awareness raising of project results, UNEP C&W Branch uses existing software and visualization tools, to produce outputs such as cartographic (e.g. geographic maps) to present quantitative data in an attractive format. Dissemination materials (including electronic materials, flyers and brochures) for outreach to different groups of clients including the general public.

Output 5

56. To build on the existing work done, ensure adequate dissemination of findings and provide expert assistance and guidance a new output was added during the project revision on expert assistance and guidance for the development of PCDD/PCDF inventories and POPs sampling analysis.

[29] http://www.chem.unep.ch/databank/Home/Welcome.aspx, http://www.chem.unep.ch/pops/laboratory/default.htm
[30] http://drustage.unep.org/chemicalsandwaste/sites/unep.org.chemicalsandwaste/files/publications/POPs%20IA%201st%20round_Biennial%20Global%20Interlaboratory%20Assessment%20on%20POPs.pdf
[31] http://drustage.unep.org/chemicalsandwaste/sites/unep.org.chemicalsandwaste/files/publications/POPs%20IA%202nd%20round%20-%20MAR2015_en.pdf
[32] http://www.unep.org/chemicalsandwaste/POPs/AnalysisandMonitoring/POPsInterlaboratoryAssessments/tabid/1059819/Default.aspx
[33] http://212.203.125.2/databank/Home/Welcome.aspx

C. Target areas/groups and Project Partners

57. The project puts a strong emphasis on adopting a multi-stakeholder approach, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them.

58. The project is a continuation of the established cooperation between UNEP's C&W Branch and the BRS Secretariat, fulfilling the Branch's specific mandate given by the Conference of the Parties to the Stockholm Convention to continue its support for the implementation of the GMP.

59. The main beneficiaries of the project are governments that are Parties to the Stockholm Convention who are to be assisted and advised on the fulfilment of their obligations under this treaty through the scientific information generated by the project. This includes primarily those participating directly in the project but also other governments through data and experiences gathered during the project. The main direct beneficiaries are the participating laboratories receiving training and consumable/spares. Participation is without cost for laboratories located in developing countries.

60. The project stakeholders include the project beneficiaries and the partners. In comparing the level of stakeholders' participation and engagement during the project implementation as to what was envisaged during the project design and its revision the following three related and often overlapping processes were considered: (i) information dissemination to and between stakeholders (ii) consultation with and between stakeholders, and (iii) active engagement of stakeholders in project decision-making and activities. The table below summarises this information.

61. These stakeholders include the project beneficiaries and the partners as follows:

Table 5: Project stakeholders – project design versus implementation

Stakeholders	ProDoc and Project Revision	Evaluation Findings
Beneficiaries	Direct: **Governments** that are Parties to the Stockholm Convention through their **Ministries of Environment and Health, agencies and related research institutions**; **participating laboratories** receiving training and consumables/spares.	
	84 countries were added during the Project Revision as direct beneficiaries of activity 1.1	24 national release inventories of unintentional POPS [34] were developed in accordance with the Toolkit as per information provided by the countries under their national reports or within the NIPs update (paragraph 97).
	43 countries[35] were identified in the ProDoc as direct beneficiaries of activity 2.1[36]	A total of 27 regional monitoring reports have been published and are available at the UNEP C&W Branch website. These are distributed among four regions (paragraph

[34] List of countries indicated at PIMS: Austria, Bangladesh, Brazil, Bulgaria, Cameroon, Canada, Cape Verde, Colombia, Estonia, Finland, France, Germany, Honduras, India, Indonesia, Norway, Palau, Portugal, Russia, Serbia, Singapore, Slovakia, South Africa, Swaziland, Switzerland, Turkey, Venezuela and Zimbabwe

[35] PIMS only listed 37 countries. The following countries are only listed in the ProDoc: Togo, Tunisia, Uganda, Zambia, Cambodia and Kiribati

[36] These are the countries participating in the GEF funded GMP projects phase 2 (activity 2.1) plus China (activity 2.2) through UNEP-NSFC project

		101)
	8 countries were identified as direct beneficiaries of output 5	Request for assistance has been received from Afghanistan, Paraguay and Uruguay (paragraph 121).
Executing Partners	BRS Secretariat	Strategic partner (paragraph 193)
	WHO	Collaboration WHO/BRS Secretariat and UNEP´s C&W Branch through the human milk surveys and the WHO/UNEP Reference Laboratory for human milk at Chemisches Untersuchungsamt Freiburg (CVUA Freiburg), Germany (paragraph 194)
	Expert Laboratories - Free University Amsterdam (IVM NU)[37], Orebro University Sweden Man Technology Environment Research Centre (MTM Centre)[38], Scientific Council for Research (CSIC) Spain [39] ; Stockholm Convention and Basel Convention Regional Canters [40] ; POPs GEF Team DTIE/Chemicals Branch.	Involved in training and mirror analysis of samples for developing country's laboratories and organisation of inter-calibration studies (paragraph 195)
	UNEP Regional Offices	UNEP Regional Offices especially for Africa [41], Asia-Pacific [42] and the Group of Latin American Countries[43] (GRULAC) - very indirect role on implementation (paragraph 197 and 198)
	Regional Centres	Centre for Latin America and the Caribbean Region (BCCC-SCRC, Uruguay) and Research Centre for Toxic Compounds in the Environment Research Centre for Toxic Compounds in the Environment (RECETOX, Check Republic) were involved in implementation (paragraph 196).
	Other UNEP Divisions	DCPI and DEWA (paragraphs 201 and 202).
Non-Executing Partners	**UN Agencies** such as: **UNIDO, UNITAR, UNDP, World Bank** (informal cooperation of information exchange through a pre-existing	UNIDO/UNITAR are beneficiaries of the Guidance on GMP. Except for the informal cooperation through

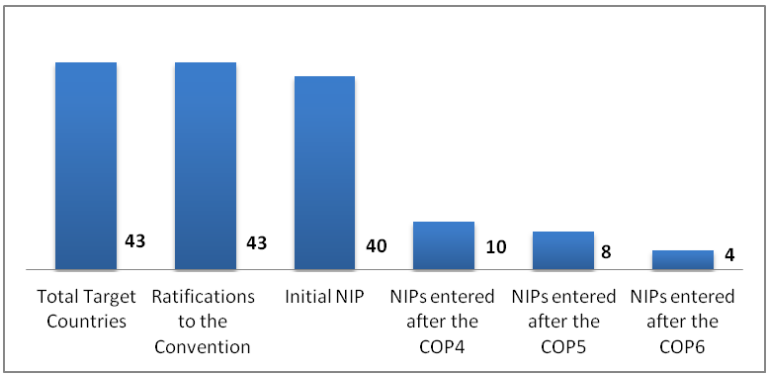
[37] https://www.ivm.vu.nl/en/index.aspx
[38] https://www.oru.se/english/research/research-environments/ent/mtm/
[39] http://www.csic.es/
[40] Research Centre for Toxic Compounds in the Environment (RECETOX) Check Republic http://chm.pops.int/Implementation/RegionalCentres/TheCentres/RECETOXBrno,CzechRepublic/tabid/650/Default.aspx
[41] UNEP's Regional Office for Africa (ROA) http://web.unep.org/regions/roa/
[42] UNEP's Regional Office for the Asia-Pacific Countries (ROAP) http://web.unep.org/regions/roap
[43] UNEP's Regional Office for Latin America and the Caribbean (ROLAC) http://web.unep.org/regions/rolac/

	forum- the GEF POPs Task Force) and **other** IOMC [44] **members** (broader views and strategies are coordinated thought the IOMC meetings under SAICM). Other partners include: main NGOs; foundations; industry; and civil society.	the GEF POPs Task Force no evidence was found of the direct involvement of the other non-executing partners.

62. The Project generally identifies how the stakeholders will benefit from its outputs and the main roles they will play in its implementation. However no reference was found to stakeholders' consultation during the project design process in the ProDoc but some interviewees reported having been involved in the project since the first brain storming at the design phase and throughout its implementation

63. It should be noted that in accordance with the ProDoc it was expected that at the time of the Project submission, all countries would have submitted their NIPs to the BRS Secretariat. However **as of January 2017 only four countries have submitted all the NIPs. Kiribati, Solomon Islands and Vanuatu have not yet submitted any NIP. The remaining forty countries have only submitted their initial NIP.**[45]

Figure 2: Status of NIPs transmissions from the targeted countries



D. Milestones/key dates in project design and implementation

Table 6: Major milestones and dates in project design and implementation of Project

Date	Milestone
10/03/2015	Approval date
February 2015	Actual start date
February 2016	Intended completion date
13 months	Planned duration
06/06/2016	Project Revision
December 2016	Completion date
23 months	Effective total duration
30/06/2017	Financial closure (for reconciliation)
March 2017	Terminal Evaluation (Completion)

[44] Inter-organization Programme for the Sound Management of Chemicals http://www.who.int/iomc/en/
[45] No information is available for Argentina, Mauritius and Vanuatu at:
http://chm.pops.int/Implementation/NIPs/NIPTransmission/tabid/253/Default.aspx

E. Implementation arrangements

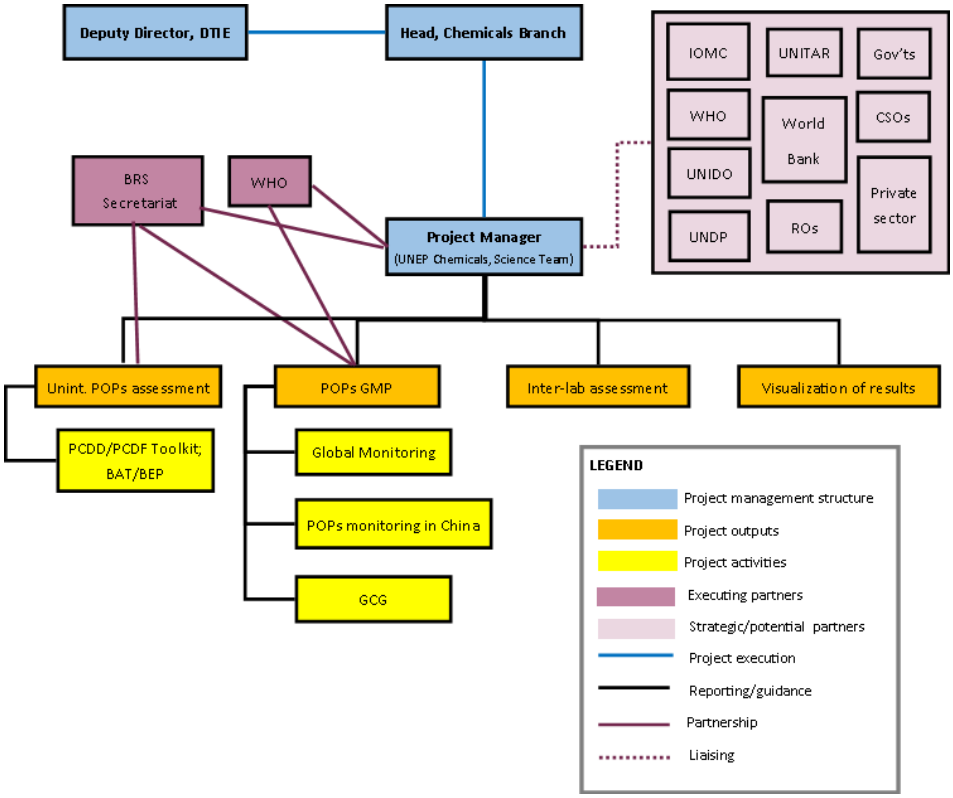
64. The project was implemented by UNEP/DTIE (now called the Economy Division) and managed by a Project Manager reporting to the Head of UNEP's C&W Branch in Geneva (as the first reporting officer) which is the UN's catalysing body, and UN Environment's focal point, for addressing chemicals and waste reflecting global priorities shared by many stakeholders and involving many sectors[46]. The Project Manger also reported to the Deputy Director of DTIE (as second reporting officer) or to the DTIE Director.

65. No Steering Committee was either planned or constituted due to the nature and dimension of the project. It was argued to the Project Review Committee that a separate Steering Committee would add a layer of complication and reduce cost efficiency and effectiveness since: monitoring results are discussed at annual GMP meetings and the effectiveness evaluation committee; the implementation results and lessons learned from the dioxin/furan toolkit are discussed in annual expert group meetings; each of the GEF projects has a steering committee as well as the National Natural Science Foundation of China (NSFC).

66. In the execution of project outputs 1 and 2 the Project Manager works in close collaboration with the BRS Secretariat. Activity 2.2 was jointly implemented with the RCEES. The monitoring of POPs concentration in humans within the GMP projects (activity 2.1) is done in formal partnership with WHO through the human milk surveys.

67. Other agencies (like the World Bank, UNIDO, UNITAR and UNDP) are supposed to be kept informed through the GEF POPs Task Force where the GEF Secretariat regularly organizes consultations and information exchange. It was however not possible to confirm this information from the interviews conducted.

Figure 3: Project Implementation Structure (as per the ProDoc)



[46] http://www.unep.org/dtie/Branches/ChemicalsandWaste/tabid/29687/Default.aspx

F. Project financing

68. Lack of access to detailed financial information has been a major hindrance to this evaluation (paragraph 29). The figures provided in this section are based on the project budget, information provided in the ProDoc and Project Revision, and some financial data provided by the Administrative Officer of UNEP's C&W Branch Based on the evaluation findings no financial expenditure reports were produced during the project implementation.

69. The estimated cost of the project in the ProDoc (March 2015) was 743,065 USD with UNEP in kind contributions of US$ 152,500.00. In the Project Revision (June 2016) the budget was reduced to 681,066 USD. In accordance with information provided by e-mail by Administrative Officer of UNEP's C&W Branch the total expenditures as of December 2016 is 96,493.08 USD, which means that there will be a balance that will not be used.

70. The sources of funding were from Norway and the BRS contributions. Norway contributed 120,960 USD for an agreement with an implementing partner, and for consultants. The BRS Secretariat's contribution towards the project was 88,496 USD to activity 2.1 and 2.3 –in accordance with information provided the BRS funds manager to the Administrative Officer of UNEP's C&W Branch this has been fully used[47]. Activity 2.2 jointly implemented with the RCEES is fully funded under the UNEP-NSFC Agreement. Funds are administered by the RCEES.

71. The remaining budget comprised of in-kind contributions, mainly to cover salaries with posts paid from the UN Environment Fund.

72. This project is supporting the four GMP GEF funded projects identified above (paragraph 48) with technical service and expertise provided by UNEP´s C&W Branch, staff time and the provision of infrastructures for the POPs Laboratory Databank (hosted by UNEP) as co-finance to these GEF Projects. In accordance with the ProDoc[48] this project does not include the activities and funds provided by the GEF to UNEP, rather it describes UNEP's mandates and work on POPs to its stakeholders. This project does not include projects where UNEP acts as either GEF implementing agency, nor does it take into account funds from GEF executing activities or whole projects.

G. Changes in design during implementation

73. The project planned completion date was February 2016 however in June 2016 the project was extended 10 more months to December 2016 (23 months total implementation). The new timeframe was estimated to be sufficient to use the remaining funds in order to "undertake additional activities within existing outcomes/outputs in line with new indicators and milestones; to undertake new activities under a new output[49] that complements the original outputs; and to achieve the extended outcome[50]".

[47] Information provided by the Administrative Officer of UNEP C&W Branch based in information received from the BRS funds manager.
[48] See Page 12 on the Project approach.
[49] Expert assistance and guidance is provided for the development of PCDD/PCDF inventories and POPs sampling analysis.
[50] It should be noted that in spite of this rationale the **project outcome** has remained the same under the Project Revision: *The capacities of national laboratories is enhanced within the targeted countries and the key scientific information generated by the project is disseminated and help shape appropriate, effective and sustainable plans to reduce POPs*. **Two milestones were however added**: M0.3: Review and feedback on PCDD/PCDF inventories underway; SOPs under development; M0.4: Governments received feedback on their PCDD/PCDF inventories and submitted the final versions; 4 laboratories are familiar with/trained in the use of new SOPs for POPs sampling analysis. **The following indicators were also added**: # of additional Governments with improved understanding of PCDD/PCDF releases in their country; # of additional laboratories with enhanced understanding of POPs sampling and analysis through the tools provided by UNEP.

74. The rationale for the extension was the following: to add a new indicator with related milestones under output 1 on PCDD/PCDF inventory in order to build on the existing work done to date and ensure adequate dissemination of the findings; add a new output to allow for the provision of expert assistance and guidance in the development of PCDD/PCDF inventories as well as POPs sampling and analysis (apparently UNEP has received a number of requests from countries for such assistance in the context of updating of NIPs and implementation of the GMP); and extend the outcome in accordance with these changes.

75. The fact that it took a long duration to go through the approval process, meant that some of the activities started prior to the project approval (e.g the *Second Round of the Biennial Global Inter-laboratory Assessment on POPs* was published in June 2014). The Prodoc revision started late in the process- the project's initial expected completion date was February 2016 and the revision was only approved in June 2016.

H. Reconstructed Theory of Change of the project

76. The Theory of Change (TOC) that was reconstructed was initially based on the provided project documentation, which were reviewed in preparation of the evaluation Inception Report. This initial reconstructed TOC was then reviewed during the implementation phase and subsequently edited as a result of comments received by the project stakeholders.

77. The methodology for the TOC and Review of Outcomes to Impacts (ROtI) is provided by the Evaluation Office of UNEP. Through the TOC, the Evaluator attempts to identify: causal linkages between the project's outputs and intended impact; direct outcomes arising from the use of the programmed outputs; intermediate states that are the necessary transition zones for the project's planned outcomes to reach the intended higher-level impact; external factors that influence change along the major causal pathways (external factors that are under the influence of the project are referred to as *drivers* and those outside the project's sphere of influence are called *assumptions*); and the main stakeholders involved in the change processes. For this project, the long-term **intended impact** is the *transition among countries to the sound management of chemicals,* with a view to minimizing impacts on the environment and human health (UNEP Chemicals and Waste Sub-programme overall objective).

Table 7: Results framework for the project versus results framework that underpins the TOC:

ProDoc		**Reconstructed TOC**	
Objective	Countries generate **high quality scientific data for monitoring the presence of POPs** in their population and the environment	**Long Term Impact**	*Transition among countries to the sound management of chemicals*
		Intermediate States	Global monitoring is supported by national inventories and new data Parties implement part of their main obligations under the Stockholm Convention Experience and results from POPs analysis and environmental/human monitoring are replicated to other chemicals/regions/countries
Outcomes	- National capacities to monitor POPs releases are enhanced - The capacities of national laboratories is enhanced within the targeted countries and the key scientific information	**Outcomes**	- Governments from targeted countries enhance their capacities to monitor POPs releases - National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way - Parties to the Stockholm Convention

ProDoc		Reconstructed TOC	
	generated by the project is disseminated and help shape appropriate, effective and sustainable plans to reduce POPs		disseminate and use the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.
Outputs	1. One assessment report on the release of unintentional POPs is published; 2. Geographical and sectoral POPs monitoring reports are published for the targeted countries and feed the GMP 3. Final report published for one round of the biennial global inter-laboratory assessment on POPs; 4. Tools for presentation and visualisation of results developed and disseminated	**Outputs**	1. Assessment reports on the release of unintentional POPs (from PCDD/PCDF Toolkit inventories) available 2. Geographic and sectoral POPs monitoring reports published and feed the Global Monitoring Plan and Guideline (i.e., 43 national POPs monitoring reports, 4 sub-regional monitoring reports, and 2 sectoral reports) 3. Final report published for the bi-ennal global inter-laboratory assessment on POPs 4. Tools for presentation and visualization of POPs monitoring and dioxin/furan inventory results developed and disseminated 5. Expert assistance and guidance is provided for the development of PCDD/PCDF inventories and POPs sampling analysis

78. The analysis of the **impact pathways** was conducted in terms of the 'assumptions' and 'drivers' that underpin the processes involved in the transformation of outputs to outcomes to impacts via the intermediate states. The **drivers** are the significant external factors that are expected to contribute to the realisation of the intended impacts and can be influenced by the project. The **assumptions** are external factors that are expected to contribute to the realisation of the intended impacts but are generally beyond the control of the project.

79. The project has **three direct outcomes** that were paraphrased slightly to more clearly illustrate the ToC and its route to impact: 1) Governments from targeted countries enhance their capacities to monitor POPs releases; 2) National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way; 3) Parties to the Stockholm Convention disseminate and use the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.

80. **Three intermediate states,** i.e transitional conditions have been identified between these direct outcomes and the above mentioned intended impact, were articulated as follows: 1) Global monitoring is supported by national inventories and new data- i.e the project generates new data on the presence of the 11 new POPs added in Annex A of the Convention as well as on the unintentionally generated POPs (PCDD/PCDF) as per Article 5 and Annex C of the Convention; 2) Parties to the Stockholm Convention implement part of their main obligations under the Convention (articles 5 and 16 specially); 3) Experience and results from POPs analysis and environmental/human monitoring are replicated to other chemicals/countries/regions enlarging its scope.

81. The following main factors are expected to contribute to the realisation of the intended impacts and **can be influenced by the project (drivers)**: Ownership by target countries and national laboratories; Practices

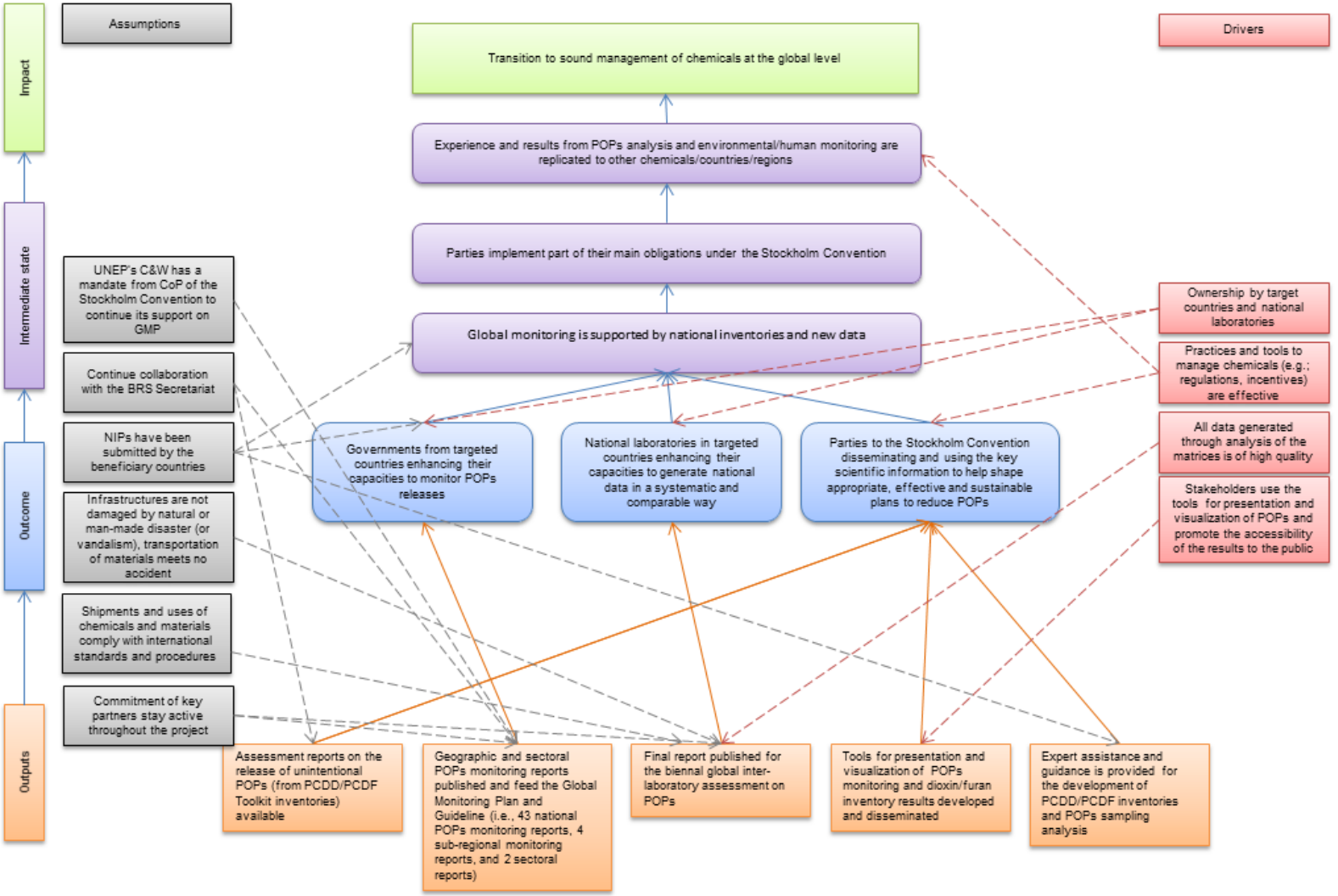
and tools to manage chemicals (e.g regulations and incentives) are effective; All data generated through analysis and sampling of core matrices is of high quality in order to allow solid assessments and conclusions.

82. The other **driver** is that: Stakeholders use the tools for presentation and visualisation of POPs and promote the accessibility of results to the public.

83. Four **key assumptions** that are expected to contribute to the realisation of the intended impacts are that: UNEP's C&W Branch has a mandate from CoP of the Stockholm Convention to continue its support on GMP; There is continued collaboration between UNEP C&W Branch and the BRS Secretariat; NIPs have been submitted by the beneficiary countries; Key partners identified above (Table 5) stay committed throughout the project implementation. It is also assumed **th**at the national laboratories of targeted countries infrastructures are not damaged and that the shipments and uses of chemicals and materials comply with international standards and procedures.

84. The Review of Outcomes to Impact (ROtI) analysis is detailed under *Effectiveness: Attainment of Objectives and Planned Results* under Part III, Section C.

Figure 4: Reconstructed Theory of Change



III. Evaluation Findings

85. This chapter is organized according to the evaluation criteria presented in Section II.4 of the TORs and provides factual evidence relevant to the questions asked and sound analysis and interpretations of such evidence. This is the main substantive section of the report. Ratings are provided at the end of the assessment of each evaluation criterion.

A. Strategic Relevance

86. The **UNEP Medium-term Strategy 2014-2017**[51] identifies seven cross-cutting thematic priorities as climate change, disasters and conflicts, ecosystem management, environmental governance, chemicals and waste, resource efficiency and environment under review. This project falls under sub-programme five on Chemicals and Waste which aims to promote a transition among countries to *the sound management of chemicals and waste, with a view to minimizing impacts on the environment and human health.* The project is also relevant to the sub-programme Environment Under Review given its work on global environmental monitoring and assessment (output 2 and paragraph 109).

87. Within sub-programme five, the project is aligned with the Biennial Programme of Work (PoW) and budget for 2014–2015[52] and for 2016-2017[53] Expected Accomplishment (EA) b) *Countries, including major groups and stakeholders, make increasing use of the scientific and technical knowledge and tools needed to implement sound chemicals management and the MEAs*.

88. The specialist technical services provided by the UNEP's C&W Branch in this project to the BRS Secretariat and the Parties to the Stockholm Convention respond to **UNEP's Governing Council Decision 19/13**[54] (to initiate international action to protect human health and the environment through measures which will reduce and/or eliminate emissions and discharges of POPs) and **Decision 23/9**[55] (encouraging cooperation and synergies between the Chemical's Branch and the Stockholm Convention Secretariat).

89. These services fulfil UNEP's mandate within the **Bali Strategic Plan**[56]**,** which has a strong focus on capacity building in supporting the implementation of environmental conventions, to continue its technology support and capacity building. The project is relevant to the Sustainable Development Goals (SDG).[57]

90. **Environmental issues and needs.** The project was designed to assist developing and CEIT countries that are Party to the Stockholm Convention to meet their obligations under the Stockholm Convention (Table 3 above). It fulfils several CoP decisions to the Stockholm Convention (Annex IV). Moreover, results are to be included in the regional as well as the global monitoring reports, and to be disseminated to the public in an accessible, attractive and reader-friendly format, thus fostering transparency at the national, regional and global levels.

91. **Gender equality and human rights**[58]**.** Since the project has a scientific nature it does not directly impact on people's productive activities. Therefore the gender balance issue addressed in the project design

[51] The project was designed during UNEP' MTS 2010-2013) http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf and implemented during UNEP MTS (2014-2017) http://www.unep.org/pdf/MTS_2014-2017_Final.pdf

[52] UNEP/GC.27/10 http://www.unep.org/gc/gc27/download.asp?ID=3971

[53] UNEP/EA.1/7http://www.unep.org/about/sgb/cpr_portal/Portals/50152/PoW%202016-2017_4%20April%202014_track%20changes%20with%20Cuban%20comments.pdf

[54] UNEP/GC.19/34 (1997)

[55] UNEP/GC.23/11 (2005)

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

[57] https://sustainabledevelopment.un.org/?menu=1300

takes a different dimension. The reduction of POPs releases from using the tools updated/revised through this project as well as from implementing the NIPs has the potential to improve maternal health through identification of highly exposed mothers (at national scale) and promoting counter-measures. Through the human milk surveys, the project has promoted the monitoring of POPs concentration in humans within the GMP projects (activity 2.1) in formal partnership with WHO. Maps representing quantitative information on POPs in human milk have been developed by the project but as of 31 December 2016 were not available online. Moreover through the data generated by the project, although not gender disaggregated, it is possible to have a more accurate knowledge of human exposure and environmental concentration of POPs at the national, sub-regional and global levels. In the project implementation women have been actively involved in project management, scientific research and as participants in the second inter-laboratory assessment on POPs[59].

92. **Indigenous People analysis and strategy.** The ability of POPs to transport to remote areas of the globe, such as the Arctic, and to bio-accumulate through food webs has raised concerns for the health of humans and the environment, particularly for indigenous people that rely on traditional diets of marine mammals and fish. The project was designed to ultimately impact the indigenous people in the Artic by fostering the adoption of more effective measures to reduce the presence of POPs in the environment. No specific evidence was found of any particular consideration of this issue during the project implementation.

93. **South-South cooperation**. The project output 2.2 is jointly implemented with the RCEES with support provided by UNEP Beijing Office in developing a harmonised approach for comparative and high quality measurements for the GMP. The workshop on the results of the 3rd inter-laboratory assessment is expected to be held in Beijing and to include participants from neighbouring countries. Results are expected to be disseminated to other countries and regions.

The overall rating for strategic relevance is **Satisfactory**

B. Achievement of Outputs

Assessment Reports on the release of unintentional POPs available

ACTIVITY 1.1: Assist countries in the development of release inventories of unintentional POPs in accordance with the Toolkit and prepare an assessment report

94. UNEP´s C&W Branch received the mandate from the CoP of the Stockholm Convention (decisions SC-2/5, SC-3/6, SC-4/7, and SC-5/13) to review and update the toolkit, in cooperation with the BRS Secretariat (PoW project 524.2). This review and updating work generates data on PCDD/PCDF releases, which is to be compiled in an assessment report of these releases covering regional or economic aggregates and underlying guidance. The latest version of the Toolkit was endorsed by CoP 7 of the Stockholm Convention by Decision SC-7/7[60] and published in the webpage of the BRS Secretariat.

95. Expert meetings on Best Available Techniques (BAT) and Best Environmental Practices (BEP), and the Toolkit for Identification and Quantification of Releases of Dioxins, Furans and Other Unintentional Persistent

[58]"Integrating human rights and gender equality issues in Evaluations" http://drustage.unep.org/evaluation/working-us/human-rights-and-gender-equality

[59] From the total of 131 participants 65 were male, 36 female and regarding the main 30 names it was not possible to identify their gender (gender neutral names).

[60] SC-7/7: Toolkit for Identification and Quantification of Releases of Dioxins, Furans and Other Unintentional Persistent Organic Pollutants

Organic Pollutants under the Stockholm Convention, are held annually by the BRS Secretariat[61] in accordance with the procedures for review and update adopted by decision SC-5/12. The former Project Manager in her capacity as Senior Scientific Affairs Officer attended these meetings[62]. UNEP/DTIE has ceased participating in these meetings for the last two years[63].

96. Information for application of BAT/BEP for unintentional POPs (PCDD/PCDF) or new POPs is reflected in the report from the last meeting of the Toolkit Expert Group/BAT-BEP Expert Group which took place from 25 to 27 October in Bratislava[64].

97. As per the Project Revision in June 2016 a total of 24 national release inventories of unintentional POPS[65] were developed in accordance with the Toolkit as per information provided by the countries under their national reports[66] or within the NIPs[67] update.

98. The project is yet to publish the national PCDD/PCDF release inventories and to make available a synthesis report on PCDD/PCDF inventories which should contain a synthesized narrative of the national reports and be made available in the UNEP´s C&W Branch website.

ii. Geographic and sectoral POPs monitoring reports published and feed the GMP and Guideline

ACTIVITY 2.1: Provide expertise and technical assistance to Parties under the GMP, and report results back to the Global Coordination Group and the BRS Secretariat

99. UNEP's C&W Branch has worked in close cooperation with targeted developing countries that are Parties to the Stockholm Convention to assess the presence of POPs in their environment and population, and to implement the GMP by building the national capacities for undertaking adequate sampling and analysis for core matrices, with the aim to produce high quality results regarding POPs concentration. A total of 42 countries were identified as beneficiaries of this activity under the ProDoc but PIMS reports only 37[68]. The total nº of beneficiary countries was not identified by the project team as requested during the evaluation.

100. Global monitoring reports are submitted to the COPs of the Stockholm Convention and serve as the backbone of the work of the Effectiveness Evaluation Committee.

101. A total of 27 regional monitoring reports have been published and are available at the UNEP's C&W Branch website. These are distributed among four regions as follows: Western Africa (6)[69]; Eastern and Southern Africa (6)[70]; Pacific Islands (6)[71]; GRULAC (9)[72]. **The project has not assisted the remaining 16 beneficiary countries[73] in developing their national reports.**

[61] http://chm.pops.int/Implementation/BATandBEP/Meetings/tabid/120/Default.aspx
[62] Report of the Experts Meeting in November 2014 (Geneva) UNEP/POPS/TOOLKIT-BATBEP/1 which quotes the former PM who is included in the list of participants.
[63] Reports of the Experts Meetings in September 2015 and October 2016 (Bratislava) respectively:
UNEP/POPS/TOOLKIT/BATBEP/2015/1
UNEP/POPS/TOOLKIT/BATBEP/2016/1
[64] http://chm.pops.int/Default.aspx?tabid=5324
[65] List of countries indicated at PIMS: Austria, Bangladesh, Brazil, Bulgaria, Cameroon, Canada, Cape Verde, Colombia, Estonia, Finland, France, Germany, Honduras, India, Indonesia, Norway, Palau, Portugal, Russia, Serbia, Singapore, Slovakia, South Africa, Swaziland, Switzerland, Turkey, Venezuela and Zimbabwe
[66] http://chm.pops.int/Countries/NationalReports/tabid/751/Default.aspx
[67] http://chm.pops.int/Implementation/NationalImplementationPlans/NIPTransmission/tabid/253/Default.aspx
[68] The following countries are listed in the ProDoc and not at PIMS: Togo, Tunisia, Uganda, Zambia, Cambodia and Kiribati
[69] DR Congo, Ghana, Mali, Nigeria, Senegal and Togo
[70] Ethiopia, Kenya, Egypt, Mauritius, Uganda, and Zambia
[71] Kiribati, Marshall Islands, Niue, Palau, Samoa, and Solomon Islands
[72] Antigua and Barbuda, Brazil, Chile, Ecuador, Jamaica, Mexico, Peru, Uruguay, Barbados
[73] Argentina, Cambodia, China, Colombia, Fiji, Lao People's Democratic Republic, Mongolia, Morocco, Philippines, Tanzania, Thailand, Tunisia, Tuvalu, Vanuatu and Vietnam

102. Sampling was expected to start in January 2016. This has been delayed to January 2017 (for air and water), likewise the collection of human milk samples will be conducted during 2017.

ACTIVITY 2.2: Provide support for the GMP in China

103. This component is similar to 2.1 but applies specifically to China. The project is jointly implemented with the RCEES, in developing a harmonized approach for comparative and high quality measurements for the GMP. It is funded by the NSFC under the UNEP-NSFC Agreement. The project was approved by NSFC by the end of 2013 and officially started in January 2014 for a duration of five years.

104. The support has been provided by UNEP Beijing Office and collaboration established with the former Project Manager mainly with regard to information exchange about the research project and participation in technical meetings some of which took place before the project implementation (example *Expert Workshop on the Global monitoring of perfluorinated aliphatic substances (PFAS) in water, Amsterdam October 2014*[74]).

105. This collaboration also covered the 3rd inter-laboratory assessment (activity 3.1 below) and included assistance of the NSFC project in recruiting the Chinese labs. The workshop on the results of the 3rd inter-laboratory assessment is expected to be held in Beijing (provisional dates 6 and 7 April 2017) and to include participants from neighbouring countries.

106. **No milestones are foreseen for this output under the Project logframe.**

ACTIVITY 2.3: Provide guidance to the GMP Global Coordination Group

107. The last meeting of the GCG took place on 3 of October 2016 in Geneva[75]. As an expert member in the GCG (paragraph 47), UNEP's C&W Branch provides guidance and orientation with respect to the types of chemicals and matrices to be analysed in the regions. UNEP has authored chapters 2 (on substances to be monitored) and 5 (on analytical methodologies) of the global guidance document on GMP.

108. UNEP's C&W Branch together with WHO are the data providers for POPs in human milk in the GMP data warehouse, which is hosted by the Stockholm Convention Regional Centre in the Czech Republic[76].

109. Finally, UNEP's C&W Branch prepares assessment and summary reports on these data for UNEP's own reporting requirements (Annual report[77], Yearbook[78], Global Chemicals Outlook[79]) and provides assistance to the regional reports by developing countries.

iii. Final report for the biennial global inter-laboratory assessment on POPs published

ACTIVITY 3.1: Undertake one round of the biennial global inter-laboratory assessment on POPs laboratories

110. The inter-laboratory assessment showed the need to improve the quality of monitoring through training and capacity building and formed the basis of GMP 2.

111. The third round of the biennial global inter-laboratory assessment (paragraph 53) was initiated in the spring of 2016 (Laboratories were invited to register by 15 April 2016). The delays in implementation are due to delays in implementing the GEF-funded second phase of the GMP implementation project, on which the inter-laboratory assessments depend.

[74] http://web.unep.org/chemicalsandwaste/what-we-do/science-and-risk/pops/pops-monitoring/guidance-sops-and-1
[75] http://chm.pops.int/Implementation/GlobalMonitoringPlan/Meetings/GMPMeetingforPOPs2016/tabid/5314/Default.aspx
[76] http://visualization.pops-gmp.org/2014
[77] UNEP Annual Report (2015) Chemicals and Waste http://web.unep.org/annualreport/2015/en/chemicals-and-waste.html
[78] http://www.unep.org/yearbook/2014/
[79] GCO (2013) http://web.unep.org/chemicalsandwaste/what-we-do/policy-and-governance/global-chemicals-outlook

112. The first and second biennial Global Inter-laboratory Assessment reports are available through UNEP's C&W Branch website[80]. During the evaluation it was noticed by some interviewees that the second round of the Biennial Global Inter-laboratory Assessment on POPs (2012-2013) published in June 2014 was too scientific and that UNEP's C&W Branch should develop an interface between this very technical information and what a decision-maker can understand.

113. **The milestones for this output have been achieved**- the requirement to initiate the third round of the global inter-laboratory assessment was added during the project review and has been achieved. The results are laid down in a databank, which is hosted and maintained by UNEP's C&W Branch and made available in its website[81] to support the effectiveness evaluation of the Stockholm Convention. This databank **includes laboratories from all the targeted countries with the exception of** Cambodia, Ethiopia, Kiribati, Lao PDR, Marshall Islands, Mongolia, Niue, Palau, Philippines, Samoa, Solomon Islands, Tuvalu and Vanuatu. No explanation was found during the evaluation to this coverage.

iv. Tools for presentation and visualization of POPs monitoring and dioxin/furan inventory results developed and disseminated

ACTIVITY 4.1: Present quantitative data in cartographic or other display

114. In order to provide a harmonized organizational framework for the collection of comparable monitoring data on the presence of the POPs (or other hazardous substance) Standard Operating Procedures (SOPs) have been developed and are available at the UNEP's C&W Branch webpage[82]. Comparable data is needed in order to identify trends as well as to provide information for integrated risk assessments.

115. Maps representing quantitative information on POPs in air, human milk and PCDD/PCDF release inventories have been developed by UNEP's C&W Branch under the guidance of the former project manager and have been compiled by the new project manager. However, as of 31 December 2016, **they were not available online as foreseen in the logframe** (paragraph 22).

ACTIVITY 4.2: Produce electronic materials available at the Web, as well as flyers, brochures and larger reports

116. Using the tools described above in activity 4.1, UNEP's C&W Branch was expected in the ProDoc to deliver, in cooperation with scientific partners and Division of Communication and Public Information (DCPI), various dissemination materials for outreach to different groups of clients including the general public. These materials were identified as being flyers, brochures and reports.

117. The Biennial Global Inter-laboratory Assessment on POPs is one example of materials delivered in collaboration with DCPI and various partners (IVM VU, MTM Centre), which is available online[83]. However it was published in June 2014 before the starting of the project and the brochure with the highlights of the report was never delivered.

118. A total of 27 regional monitoring reports have been published and are available at the UNEP's C&W Branch website (paragraph 101).

[80] http://web.unep.org/chemicalsandwaste/chemicalsandwaste/what-we-do/science-and-risk/pops/pops-monitoring/pops-interlaboratory-assessments
[81] http://212.203.125.2/databank/Home/Welcome.aspx
[82] http://www.popstoolkit.com/sops/objectives.aspx
[83] http://drustage.unep.org/chemicalsandwaste/sites/unep.org.chemicalsandwaste/files/publications/POPs%20IA%202nd%20round%20-%20MAR2015_en.pdf

119. UNEP Live has been used as an outreach tool on POPs[84], Laboratories[85] and GMP.

120. **No milestones are foreseen for this activity under the Project logframe.**

v. Expert assistance and guidance for the development of PCDD/PCDF inventories and POPs sampling analysis provided

121. This output was added during the project revision – there is no narrative about its scope and context (as with the remaining outputs covered by the ProDoc) and it was not included under a separate output in the revised logframe under the Project Revision. However the following milestones were added to the project outcome which relate to this activity: *8 Governments receive feedback on their PCDD/PCDF inventories and submit the final versions; 4 laboratories are familiar/trained in the use of new SOPs for POPs sampling and analysis.* According to information provided by the Project Manager requests for assistance have been received from Afghanistan, Paraguay and Uruguay through emails exchange between the national NIP coordinator and the Project Manager.

122. Countries are still working on their NIPs and no inventories have yet been submitted to UNEP's C&W Branch. Therefore no feedback or exchange of communication has yet been initiated.

123. The *SOPs for Active Sampling of Ambient Air* were developed by experts from various partners (MTM Centre, IVM, CSIC, BCCC-SCRC and RECETOX) of UNEP´s C&W Branch with the aim of providing a standard procedure to generate validated and harmonized POPs data for the GMP by active sampling, and to increase comparability of global data. A version from December 2016 was made available to the Evaluator with the indication that it was still work in progress. As of January 2017 they were not yet available online.

124. The *SOPs for Passive Sampling of Ambient Air* were upgraded in 2016 by experts at RECETOX. A version was made available to the Evaluator with the indication that it was work in progress. As of January 2017 they were not yet available on line.

125. **The milestones for this output have not yet been achieved.** The project has failed to provide expert assistance and guidance to eight countries on the development of PCDD/PCDF inventories, to make available the SOPs for active and passive air sampling and to train four laboratories in the use of the new SOPs for POPs sampling and analysis.

The overall rating on the delivery of outputs is **Moderately Satisfactory**

C. Effectiveness: Attainment of project objectives and results

126. As discussed in Part II. H (Reconstructed ToC), the project sought to achieve outcomes that are supposed to lead the project towards its overall impact – "transition to sound management of chemicals and waste at the global level" in order to minimize impacts on the environment and human health. The effectiveness of the project is based on the assessment of the achievement of the three re-formulated outcomes, the likelihood of impact and the attainment of project objectives and results.

The overall rating on effectiveness is **Moderately Satisfactory**

[76] https://wedocs.unep.org/bitstream/handle/20.500.11822/9213/-Zambia%E2%80%99s%20National%20Implementation%20Plan%20(NIP)%20for%20the%20management%20of%20Persistent%20Organic%20Pollutants%20(POPs)-2007The%20National%20Implementation%20Plans%20for%20the%20Management%20of%20Persistent%20Organic%20Pollutants-Complete.pdf?sequence=3&isAllowed=y

[85] https://uneplive.unep.org/country/data#charts|2027|CN

Achievement of Direct Outcomes

127. Assessment of the achievement of outcomes was based on the objectively verifiable indicators described in the project logframe as reformulated under the project revision, using various project documentation and interviews with stakeholders and project staff. As stated in the ProDoc and the Project Revision the **overall purpose of the project** is *to assist countries in generating high quality scientific data for monitoring the presence of POPs in its population and environment*. Indeed, such scientific data allows to assess the amplitude of the risks imposed by POPs in the region, and thus offer the basis for awareness raising, decision-making and actions within governments and the general public, both at national and regional levels. Intra-governmental cooperation (synergies) and public awareness is therefore a major outcome of the project.

128. The **project´s overall expected outcome** is: Parties to the Stockholm Convention *increase their capacities to meet their obligations by using the key scientific information generated by the project*. This has been reformulated as three separate outcomes in the reconstructed ToC (Part II Section H) in accordance with the effective scope of the project which is directly related with the implementation of the Stockholm Convention and in particular to increase the capacities of the Convention's Parties to monitor POPs releases and to develop plans to reduce POPs.

129. During the Project Revision **indicators** were added with regard to the improved understanding of PCDD/PCDF releases by Governments and of POPs sampling and analysis by the national laboratories. The **following two milestones were added**: review and feedback on PCDD/PCDF inventories under way, SOPs under development; governments received feedback on their PCDD/PCDF inventories and submitted the final versions; four laboratories are familiar with/trained in the use of new SOPs for POPs sampling and analysis.

Outcome 1: Governments from targeted countries enhance their capacities to monitor POPs releases

130. UNEP's C&W Branch has worked in close cooperation with the Governments of targeted developing countries that are Parties to the Stockholm Convention to assess the presence of POPs in their environment and population, and to implement the GMP. The project has generated national data which is visible and accessible, e.g., via de GMP DWH[86]. Some regional monitoring reports have been published and are available at the UNEP's C&W Branch website.

Outcome 2: National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way

131. National laboratories have been trained in POPs sampling and analysis through the tools provided by the project. The performance of national laboratories in POPs sampling and analysis has been assessed at regional level and is accessible though the *Bi-ennial Global Inter-laboratory Assessment on Persistent Organic Pollutants – Second Round 2012/2013*[87] developed by UNEP's C&W Branch, made available in June 2014. These assessments are key to prove the performance of national laboratories and build trust in their data. These assessments need to be run in parallel with GMP to ensue that its information is reliable.

132. For most of the countries for the first time national data has been generated in a systematic and comparable way that will characterize their exposure to POPs. One means of verification established in the logframe of the ProDoc is that *National surveys*[88] *are available on the government's websites*. National surveys

[86] http://www.pops-gmp.org/index.php?pg=gmp-data-warehouse

[87] http://drustage.unep.org/chemicalsandwaste/sites/unep.org.chemicalsandwaste/files/publications/POPs%20IA%202nd%20round%20-%20MAR2015_en.pdf

[88] The Prodoc does not specify the nature of the surveys but it is presumed to relate to air and human milk.

were found *inter alia* in Chile[89], Uruguay[90], Egypt[91]and Morocco[92]. One possible source of this information reported during the interviews was the Chemical Information Exchange Network (CIEN) which was developed with the aim of providing a framework on access to and exchange of vital chemical information to support national decision-making and promoting the successful implementation of MEAS[93]. However all the information available, which should include some of the beneficiary countries, was out-dated as of December 2016[94].

Outcome 3: Parties to the Stockholm Convention disseminating and using the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.

133. The project has generated key scientific information (outputs 1 and 2). Key scientific information generated by the project has been disseminated through tools for presentation and visualization of POPs monitoring at the BRS Secretariat website, the UNEP's C&W Branch website and in some cases at the governments websites. New SOPs for POPs sampling and analysis are under development by UNEP C&W Branch. 24 national release inventories of unintentional POPS were developed in accordance with the Toolkit as per information provided by the countries under their national reports or within the NIPs update.

134. There has however been a delay with regard to the review and feedback on PCDD/PCDF inventories, which has not yet started since countries are still working on their NIPs and only after the submission of the national inventories is UNEP's C&W Branch expected to provide feedback to the beneficiary countries.

135. It is too earlier in the process to assess the extent to which the key scientific information generated by the project will help shape appropriate, effective and sustainable plans to reduce POPs.

The rating for overall achievement of outcomes is **Moderately Satisfactory**

Likelihood of impact

136. The Review of Outcomes to Impact (ROtI) approach is used to assess the likelihood of impact by building upon the concepts of reconstructed ToC under Part II H above. The ROtI approach requires ratings to be determined for the outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. The rating system is presented in the Table below.

Table 8: Rating Scale for Outcomes and Progress towards Intermediate States

Outcome Rating	Rating on progress toward Intermediate States
D: The project's intended outcomes were not all delivered	D: No measures taken to move towards intermediate states.
C: The project's intended outcomes were delivered, but were not designed to feed into a continuing process after project funding	C: The measures designed to move towards intermediate states have started, but have not produced results.
B: The project's intended outcomes were delivered, and were designed to feed into a continuing process, but with	B: The measures designed to move towards intermediate states have started and have produced results, which give

[89] *Sistema de Información Nacional de Calidad del Aire- National Information System on Air Quality:* http://sinca.mma.gob.cl/
[90] *Indicadores Ambientais* – Environmental Indicators: https://www.dinama.gub.uy/indicadores_ambientales/fichas/
[91] http://www.eeaa.gov.eg/eimp/air.html
[92] http://www.environnement.gov.ma/fr/cadastre-des-emissions-atmospheriques?showall=&start=1
[93] http://www.eeaa.gov.eg/cmuic/cmuic_pdfs/generalrep/CIEN_brochure_May2005.pdf
[94] According to information provided during the interviews CIEN has permanent staff until 2015 so it was expected that some of the information generated at national level would be available here.

no prior allocation of responsibilities after project funding	no indication that they can progress towards the intended long term impact.
A: The project's intended outcomes were delivered, and were designed to feed into a continuing process, with specific allocation of responsibilities after project funding.	A: The measures designed to move towards intermediate states have started and have produced results, which clearly indicate that they can progress towards the intended long-term impact.

137. The likelihood of achievement of project impact (*transition to sound management of chemicals at global level)* was examined and a summary of the results and ratings of the ROtI are provided under Table 9 below.

138. The overall likelihood that the long-term impact will be achieved at the global scale (i.e Parties to the Chemicals and Waste MEAS, specially developing countries and CEITs) is rated on a six-point scale as **Moderately Unlikely (DC)**.

139. This rating is based on the fact that the project has started to contribute to the intermediate states that comprise the support of the national inventories and global monitoring with new data and the implementation of some obligations of the Stockholm Convention (articles 5 and 16 specially) by the Parties.

140. The activities developed by the project have also started to move towards the intermediate state of contributing to replicate some of the experiences and results from POPs analysis and environmental/human monitoring to other chemicals/countries/regions. The future coverage of more countries/regions will increase the project impact. The experiences and results gained with POPs analysis, environmental and human monitoring networks are standard-setting for other chemicals of concern such as mercury can also apply to work in relation to standards and assessment schemes for chemicals proposed for the MTS (2014-2017) in support of the science strategy work within UNEP.

141. The project has also contributed, according to some interviewees, to prioritizing POPs assessment and monitoring since usually priority is given to food and not to the environment in developing countries and CEITs.

Table 9: Overall Likelihood of Achieving Impact

Project Objective	**To promote a transition to sound management of chemicals and waste at the global level**						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
1.Assessment reports on the release of unintentional POPs available	Parties to the Stockholm Convention disseminating and using the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.	D	National inventories and global monitoring are supported with new data Experience and results from POPs analysis and environmental/human	C	Transition to sound management of chemicals at the global level		DC

Project Objective	To promote a transition to sound management of chemicals and waste at the global level						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
2. Geographical and sectoral POPs monitoring reports published and feed the GMP and Guideline	Governments from targeted countries enhancing their capacities to monitor POPs releases		monitoring are replicated to other chemicals/regions				
3. Final report for the biennial global inter-laboratory assessment on POPs published	National laboratories in targeted countries enchaining their capacities to generate national data in a systematic and comparable way						
4. Tools for presentation and visualizations of POPs monitoring and dioxin/furan inventory results developed and disseminated	Parties to the Stockholm Convention disseminating and using the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.						
5. Expert assistance and guidance for the development of PCDD/PCDF inventories and POPs sampling analysis provided	Parties to the Stockholm Convention disseminating and using the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.						
	Rating		**Rating Justification:**		**Rating**		

Project Objective	To promote a transition to sound management of chemicals and waste at the global level						
Outputs	**Outcomes (Reformulated)**	**Rating (D-A)**	**Intermediate States**	**Rating (D-A)**	**Impact**	**Rating (+)**	**Overall**
	Justification: The **D** rating indicates that the project intended outcomes were not delivered.		The **C** rating reflects that measures that were designed to move towards Intermediate states have started and have produced only a few results in a few countries, but there is no indication of progressing towards long-term impact (which requires more countries getting involved)		**Justification:** The **DC** rating corresponds to **Moderately Unlikely** that the impacts will be achieved, in the long run.		

The overall rating on the likelihood of impact is **Moderately Unlikely**

Achievement of project goal and planned objectives

142. The overall purpose of the project is to contribute to minimizing the impacts on the environment and human health through a transition to sound management of chemicals and waste at global level.

143. The project thus aims at building the technical capacities and at generating the data within target countries, in order to provide solid scientific evidence for mainstreaming and awareness raising/outreach within the government and public at large. More specifically, the project objective is to **support national inventories and global monitoring** by generating new data on the presence of the 11 new POPs added in Annex A of the Convention[95]as well as on the unintentionally generated POPs (PCDD/PCDF)[96]. On the other hand, the project aims at improving the quality of the data generated by the laboratories by organizing new rounds of the global inter-laboratory assessment.

144. The main factors that have affected the project's success in achieving its objectives are: the nature of the project itself (implementing a global project is very demanding); extensive time required to involve the countries; lack of sufficient human resources mainly due to the procurement procedures; long transition period between the project managers and changes in staff composition which affected the institutional memory; transition to new management software (UMOJA) which caused several delays in particular with regard to payment to third Parties.

145. The overall delay in completion of the project (originally intended for 13 months, and was granted an extension of 10 months yet some activities are still pending conclusion) suggests some flaws, both in the

[95] See Annex IV COP decisions SC-4/10-18, SC-5/3 and SC-6/13
[96] See Table 3 Article 5 and Annex C

design (insufficient time) and execution (insufficient financial and human resources) by the implementing agency or insufficient involvement of beneficiary Governments.

146. The project intervention has failed to clear identify "next steps" for implementation of its outputs – e.g what will happen to the national trained laboratories once the project is over if the trained staff have moved to other jobs? Nevertheless, the fact that it complements GEF projects that are still under development and the nature of some of its activities, such as the periodic round on the biennial global inter-laboratory assessment, and the fact that some of its activities are anchored on strong political commitment (paragraph 150) provide a foundation on which to build next steps towards long-term impact.

The overall rating for the achievement of project goals and objectives is **Moderately Satisfactory**

D. Sustainability and Replication

147. Sustainability is understood to mean the probability of continued long-term project-derived outcomes and impacts after the project funding and assistance has ended. The evaluation of sustainability and possibility for replication focuses on four aspects of sustainability (socio-political, financial resources, institutional framework, environmental sustainability), and then looks at the catalytic role the project played towards possible up-scaling and replication.

148. The project is about the generation, aggregation, interpretation and dissemination of data on POPs concentrations at national, regional and global levels. The project mostly builds on other projects focusing on capacity building, namely UNEP project 524.2 on *Support to implementation of the chemicals and waste MEAs* and the second phase of UNEP/GEF GMP project (activity 2.1, above). These complementary projects have received GEF CEO endorsement and are in the process of internalization. They will be implemented from January 2015 to December 2018. They are expected to allow countries to strengthen the capacities, regional networks and coordination, lessons learned as well as their (post-project) regional plans (i.e., “roadmap”) for continuing their POPs monitoring activities in an effective and sustainable way.

149. The project outcomes and impacts are long-term. It will accompany countries in the implementation of the Stockholm Convention for Articles 5 and 16 especially with a view on articles 10,11,15 and 7 (Table 3 above).

Given the information provided below the overall rating for sustainability is **Moderately Unlikely**

Socio-political sustainability

150. Political sustainability is anchored in the fact that the beneficiary countries are in their sovereignty all Parties to the Stockholm Convention and in the decisions of the CoP which expressly foresees reporting to CoP 8 (24 April to 5 of May) on the activities covered by the project: Second global monitoring report[97]; Reports of the meetings of the GCG[98]; Report on the effectiveness evaluation of the Stockholm Convention[99].

151. The main purpose of the project is to assist countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment. The legal nature of the project

[97] UNEP/POPS/COP.8/INF/38
[98] UNEP/POPS/COP.8/INF/39
[99] UNEP/POPS/COP.8/INF/40

guarantees that through the scientific and technical tools as well as training and awareness raising delivered and promoted by the project Parties are interested and committed in using the project's outputs.

152. The participating countries are all Parties to the Stockholm Convention, and as such, have legal obligations to sustain their monitoring activities (article 16) and to report results every four years. At the different CoPs (Annex V) as well as during GCG and Regional Organisation Groups meetings participating countries have reaffirmed the continuation of the GMP activities. The project activities are thus supported by firm political commitment.

153. In addition, the project is designed in a way that activities complement each other to consolidate the capacities developed. For instance, the quality of the analytical capacities developed among the participating national laboratories in the activities 1.1 and 2.1 are reinforced through the global inter-laboratory assessment (activity 3.1). On the other hand, activities 4.1 and 4.2 aim at disseminating the results/findings of the project activities, which not only insure the sustainability of the data, but also foster stakeholders' awareness and support (*e.g.,* government entities and the general public).

154. However due to the nature and coverage of the project the level of country ownership is difficult to determine (paragraph 207).

The rating for socio-political sustainability is **Moderately Likely**

Financial sustainability

155. As mentioned above the project builds on other GEF projects, which have received GEF CEO endorsement and are in the process of internalization. They will be implemented from January 2015 to December 2018. Once they are completed and if no additional resources are pledge the financial sustainability of the project is at stake. It is therefore premature to determine the level of financial sustainability of the project.

156. The contribution of the national budgets to the transition to sound management of chemicals and waste is not under the direct influence of the project – it will depend on the future ownership by the Governments of the beneficiary countries.

157. Aware of the future financial challenges UNEP/DTIE is organising a sustainability meeting[100] with representatives from UNEP, BRS Secretariat, the Strategic Approach to International Chemicals Management (SAICM) Secretariat[101], Minamata Convention and donors (including GEF, development banks) for early 2017 to assist countries to continue long-term project-derived results and impacts after GEF funding and assistance has ended. A financial strategy is expected to derive from this meeting.

Financial sustainability is rated as **Moderately Unlikely**

Institutional framework

158. Considering the global scope of the project the institutional sustainability should be understood as a "tool" for policy implementation. All the Parties to the Stockholm Convention have committed through its ratification/accession to its implementation at national level. Whether that has been reflected in policy/legal/institutional changes is not under the scope of this evaluation as that would require more time

[100] In accordance with information provided by the project team.
[101] http://www.saicm.org/

and resources considering the global nature of the project. However it should be noted that UNEP has created in 2014 a **special programme to strengthen national capacities on sound chemicals managemen**t to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of sound management of chemicals and wastes. It takes into account: national development strategies, plans and priorities of each country; and increase in sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. No link was however established between the project and this programme.

159. On the other hand the project is supporting the four GMP GEF funded projects identified above (paragraph 48) that have started since 2005 building the capacities of the primary beneficiaries of the project: national governments, their ministries, agencies and related research institutions.

160. Institutional sustainability depends on the people in the institutions and their institutional memory. It was reported during the interviews that due to lack of investment from the countries in their national laboratories many of the staff trained by the project tend to leave the institutions in search of better jobs. Unless there is succession management within the national laboratories the staff turnover may affect the continuation of the new practices.

161. On the other hand the fact that there are a variety of stakeholders constitutes a potential to sustain some of the projects results.

Institutional framework is rated as **Moderately Unlikely**

Environmental sustainability

162. Since the project was intended to minimize impacts on the environment and human health of chemicals through a transition to their sound management, it inherently sought to address one of the six cross-cutting thematic priorities of UNEP mandate.

163. By assisting Parties in fulfilling their obligations under the Stockholm Convention (Table 3) the project is contributing, through the generation, aggregation, interpretation and dissemination of crucial data in evaluating the effectiveness of the Stockholm Convention and supporting outreach and mainstreaming about POPs, to achieving the Convention's objective- "protect human health and the environment from POPs".

Environmental sustainability is rated as **Moderately Likely**

Catalytic role and replication

164. The catalytic role of this project is embodied in its approach of supporting the creation of an enabling environment for coordinated action on chemicals management.

165. The fact that the Stockholm Convention is a living treaty facilitates replication, scaling up or mainstreaming of project results, since the adding of new chemicals requires the development of new activities to cover all the areas that fall under the scope of the Convention, including guidance documents. A good example are the SOPs for air sampling which apply to all countries with air sampling regardless of their region, and are being developed at global instead of regional level.

166. Monitoring and institutional capacities are the main constraints for the implementation of MEAs. This project, which has only covered a few countries (paragraph 179), has the potential to be replicated to other countries/regions and to strengthen the institutional capacities of other organisations within the same beneficiary country. Some of the interviewees reported that the project has trained them in testing POPs, which they can now replicate to other organizations in the country.

167. The methodology developed by the project, which allows getting a trend on the level of contamination, can be replicated to other compounds. According to information collected during the interviews the same methodology is being used with regard to the trends of mercury contamination.

168. The fact that some of the project outputs are endorsed by the Parties to the Stockholm Convention (GMP for effectiveness evaluation) increases the replication's potential through synergies with the others chemicals and waste MEAs.

169. However no evidence was found that the project had directly contributed to institutional or policy changes, nor that it has catalysed behavioural changes by the relevant stakeholders of the capacities developed (paragraph 211).

Catalytic role and replication is rated as **Moderately Unlikely**

E. Efficiency

Timeliness

170. The project was estimated to be completed within 13 months. However, as pointed out above (paragraph 174) several reasons contributed to a delay in implementation, which resulted in changes in design during its implementation and in an extension of 10 months with no increase in the budget (Part II.G).

171. The project relies heavily on in-kind contributions from UNEP's C&W Branch. The retirement of the senior Project Manager[102] in June 2015 and the delay in assigning the project to a newly recruited senior Project Manager only in September 2015 should be noted – the project was for three months without leadership counting only on inputs from consultants and trainees without decision making powers. The delay in the replacement of someone that is retiring is a good indicator of an inefficient Human Recruitment process within UNEP, which was reported to be rather cumbersome and long.

172. Moreover it was to date not possible to recruit two additional professional staff[103] to assist in the implementation of the project. The recruitment process was initially launched in July 2014 without any successful candidate, and reopened in 2015 with the new Project Manager; but due to the transition to UMOJA it was again interrupted.[104]

173. The transition towards the new management software UMOJA was reported to have resulted in a number of considerable delays in particular with regard to payment to third Parties (e.g. the first instalment to the BCCC-SCRC Uruguay (paragraph 214) under the Small Scale Funding Agreement (SSFA) was expected upon its signature in May 2016 but due to this constraint it was only received by mid December 2016). This has also affected some of the outputs including the availability of SOPs for active air sampling.

174. As mentioned above the project partly builds on other GEF projects implemented by UNEP (paragraph 48). The conclusions and recommendations from the implementation of these projects were incorporated in the project to enhance its efficiency and cost effectiveness. The following factors were also reported to the Evaluator as having contributed to the cost-effectiveness of the project: the level of technical expertise and commitment of the staff involved; the long-term partnership with the BRS Secretariat; the partnerships with strategic players (for instance with WHO, expert laboratories); and the adoption of pre-existing guidance

[102] UN Professional level P5
[103] UN professional levels P3 and P4
[104] The post for P4 was sent for approval in late 2016 and it is expected to be launched in earlier 2017. As for the P3 it will depend on the funding.

procedures (e.g. WHO survey of human milk for POPs[105], already existing SOPs, training manuals and guidelines for human milk sampling).

175. Considering the limited human and financial resources the project team made a tremendous effort to deliver on their mandate by applying a number of cost effective measures and requesting for a project extension. The main effect of the delay in implementation was the extension of the execution period to complete the project outputs without any budget implication. **However at the end of the extension period the project was still failing to achieve all the milestones with regard to outputs 1, 2, 4 and 5** (paragraphs 98, 101, 113, 125).

The rating for efficiency is **Moderately Satisfactory**

F. Factors affecting performance

i. Preparation and readiness

176. For the most part, the ProDoc provided a clear description of what the project entailed and the requirements for its execution. However in some cases the narrative sections were very superficial (activities 4.1 ad 4.2) or difficult to understand (activity 2.2) and these activities were not accurately described in the logframe (activities 2.2 and 4.1). Table 10 below summarises the overall rating for the Project Design Quality assessed in the Inception Report.

Table 10. Ratings Summary for Project Design Quality (PDQ)

CRITERION	RATING	
Context and complexity	Highly Unsatisfactory	HU
Preparation	Satisfactory	S
Strategic relevance	Satisfactory	S
Intended results and complexity	Satisfactory	S
Logic Framework and Monitoring	Satisfactory	S
Governance and supervision arrangements	Highly Satisfactory	HS
Partnerships	Satisfactory	S
Learning, Communication and Outreach	Satisfactory	S
Financial Planning/Budgeting	Satisfactory	S
Efficiency	Highly Satisfactory	HS
Risk identification and social safeguards	Satisfactory	S
Sustainability/Replication and catalytic effects	Satisfactory	S
Identified project design weaknesses/Gaps	Highly Satisfactory	HS

177. The project comprises five main outputs aimed at supporting the implementation of the Stockholm Convention. The support for the GMP in China has a stand-alone nature and the connections between the different outputs are not always easy to establish. The project objectives are however practicable and feasible within the time frame, except for output 5 which was added during the project revision and was not dependent only on UNEP's C&W Branch delivery but rather on the beneficiary countries developments.

178. Stakeholders were adequately identified as well as their contributions to the project in the ProDoc which however does not refer to any stakeholder's consultation.

[105] WGO survey of human milk for POPs in cooperation with UNEP – Guidelines for developing a national protocol (Revised 1 October 2007) http://www.who.int/foodsafety/chem/POPprotocol.pdf

179. The scope of the direct beneficiaries is ambiguous and their selection criteria unknown: for activity 1.1 and during the Project Revision 84 countries were identified - it is uncertain how this number was estimated; for activity 2.1 table 1 of the ProDoc identifies a total of 43 beneficiary countries whereas under PIMS only 37 are identified[106]. For project output 5, which was added during the Project Revision, 8 beneficiary countries have been indicated but not nominated. During the interviews concerns were raised that the project should have included countries with high levels of pollution (for example Ukraine and Russia).

180. The ProDoc identifies the contributions of the project partners but does not provide an assessment of their capacities. Partnership arrangements are not properly identified in the ProDoc but in many cases were in place prior to project implementation (e.g with the BRS Secretariat or the Regional Centres).

181. Project management arrangements were in place, and for many activities that build upon pre-existing networks (such as 2.1, 2.3) or update pre-existing tools (such as 3.1), lessons from previous developments have been incorporated.

182. The issues raised by the Project Review Committee in December 2014 (on the project technical quality, implementation arrangements, stakeholders engagement, gender and socio-economic issues, sustainability and replication, monitoring and evaluation, communication and publications, and budgeting) were incorporated in the ProDoc at the time of the project approval in March 2015.

183. The risk analysis conducted during the design phase provided a good basis to mitigate the implementation challenges namely with regard to: logistical risks inherent to a programme involving 42 countries (lessons learned from the GMP 1 were identified as risk management measures); inability to conduct laboratory work from the selected laboratories (for quality assurance purposes a number of samples was analysed in partners expert laboratories); and political commitment of the beneficiary countries throughout the project implementation.

Preparation and readiness for the project is rated as **Moderately Satisfactory**

ii. Project implementation and management

184. Implementation of the project followed the general outline described in the ProDoc with a Project Manager and external partners involved in output delivery. Some of the activities involved reporting to the CoP of the Stockholm Convention (e.g. activity 2.1 as part of the GMP for effective evaluation).

185. Mainly due to the small dimension of the project and its tight budget, it was argued before the Project Review Committee that a steering committee/body would add a layer of complication and reduce cost efficiency and effectiveness of the project (paragraph 65). The project was therefore mainly run by the Project Manager reporting to the Head of UNEP's C&W Branch (first reporting officer) and to the Deputy Director of DTIE (second reporting officer) or the DTIE Director.

186. A strong governance framework was provided by the mandates given by the Parties to the Stockholm Convention, the directives provided by the GCG under the GMP, as well as close coordination with the BRS Secretariat in responding to these mandates and directives which foster the achievement of the overall results.

187. The main change during the life of the project was the replacement of the Project Manager and the transition period that took three months during which the project was run by consultants and interns. The

[106] The following countries are only listed in the ProDoc: Togo, Tunisia, Uganda, Zambia, Cambodia and Kiribati

main implication during the transition period was the lack of decision making power which affected the effectiveness of the project. Changes in staff over the course of the project implementation also affected the institutional memory. Moreover the transition to UMOJA and the shift in the donors' priorities, from POPs to mercury (Minamata Convention), have also affected the timeliness of the project execution requiring time from the management to adapt and review some of the projects deliverables.

188. Regarding the external execution, the management arrangements for activity 2.2 (providing support for the GMP in China) implemented by RCEES have been reported as being effective in delivering its outputs. No milestones were however included in the logframe so this could not be assessed.

189. The management structure was generally adaptive to all these challenges, mainly through enhancement of the stakeholder's involvement and review of the project outputs during the Project Revision. However management could have been more adaptive if the rules on M&E had been followed.

190. Reporting is an integral part of the UNEP Project Manager's responsibility, including getting the necessary inputs from any sub-contracted partners. However the rules on M&E were not followed during the project implementation (Sub-section viii Monitoring and Evaluation below).

Project implementation and management is rated as **Moderately Unsatisfactory**

iii. Stakeholders participation, cooperation and partnership

191. The project design puts a strong emphasis on adopting a multi-stakeholder approach, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them.

192. A multi-stakeholder approach has been used in the development of some of the project outputs including the Geographical POPs monitoring reports and the tools for presentation and visualization of POPs monitoring. The Bi-ennial Global Inter-laboratory Assessment on POPs is one example of materials delivered in collaboration with DCPI and various other partners (IVM VU, Orebro University, MTM Centre)- see Table 5 above.

193. The **BRS Secretariat** has been a strategic partner with regard to the promotion of discussions with the Regional Organizations groups and the Global Coordination Group of the GMP and coordination of the GMP Data Warehouse. UNEP's C & W Branch has coordinated with the BRS Secretariat with regard to the *review and update of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases* (output 1), as well as for the *GMP on POP*s (GMP) (output 2).

194. **Formal partnership has been established with WHO** which in collaboration with the BRS Secretariat and UNEP´s C&W Branch, has put in place sustainable, harmonized and comparable human bio-monitoring activities- the human milk surveys[107]. WHO has played an important role in liaising with the countries/regions and supporting the countries in establishing ethical approval – i.e. rules for collecting human samples**.**

195. **Expert laboratories** (CSIC, IVM VU and MTM Centre) have played a crucial role in the project implementation including: training and mirror analysis of samples for developing countries' laboratories and organisation of inter-calibration studies. MTM Centre also served as reference laboratory for PFOs. The CVUA was the reference laboratory for human milk to undertake the analysis of lipophilic POPs in human milk and assist in matters related with this core matrix.

[107] http://chm.pops.int/Implementation/GlobalMonitoringPlan/MonitoringActivities/Humanmilksurvey/tabid/270/Default.aspx

196. **Regional Centres** have been established by the Basel and Stockholm Conventions to provide technical assistance, capacity building and to promote the transfer of technology to Parties that are developing countries or countries with economies in transition, in order to enable them to implement their obligations under these conventions. There are a total of 23 regional centres of which 14 are Basel Convention Regional Centres (BCRCs) and 16 are Stockholm Convention Regional Centres (SCRCs). Seven of the centres serve both conventions. Opportunities for collaboration with partners have been explored during the project implementation and materialised in signing of Small Scale Funding Agreements (SSFA), for instance with the following regional centres: Centre for Latin America and the Caribbean Region (BCCC-SCRC, Uruguay) and Research Centre for Toxic Compounds in the Environment (RECETOX, Check Republic).

197. With regard to UNEP **Regional Offices** it should also be noted that except for the Regional Office for West Asia (ROWA) all the other regional offices have a dedicated regional coordinator officer on Chemicals and Waste since 2015: the Regional Office for Africa (ROA), the Regional Office for Asia and the Pacific (ROAP), the Regional Office for North America (RONA), the Regional Office for the Latin America and the Caribbean (ROLAC),[108] and the Regional Office for Europe (ROE). The main mandate of these dedicated officers is to facilitate the exchange of information on chemicals and waste through regional networking. This regional approach is in line with Governing Council Decision 25 from February 2009[109].

198. The following Regional Offices were identified as stakeholders: ROA; ROAP and ROLAC. Their role was to serve as strategic and local partners in their respective regions and to provide advice and assistance when needed. They have however played a very in indirect role on implementation. This was confirmed during the interview with ROLAC.

199. Within UNEP and besides **DTIE** (which is presently named Economy Division) and the Quality Assurance Section (**QAS**)[110] involved in the review of the project design, the following Divisions were expected to have been involved in the implementation of the project: **DCPI** and the Division of Early Warning and Assessment (**DEWA**).

200. **DCPI**, was in charge of the new UNEP's C&W Branch website which was expected to have been launched by mid 2016 but was delayed until January 2017. It was also in charge of developing other visualization tools such as the second inter-laboratory report which was reported to have been a "very painful and long process" that took over six months and ended up without the delivery of the brochure with some highlights of the report.

201. **DEWA** was expected to have been involved as recipients of information for consideration for inclusion into the Global Environmental Alert System but no subcontracts for visualization were made which, according to information provided by the interviewees, was done in house.

Stakeholder participation, cooperation and partnership is rated as **Satisfactory**

[108] No specific reference was found to this position in the list of staff but the Regional Coordinator was interviewed http://web.unep.org/regions/rolac/

[109] http://www.unep.org/GC/GC25/Docs/GC25-DRAFTDECISION.pdf

[110] Presently named 'Strategic Programme and Policy Division' it is charge of consolidating policy, programme, monitoring, gender and social safeguards functions and were

iv. Communication and public awareness

202. Information dissemination and awareness raising of the project results is foreseen under output 4 regarding presentation and visualization of POPs monitoring and dioxin/furan inventory results. This includes cartographic maps (activity 4.1) and electronic materials available at the web (activity 4.2).

203. A total of 27 regional monitoring reports have been published and are available at the UNEP's C&W Branch website (paragraph 101) and the second Global Monitoring Report has been made available to CoP 7 of the Stockholm Convention (paragraph 46).

204. The Bi-ennial Global Inter-laboratory Assessment on POPs (paragraph 112) in spite of having been published before the starting of the project had the potential to contribute to raising awareness of national laboratories concerning international standards for POPs analysis and to generate confidence in data coming from developing country laboratories - thus increase trust and visibility. Some of the interviewees have however reported that this potential has not been achieved due to the very technical and scientific language of the assessment.

205. Some of the project results have also been published in scientific literature such as the Handbook of Environmental Chemistry[111]. This is however not freely accessible[112].

206. However the geographic maps, which are one of the milestones for awareness raising, have not yet been made available online (paragraph 22). Also no evidence was found of communication strategies developed and entrusted by the beneficiary governments.

Communication and public awareness are rated as **Moderately Satisfactory**

v. Country ownership and drive-ness

207. The geographical scope of the project is global. The level of ownership is therefore difficult to determine since the project is indirectly assisting all Parties to the Stockholm Convention to implement their obligations towards unintentional POPs and effectiveness evaluation (articles 5 and 16 of the Stockholm Convention respectively).

208. The final purpose of the activities developed by the project is to assist countries in generating high quality data for monitoring the presence of POPs in their population and environment and to ensure that the trends are consistent, comparable and are decreasing (activities 2.1 and 3.1). This requires ownership by the direct beneficiary governments (a total of 42 countries were identified as beneficiaries of activity 2.1[113]) which was not evident from the evaluation.

209. Capacity building of national laboratories was reported by partners and beneficiaries as having been successful but if the national governments don't take effective ownership over the process its contribution to the final purpose of the project is questionable. With a few exception (including Uruguay, China, Vietnam and Kenya) trained staff tends to move on to better jobs mainly due to lack of investment from the Government.

210. The new output added during the project review on expert assistance and guidance provided for the development of PCDD/PCDF inventories and POPs sampling analysis is also expected to build upon countries

[111] Dioxin and Related Compounds Special Volume in Honour of Otto Hutzinger Volume 49 (2016).
[112] http://www.springer.com/us/book/9783319238883
[113] Under the PIMS only 37 are reported. The following countries are listed in the ProDoc and not at PIMS: Togo, Tunisia, Uganda, Zambia, Cambodia and Kiribati

ownership. However, and as reported above (paragraph 122) the eight beneficiary countries have not yet submitted their inventories to UNEP's C&W Branch.

211. Overall it is expected that through the activities developed by the project countries will be assisted in determining actions to reduce POPs and develop new policies to address them. This was reported to have been the case by one of the beneficiary countries but it was not possible to determine how effective has the project been in stimulating country ownership of its outputs.

The country ownership and driven-ness is rated as **Moderately Unsatisfactory**

vi. Financial planning and management

212. During the project implementation no project progress and financial expenditure reports were elaborated. The financial information available was scarce (paragraph 29). It was also not possible to obtain from the project's Administrative Officer of UNEP's C&W Branch the estimated overall expenditure of the project as of December 2016. The financial management components are listed and rated under Annex V of this report.

213. Funds (Norway funds) are managed by the C&W Branch and by the BRS Secretariat with regard to its funding lines, and are reported to the head of the C&W Brach and to the BRS Secretariat respectively. The BRS Secretariat was not able to provide official expenditure reports for their contribution of 88,496 USD, but verbally confirmed to the Administrative Officer of UNEP's C&W Branch that there should not be any balance left as of 31 December 2016.

214. The Evaluator only had access to two SSFAs. One of the SSFA was signed with CVU prior to the project (in May 2014) to organize the Second Round of the final and assessment workshop of the "Bi-ennial Global Inter-laboratory Assessment on POPs" and to train ten participants from developing countries on the analysis of new POPs (activity 3.1). The other one was celebrated with BCCC-SCRC, Uruguay in June 2016 with regard to SOPs for active air sampling and advise on POPs inventories undertaken by Parties to the Stockholm Convention in the context of their NIPs (output 5).

215. Given the inadequacy of relevant data, the evaluation is unable to sufficiently assess the quality and effectiveness of financial planning and control of financial resources throughout the project's lifetime.

Financial planning and management is rated as **Highly Unsatisfactory**

vii. Supervision, guidance and technical backstopping

216. The project implementation structure was very light – no Steering Committee was either established or envisaged (Part II, Section F). Overall supervision has been provided by the Project Managers throughout the project implementation. All the stakeholders interviewed highlighted the responsiveness and guidance provided by the Project Manager (their main contact person) who was said to be always available, mainly through email, to provide technical support, guidance and supervision.

217. The technical backstopping and guidance was based a lot in the scientific expertise of the first Project Manager[114] whereas interviewees pointed out that the excellent knowledge of the UN System and of the BRS

[114] See, for example, express acknowledgement and references under chapter 3 and list of references of *the Second Round of the Bi-ennial Global Interlaboratoty Assessment on POPs*

Secretariat had made the supervision provided by the new Project Manager very useful. So in the end the combination of the two styles and approaches had positive implications in the project implementation.

218. The key stakeholders interviewed had high praise for the technical expertise and sensitiveness to countries contexts from the project supervision, which were considered the main comparative advantage of UNEP. Other advantages when compared with other implementing agencies include: specific mandate on environment (whereas others have different core businesses); extensive knowledge of the MEAs (UNEP is involved since the legal drafting of the MEAs to their implementation, being the author of the main technical and scientific tools); neutrality and roster of senior expert consultants.

219. Overall, technical backstopping by the Project Manager and in some activities by consultants was reported by the key stakeholders as generally good and well handled given the diversity of activities covered and the human and financial resources constraints. However the lack of project monitoring during its implementation affected its overall supervision and backstopping.

Supervision, guidance and technical backstopping is rated as **Moderately Satisfactory**

viii. Monitoring and Evaluation

Given the information below monitoring and evaluation is rated as **Unsatisfactory.**

M&E Design

220. A general M&E was designed which included a very general Monitoring Plan and an Evaluation Plan. The Monitoring Plan included the following Progress and Financial Reports: externally **progress reports** every two years for UNEP or otherwise requested and **progress/implementation reports** every two years towards the 2020 goal of the Governing Council; internally the project was required to follow UNEP standard monitoring, reporting and evaluation processes and procedures. A unified half-yearly **progress and financial report** was expected to be submitted to the Programme Framework Coordination Division in electronic format with a copy to QAS (PIMS).

221. The project logframe included objectively verifiable indicators of achievements and means of verification and milestones for the project outcome and outputs and milestones. The indicators used in the logframe were, for the most part, measurable and relevant to the outcome/output. However the project logframe was incomplete (activity 4.2 was not included) and not comprehensive regarding activity 2.2.

222. The risk analysis provided in the ProDoc, was not sufficient to deal with some risks encountered during project implementation that were difficult to manage (e.g. level of countries involvement in activities 2.1 and 5).

The M&E design is rated as **Unsatisfactory**

http://drustage.unep.org/chemicalsandwaste/sites/unep.org.chemicalsandwaste/files/publications/POPs%20IA%202nd%20round%20-%20MAR2015_en.pdf

Budgeting and Funding of M&E activities

223. Due to the short duration of the project only a Terminal Evaluation was foreseen for which 25,000 USD were allocated in the project budget. No funds were allocated for monitoring activities. Monitoring is crucial to project implementation and it cannot be done effectively without a budget allocation.

Budgeting and funding of M&E activities is rated as **Unsatisfactory**

M&E Plan Implementation

224. Reporting is an integral part of the UNEP Project Manager's responsibility, including getting the necessary inputs from any sub-contracted partners. However these rules were not followed during the project implementation.

225. The project monitoring was to be carried out by the Project Manager with feedback and advice from partners. Besides the external reports every two years (progress reports to UNEP and progress/implementation reports towards the 2020 goals to the Governing Council) internally half- yearly "progress and financial reports" were expected on the achieved progress related to the project milestones. None of these reports was however delivered. These reports were not produced during project implementation as expressly required under Section 6 of the ProDoc.

226. The information under PIMS was last updated on 30 June 2016. The section on "Project Progress Reporting" is empty; the only reporting provided is by project outcome and output, which are presented as general descriptions of what was done and which lack analytical value. There are no baselines or means of verification that can help in assessing the extent to which the project was delivering on its mandate.

227. Moreover, no system of monitoring of performance was implemented although the ProDoc identified this as an overall responsibility of the project management and should have included self-evaluation and half-year reports on substantive and financial matters - required to identify strengths and weaknesses, help in adaptive management and keep track of outcome indicators, allowing a timely tracking of results and progress towards projects objectives throughout the project implementation period and to adapt and improve project execution, achievement of outcomes and ensure sustainability.

The M&E plan implementation is rated as **Highly Unsatisfactory.**

IV. Conclusions and Recommendations

A. Conclusions

228. The **overall purpose of the project is** to assist countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment thus promoting a transition to sound management of chemicals and waste at global level. It aims to build capacity in developing country regions and at contributing to the Global Management Plan in assessing the environment fate and transport of POPs globally, as well as in evaluating the effectiveness of the Stockholm Convention.

229. More specifically, the project objective is to **support national inventories and global monitoring** by generating new data on the presence of the 11 new POPs added in Annex A of the Convention[115] as well as on the unintentionally generated POPs (PCDD/PCDF)[116]. At the same time, the project aims at improving the

[115] See Annex IV COP decisions SC-4/10-18, SC-5/3 and SC-6/13
[116] See Table 3 Article 5 and Annex C

quality of the data generated by the laboratories by organizing new rounds of the global inter-laboratory assessment which allow the analytical results reported by the laboratories involved to be reliable, meet international standards, and be presented in a harmonized manner to make them acceptable for clients at international level

230. The **project outcomes** (i.e. the direct indented results stemming from the five project outputs) are: 1) Governments from targeted countries enhance their capacities to monitor POPs releases; 2) National laboratories in targeted countries enhance their capacities to generate national data in a systematic and comparable way; 3) Parties to the Stockholm Convention disseminate and use the key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs.

231. The project was approved on 10th of March 2015 and its **implementation started in February 2015** to be completed in February 2016 (13 months implementation). In June 2016 the project was **extended to December 2016** with no increase in the budget (23 months total implementation). The fact that it took a long duration to go through the approval process, meant that some of the activities started prior to the project approval – e.g. the *Second Round of the Bi-ennial Global Inter-laboratory Assessment on POPs* was publishes in June 2014. The Prodoc revision started late in the process- the project's initial expected completion date was February 2016 and the revision was only approved in June 2016.

232. Given the limited human and financial resources available the project has achieved a considerable number of results. The fact that the project partly builds on other GEF projects implemented by UNEP incorporating the conclusions and recommendations from the implementation of these projects have contributed to its performance. **Other factors that have contributed to the project success** include: the level of technical expertise and commitment of the staff involved; the long-term partnership with the BRS Secretariat; the partnerships with strategic players (with WHO and expert laboratories); the adoption of pre existing guidance procedures (e.g. WHO survey of human milk for POPs[117], already existing SOPs, training manuals and guidelines for human milk sampling).

233. The project puts a strong emphasis on adopting a **multi-stakeholder approach**, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them. However stakeholders were not involved in the conceptualization of the project and the majority was not consulted during the design phase The geographical coverage of the project is also ambiguous - the exact number of countries covered by the activities developed by the project is ambiguous (paragraph 179) and the selection criteria are unclear.

234. **Cooperation and partnership arrangements with strategic players** (WHO, reference laboratories and regional centres) have contributed to achieving some of the project outputs. However not all the external partners identified during the project design were involved in its implementation (Table 5).

235. The key stakeholders interviewed had high praise for the technical expertise and sensitiveness to countries contexts from the project supervision, which were considered the **main comparative advantage of UNEP.** Other advantages when compared with other implementing agencies include: specific mandate on environment (whereas others have different core businesses); extensive knowledge of the MEAs (UNEP is involved since the legal drafting of the MEAs to their implementation, being the author of the main technical and scientific tools); neutrality and roster of senior expert consultants.

236. Monitoring and institutional capacities are the main constraints for the implementation of MEAs. This project, which has only covered a few countries, has the **potential to be replicated to other countries and to**

[117] WGO survey of human milk for POPs in cooperation with UNEP – Guidelines for developing a national protocol (Revised 1 October 2007) http://www.who.int/foodsafety/chem/POPprotocol.pdf

strengthen the institutional capacities of other organisations within the same beneficiary country. The fact that some of the project outputs are endorsed by the CoP (GMP for effectiveness evaluation) increases the replication's potential. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed changes by the relevant stakeholders of capacities developed.

237. **The main challenges in the project performance** are: the nature of the project itself - implementing a global project is very demanding and using a multi-stakeholder approach requires the involvement of many partners; time required to involve the primary beneficiaries (Parties to the Stockholm Convention); cumbersome procurement procedures which resulted in lack of sufficient human resources; long transition period between the project managers and changes in staff composition which affected the institutional memory and the transition to new management software (UMOJA) which caused several delays.

238. **Other challenges** have been the dissemination, availability and use of the key scientific information provided by the project some of which is still work in progress and the turnover in trained staff within the national laboratories. **At the end of the extension period (31 December 2016) the project was still failing to achieve all its milestones, including assistance to all the beneficiary countries.**

239. The key scientific information generated by the project has supported the global monitoring and the quality of the data generated by the laboratories. However due to delays in implementation it is not possible to determine the degree to which the new data generated by the project has supported the national inventories and it is too early in the process to assess whether it has helped shape appropriate, effective and sustainable plans to reduce POPs. To strengthen compliance with the Stockholm Convention. **Developing country Parties and Parties with economies in transition need assistance on the implementation of this key scientific information.**

240. **No system of monitoring performance was implemented** which the ProDoc identified as an overall responsibility of the project management and should include self-evaluation and half-year reports on substantive and financial matters. This is a strong weakness of the approach followed by the project management.

241. The overall rating for the project is **Moderately Satisfactory**. The ratings for the individual criteria are given in the Table below.

Table 11: Summary assessment and ratings by evaluation criterion for the project

Criterion	Summary Assessment	Evaluator's Rating	EOU's Rating
A. Strategic relevance	The project is aligned with the UNEP mandate, its MTS and relevant PoW, as well as the Bali Strategic Plan and the SDG. The project is consistent with environmental issues and needs and addresses south-south cooperation. It generally reflects gender balance and indigenous peoples concerns.	**S**	
B. Achievement of outputs	The outputs have been partially achieved. However the project has failed to assist all the beneficiary countries and to make available the information produced, some of which is still a work in progress.	**MS**	
C. Effectiveness: Attainment of project objectives and results		**MS**	

Criterion	Summary Assessment	Evaluator's Rating	EOU's Rating
1. Achievement of direct outcomes	The project has generally contributed to enhancing the capacities of the national laboratories within the target countries and to disseminating key scientific information generated by it. However it is to early to assess the degree to which this key scientific information has contributed to shaping of appropriate, effective and sustainable plans to reduce POPs, especially considering the yet undetermined low level of country ownership.	**MS**	
2. Likelihood of impact	The project's intended outcomes were delivered but were not designed to feed into a continuing process after project funding – the long-term impact requires a global involvement of countries.	**Moderately Unlikely (DC)**	
3. Achievement of project goal and planned objectives	Several factors have affected the project intervention and its capacity to clearly identify "next steps" for implementation. Nevertheless the project did contribute to the support of global monitoring with new data and to the generation of part of the key scientific information that will support Parties in implementing their obligations under the Stockholm Convention.	**MS**	
D. Sustainability and replication		**MU**	
1. Socio-political	The beneficiary countries are all Parties to the Stockholm Convention. The continuation of the GMP activities has been reaffirmed by Parties at different CoPs (Annex V) as well as during the GCG and Regional Organisation Groups meetings. The project activities are thus supported by firm political commitment. However the level of country ownership is yet to be determined given the nature of the activities developed and the timing of the evaluation.	**ML**	
2. Financial	The continuation of the project outcomes does not seem to be sustained, particularly after 2018 with the end of the second phase of UNEP/GEF GMP projects. However since the project still has two years to go it is premature to determine its level of sustainability.	**MU**	
3. Institutional framework	No evidence was found that the project has created a foundation towards institutional and legal strengthening.	**MU**	
4. Environmental	Generally, there are no project outputs that would have a negative impact on the environment if sustained. Up-scaling of the project can have long-term positive benefits minimizing the impacts of chemicals on the environment and human health.	**ML**	
5. Catalytic role and replication	The project had a number of strong catalytic elements and potential for replication. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed behavioural changes by the relevant stakeholders of the capacities developed.	**MU**	
E. Efficiency	Given the limited human and financial resources available the project has achieved a considerable number of results however at the end of the extension period the project was still failing to achieve all its milestones.	**MS**	
F. Factors affecting project performance			
1. Preparation and readiness	The project was generally well designed with stakeholders identified and a risk analysis done. It had however minor shortcomings mainly with regard to the links between the different outputs/activities and theirs clarity under the logframe.	**MS**	

Criterion	Summary Assessment	Evaluator's Rating	EOU's Rating
2. Project implementation and management	The project was implemented under a very light management structure based in the Project Manager. The transition period between Project Managers affected its timeliness but the management was generally adaptive. However the rules on M&E were not followed by the project management which are crucial for implementation.	**MU**	
3. Stakeholders participation, cooperation and partnership	A multi-stakeholder approach has been used in the development of some of the project outputs. Several partners have been involved in the project implementation and have contributed to the achievements of its outputs (Table 5).	**S**	
4. Communication and public awareness	Communication and awareness raising through tools for presentation and visualization was one of the outputs of the project which has however failed to deliver all its milestones. No evidence was found of communication strategies developed and entrusted by the beneficiary governments	**MS**	
5. Country ownership and driven-ness	The geographical scope of the project is global. The level of ownership is therefore difficult to determine. In those activities country driven (2.1 and 2.2) the level of ownership was however not evident.	**MU**	
6. Financial planning and management	No financial or progress/implementation reports were elaborated during the project implementation (Annex V).	**HU**	
7. UNEP supervision and backstopping	The level of technical guidance and supervision by the Project Manager and in some activities by consultants and partners was highly regarded by the key stakeholders. Technical expertise was considered one of the main comparative advantages of UNEP. However the lack of project monitoring during its implementation affected the level of project performance and its supervision.	**MS**	
8. Monitoring and evaluation	The rules on Monitoring and Evaluation under Section 6 of the ProDoc were not implemented.	**U**	
a. M&E Design	A general M&E was designed which included a very general Monitoring Plan, which does not constitute a comprehensive monitoring instrument. A general reference was made to the Evaluation Plan.	**MU**	
b. Budgeting and funding for M&E activities	Terminal Evaluation clearly costed. No budget for monitoring which is crucial for project implementation.	**U**	
c. M&E Plan Implementation	The M&E Plan was not implemented. Except for the general reporting under PIMS there was no evidence of any reporting activity, including lack of the mandatory six-monthly reporting. Under PIMs reporting was done by project outcome and output, which are presented as general descriptions of what was done and which lack analytical value. The information under PIMS was last updated in 31/12/2017.	**HU**	
Overall project rating		**MS**	

B. Lessons Learned

242. **Project design and revision procedures should be streamlined** (paragraph 231)**:** the QAS/Strategic Programme and Policy Division of UNEP should be faster in approving the project. In order to ensure synchronisation and that there are no gaps in project implementation projects must be approved before the starting of the activity and before the PoW biennium. Also there should be a fast track recruiting mechanism.

243. **The full engagement of key stakeholders is crucial during the design of projects and throughout their implementation** (paragraph 233): in order to facilitate the implementation of projects that use a multi-stakeholders approach and involve external partners it is important to ensure that resources allocation and expectations are defined at the project design phase and with the engagement of the stakeholders.

244. **The ownership of primary beneficiaries is required to ensure sustainability of the project outcomes and impacts** (paragraph 236): in order to promote a transition to sound chemicals management, activities developed at national level need to be anchored in national priorities, namely poverty reduction and sustainable development.

245. **Monitoring is crucial for implementation and supervision of project performance** (paragraph 240): in order to improve implementation it is essential that its progress towards projects objectives throughout the project implementation period, and quality are regularly monitored including the identification of any difficulties encountered and actions taken to overcome them.

C. Recommendations

246. **Key stakeholders should be appropriately involved since the conceptualization of the project** (paragraph 237): UNEP's C&W Branch in designing its project based on a multi-stakeholder approach that rely on external partners to implement many of its outputs should actively promote the involvement of stakeholders in the design and implementation phase.

247. **UNEP Regional Offices and Regional Centres should be involved in the design and implementation of all the activities with a regional scope** (paragraph 238): Regional Centres expertise should be explored since the project design. Within the Regional Offices the dedicated Chemicals and Waste Officers could play an active role not only in identifying the needs and priorities of the countries in their regions (which would require effective involvement in the design phase) but also in disseminating and up scaling the project to other countries within the region. Both entities could play a role in increasing the countries ownership.

248. **Institutional memory is key to sustainability** (paragraph 237): UNEP's C&W Branch needs to reply on permanent staff to implement multi-stakeholders projects with a global scope - consultants and trainees regardless of their commitment affect the Branch's institutional memory.

249. **Future priorities should be focused on implementation** (paragraph 239): the project has developed key scientific data, which is now available and should be used by the primary beneficiaries. In order to promote a sound transition to management of chemicals at the global level the BRS Secretariat needs to focus on assisting countries in implementing the obligations derived by the Conventions.

250. **Policy development and guidance** (paragraph 235)**:** considering the competitive advantages of UNEP and the work being developed by the UNEP's C&W Branch it should focus its future work on policy development and guidance at global (through pre-existing networks) and regional level (through regional centres and regional offices) rather then country interventions (where UNEP does not have representation).

Annexes

Annex I: Terms of Reference

TERMS OF REFERENCE

(Version May 2016)

Terminal Evaluation of the UNEP Project

"Chemicals management needs and priorities: National dioxin/furan inventories and POPs global monitoring"

I. TERMS OF REFERENCE FOR THE EVALUATION

1. Objective and Scope of the Evaluation

1. This project was designed as a continuation of the established cooperation between the UNEP Chemicals Branch and the Basel, Rotterdam and Stockholm (BRS) Conventions Secretariat. It produces key scientific information on the concentration and transport of POPs in the targeted countries, contributes to the Global Monitoring Plan, and provides technical assistance in developing countries. The project provides links to other projects within the UNEP sub-programme on Chemicals and Waste that have developed global guidelines or delivered science-based information where UNEP has a comparative advantage. It was approved in March 2015 and is complemented by four other regional GEF projects on Global Monitoring Plan of POPs.

2. The project aims to achieve the following outcome: "***the capacities of the national laboratories is enhanced within the targeted countries, and the key scientific information generated by the project is disseminated and helps shape appropriate, effective and sustainable plans to reduce POPs***". To achieve this, it has been designed to address activity components that revolve around the delivery of four main outputs, namely:

a. Two assessment reports on the release of unintentional Persistent Organic Pollutants (POPs);

b. Geographic and sectoral POPs monitoring reports for the targeted countries, which will feed the Global Monitoring Plan and Guideline;

c. A final report that will be published for one round of the global inter-laboratory assessment on POPs; and

d. Tools for presentation and visualization of results.

3. The project has a global scope and targets more than 40 countries in three regions, i.e. Africa, Asia and the Pacific, Latin America and the Caribbean. The primary beneficiaries are the governments that are Party to the BRS conventions; primarily the governments directly participating in the project, but also the other Parties, through data and experiences gathered during the project. The main direct beneficiaries are the participating laboratories receiving training and consumables/spares. The [planned] project cash budget is US$ 743,065.00, with UNEP in-kind contribution of US$ 152,500.00 and a co-financing contribution of US$ 240,000.00 from China.

4. In line with the UNEP Evaluation Policy[118] and the UNEP Programme Manual[119], 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 the project's main project partners (e.g. Joint Secretariat of the Basel, Rotterdam and Stockholm Conventions and the Parties; Stockholm Convention and Basel Convention Regional Centers; GEF Secretariat; WHO; SAICM Secretariat; UNEP Regional Offices, Division of Technology, Industry and Economics (DTIE) Chemicals Branch, Division of Early Warning and Assessment (DEWA), Division of Communication and Public Information (DCPI); Academia; and Bilateral donors. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

5. The evaluation will focus on the following sets of **key questions**, based on the project's intended outcomes, and which will be further concretised in the Inception Report:

[118] http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx
[119] http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf

(a) To what extent is there evidence emerging of target countries having achieved **enhanced awareness and capacity in the scientific understanding** of the nature of POPs and their impacts on environment and health?

(b) To what extent has the project contributed to the **increased use** o**f scientific and technical knowledge and tools** for the implementation of sound management of chemicals and wastes, within governments, industries and the general public? Is the project making significant contributions to the Global Monitoring Plan initiative?

(c) Is there any emerging evidence that the project has contributed to **improvements in the institutional structure** of target countries which is likely to lead to the achievement of the project's overall objective? To what extent are the project results/products (assessment reports, monitoring reports, national surveys, outreach materials, tools for presentation and visualisation of results, etc.) being used by policy makers in the target countries?

(d) How successful has the project been in fostering **replication and scaling up of its activities** through lessons learned, good practices and innovations? Is there evidence emerging of target countries implementing sustainable plans to reduce POPs?

(e) To what extent is the project **support provided to target countries matching their needs** (technical capacities, infrastructure, institutional set up, etc.), and what lessons can be learned from implementation?

(f) To what extent have the current **partnership and collaborations been effective** (primarily with BRS Secretariat, key partners, collaborating agencies and other strategic stakeholders) in supporting the delivery of the project's planned results?

2. Overall Approach and Methods

6. This terminal evaluation will be conducted by an independent consultant under the overall responsibility and management of the UNEP Evaluation Office (EO) in consultation with the UNEP Project Manager, and the UNEP Chemicals and Waste sub-programme coordinator.

7. 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, to the extent possible, emerging evidence of impacts. It is highly recommended that the consultant 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.

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

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

- Relevant background documentation, inter alia UNEP internal project document, including project documents of the four GEF projects contributing to this project but not financially included, and background documentation on the Global Monitoring Plan (GMP) and BRS Secretariat;
- Project design documents (including minutes of the project review committee (PRC) meeting at UNEP approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplements), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Project outputs;
- UNEP PoW, MTS and strategic framework (covering the years when the projects were implemented)
- Other relevant material including publications, websites, etc.

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

- UNEP Project Manager and key project officers (DTIE/Chemicals Branch, Science Team);
- Key officers in BRS Secretariat, SAICM Secretariat
- Key officers in WHO, UNIDO, UNITAR, UNDP, World Bank and other IOMC members as well as UNEP regional offices;
- Country representatives from the target countries;

- Representatives from participating laboratories
- UNEP Funds Management Officer;
- Project partners and collaborators; and
- Other relevant resource persons.

(c) **Field visits/field studies:** there being over 40 target countries, the choice of countries to visit is quite wide therefore most of the data will be gathered remotely through various means. There is however an opportunity to undertake a mission to China because Activity 2.2 was specifically directed for support of the GMP in China and is directly related to project implementation.

(d) **Questionnaire for participating countries**. A brief questionnaire will be distributed to all participating countries to collect comparable information on the extent to which their needs are being met by the project support provided.

3. Key Evaluation Principles

9. 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 is not possible, the single source will be mentioned. Analysis leading to evaluative judgements should always be clearly spelled out.

10. The evaluation will assess the project with respect to **a minimum set of evaluation criteria** grouped in five 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. The evaluation consultant can propose other evaluation criteria as deemed appropriate.

11. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 in the extended version of these TOR[120] provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

12. **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.

13. **The "Why?" Question.** As this is a terminal evaluation and 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 consultant's mind all through the evaluation exercise. This means that the consultant needs to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was, i.e. of processes affecting attainment of project results (criteria under category 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 consultant 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.

14. 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.

[120] This is an abridged version of the TOR. The extended version which includes supporting information and guidelines for the evaluation will be made available to the evaluator.

15. **Communicating evaluation results**. Once the consultant has obtained evaluation findings, lessons and results, the EO 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, preparation of an evaluation brief or interactive presentation.

4. Evaluation Criteria

A. Strategic Relevance

16. The evaluation will briefly assess whether the project's objectives and implementation strategies are consistent with global, regional and national environmental issues and needs. The Evaluation will also comment on the relevance of the project to the overall achievements of the the BRS Secretariat and the Global Monitoring Plan.

17. The evaluation will also briefly describe 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.[121]

18. The evaluation should note any relevant issues in relation to the project's alignment / compliance with UNEP's policies and strategies on gender balance, promotion of south-south cooperation and the integration of social and environmental safeguards.

19. Based on an analysis of project stakeholders, the evaluation should assess the relevance of the project intervention to key stakeholder groups, including a specific focus to its relevance to country priorities and strategies.

B. Achievement of Outputs

20. The evaluation will assess, for each component, the project's success in producing the programmed outputs (products and services delivered by the project itself) and milestones as per the project document (ProDoc) and any modifications/revisions later on during project implementation, both in quantity and quality, as well as their usefulness and timeliness.

21. 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 under Section F (which covers the processes affecting attainment of project results). Establish too whether key stakeholders were appropriately involved in producing the programmed outputs.

C. Effectiveness: Attainment of Objectives and Planned Results

22. The evaluation will assess the extent to which the project's objectives were effectively achieved or are expected to be achieved.

23. The evaluation will reconstruct the **Theory of Change** (ToC)[122] of the project based on a review of project documentation and stakeholder interviews. The ToC will depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC will further define 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.

24. 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 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 be modified / adapted from the original design during project implementation).

25. The assessment of effectiveness will be structured in three sub-sections:

[121] 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 Sub-programmes (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 2014-2017. The magnitude and extent of any contributions and the causal linkages should be fully described.

[122] The 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).

(a) 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 enhancement of capacities of the national laboratories, and the dissemination of key scientific information generated by the project, to help shape appropriate, effective and sustainable plans to reduce POPs within the targeted countries.*

(b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach[123]. 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. The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (relating to Environmental, Social and Economic Safeguards)

(c) 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 Document[124]. 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.

(d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which Human Rights (HR) and Gender Equality (GE) were integrated in the project document, Theory of Change and results framework of the intervention, and to what degree participating institutions/organizations may have changed their policies or practices.

D. Sustainability and Replication

26. 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.

27. Four aspects of sustainability will be addressed:

a) **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 to achieve a transition to sound management of chemicals and waste among the target countries? Was there 'succession planning' implemented this during the life of the project? Did the intervention activities promote (positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders?

b) **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 resources[125] 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?

c) **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

[123] Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.
[124] Or any subsequent **formally approved** revision of the project document or logical framework.
[125] Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services? The evaluation should also look at the extent to which any lessons are emerging on how participating countries may internalise chemicals and POPs monitoring and management.

d) **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?

28. **Catalytic role and replication**. The ***catalytic*** *role* of this project is embodied in its approach of supporting the creation of an enabling environment for coordinated action on chemicals management. The evaluation will assess the catalytic role played by this project, namely to what extent the project has:

(a) *catalyzed behavioural changes* in terms of use and application, by the relevant stakeholders, of capacities developed;

(b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;

(c) contributed to *institutional changes*,

(d) contributed to *policy changes* (on paper and in implementation of policy);

(e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.; and

(f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

29. The evaluation will assess the approach adopted by the project to promote ***replication***[126] effects and determine to what extent actual replication has already occurred in the target countries \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

30. 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 secured budget and 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..

31. 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.

F. Factors and Processes Affecting Project Performance

32. **Preparation and readiness**. This criterion focuses on the quality of project design and preparation. Were project stakeholders[127] 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? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of partner 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

[126] 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).

[127] 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.

Project Review Committee minutes at the time of project approval adequately addressed? To what extent is the process of selecting lead agencies for country programs well designed and efficient?

33. **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 and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

(a) 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?

(b) 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.

(c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.

(d) Assess the extent to which project management responded to direction and guidance provided by steering bodies/committees.

(e) 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.

34. **Stakeholder participation, cooperation and partnerships.** The evaluation will assess the effectiveness of mechanisms for information sharing and cooperation among the target countries, (directly and indirectly) cooperating agencies, external stakeholders and partners. The term stakeholder should be considered in the broadest sense, encompassing both project partners and target users 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.

35. 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:

(a) 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?

(b) 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?

(c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?

(d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?

(e) 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, including at the country level? How could ownership of national institutions be further strengthened? This should be disaggregated for the main stakeholder groups identified in the inception report.

(f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning among partner agencies? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?

(g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop?

36. **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 us of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

37. **Country ownership and driven-ness.** Countries participating in this project are all Parties to the Stockholm Convention and therefore committed to implement Article 16 of the convention. These countries have also developed (or are developing) National Implementation Plans (NIPs), and have indicated the development of monitoring capacity as a component of their NIP. The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies and other stakeholders in the project.

(a) To what extent have Governments provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project? What were the reasons and lesson learnt from cases where responsibility and support were not sufficiently provided and what could be done to improve this?

(b) How well did the project stimulate country ownership of project outputs? How could this ownership be strengthened? Have participating opportunities also for women, youth and the poorest been taken into account?

38. **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:

(a) 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;

(b) 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;

(c) Present the extent to which co-financing has materialized as expected at project approval. 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.

(d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.[128]

39. 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.

40. **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.

41. The evaluators should assess the effectiveness of supervision, guidance and technical support provided by the different supervising/supporting bodies including:

(a) The adequacy of project supervision plans, inputs and processes;

(b) The realism and candour of project reporting and the emphasis given to outcome monitoring (results-based project management);

(c) 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?

[128] 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, NGOs, foundations, governments, communities or the private sector

42. **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:

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

- Arrangements for monitoring: Does 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 updates, including current ToC) 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? Taking into account the current revision of the indicators used for monitoring purposes, is the current system deemed appropriate to ensure monitoring of the project going forward?
- 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 is the project engaging 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)?
- Did the project appropriately plan to monitor risks associated with Environmental Economic and Social Safeguards?
- 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.

(b) *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;
- Half-yearly Progress & Financial Reports (both UNEP level and donor- required) were complete and accurate;
- Risk monitoring (including safeguard issues) was regularly documented
- 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 Consultant

43. For this evaluation, the evaluation team will consist of one independent Consultant. The following expertise and experience is required: Advanced university degree in environmental sciences or international environmental law; evaluation experience including of large, regional or global programmes and using a Theory of Change approach; a broad understanding of Multilateral Environmental Agreements (MEAs) and in particular the Basel, Rotterdam and Stockholm

conventions; knowledge of the UN system (previous consultancy work with UNEP is desirable); fluency in both written and oral English[129]; attention to detail and respect for deadlines; minimum 15 years of professional experience.

44. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. S/He will ensure that all evaluation criteria and questions are adequately covered.

45. By undersigning the service contract with UNEP/UNON, the consultant certifies that s/he has 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, s/he 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

46. The evaluation consultant will prepare an **inception report** 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. A detailed project background will be presented in the Inception report and will include a review of the key evaluation questions.

47. **The main evaluation report** should be brief (no longer than 50 pages – excluding the executive summary and annexes), concise, and written in plain English. 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.

48. **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 team, who will alert the EO in case the report would contain any blatant factual errors. The EO will then forward the first draft report to the other project stakeholders, in particular the collaborating agencies and national partners 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.

49. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The evaluation consultant 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.

50. **Submission of the final evaluation report.** The final report shall be submitted by Email to the Head of the EO. The EO will finalize the report and share it with the interested Divisions and Sub-programme Coordinators in UNEP. The final evaluation report will be published on the UNEP EO web-site (www.unep.org/eou).

51. 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 consultant.

52. The UNEP EO will assess the ratings in the final evaluation report based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report. Where there are differences of opinion between the evaluator and UNEP EO on project ratings, both viewpoints will be clearly presented in the final report. The UNEP EO ratings will be considered the final ratings for the project.

53. At the end of the evaluation process, the EO will prepare a **Recommendations Implementation Plan** in the format of a table to be completed and updated at regular intervals by the Chemicals and Waste Branch of UNEP DTIE. After reception of the Recommendations Implementation Plan, DTIE is expected to complete it and return it to the EO within one month. It is expected to update the plan every six month until the end of the tracking period.

I. Logistical Arrangements

[129] Evaluation reports will be submitted in English

54. 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's individual responsibility to arrange for his/her 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 at DTIE and project team will, where possible, provide logistical support (introduction letters, meeting arrangements, etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

J. Schedule of the Evaluation

55. The table below presents the tentative schedule for the evaluation. For details for each step please refer to section H. Funding is available from the Norway Trust Fund and Swedish SIDA allocations, which have to be obligated by the end of 30 June 2016 and the initial steps of TOR preparation have been deliberately fast-tracked.

Tentative Schedule for the Evaluation

Milestone	**Deadline**
ToRs finalised after discussion with the DTIE project team	June 2016
Contracting process	June 2016
Preliminary meetings and Inception Report	July 2016
Evaluation Mission (China in consideration)	August 2016
Telephone interviews, surveys etc.	August 2016
Zero draft report submitted to UNEP EO	September 2016
Draft report shared with project team for internal review	September 2016
Draft report shared with stakeholders for external review	September-November 2016
Comments from stakeholders incorporated in to the report	November 2016
Final report shared with stakeholders	November-December 2016

Annex II: List of Documents Collected, Consulted and Reviewed

Project Documents

Project Design Document (March. 2015)

Project Revision (June. 2016)

PCR Report (December. 2014)

Project Factsheet

Strategies. Programmes of Work and Guidelines

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Referred Decisions

CoP 1 - Decision SC-1/7; Decision SC-1/12; Decision SC-1/13

CoP 2 -Decision SC-2/5; Decision SC-2/13

CoP 3 - Decision SC-3/6; Decision SC-3/19

CoP 4 - Decision SC-4/7; Decision SC-4/10; Decision SC-4/11; Decision SC-4/12; Decision SC-4/13; Decision SC-4/14; Decision SC-4/15; Decision SC-4/16; Decision SC-4/17; Decision SC-4/18; Decision SC-4/31; Decision SC-4/32; Decision SC-4/34

CoP 5 - Decision SC-5/3; Decision SC-5/6; Decision SC-5/12; Decision SC-5/13; Decision SC-5/17; Decision SC-5/18

CoP 6 - Decision SC-6/9; Decision SC-6/10; Decision SC-6/13; Decision SC-6/22; Decision SC-6/23

COP 7 - Decision SC-7/12; Decision SC-7/13; Decision SC-7/14; Decision SC-7/24; Decision SC-7/25

All decisions were *retrieved from* http://chm.pops.int/TheConvention/ConferenceoftheParties/ReportsandDecisions/tabid/208/Default.aspx

Annex III: List of interviewees

Date	Time	Name/Contact	Position
03/11 28/11 29/11	09.00-10.30 09.00-10.30/13.30-17.00/ 15.30-17.00	Ms. Jacqueline Alvarez Jacqueline.ALVAREZ@unep.org	Un Environment Project Manager since September 2015
23/11 30/11	12.30- 14.00 15.00-16.30	Ms Heidelore Fiedler Heidelore.fiedler@oru.se	Former Project Manager (up to June 2015)
28/11	11.30-12.30	Ms. Anna Witt Ana.Witt@brsmeas.org	BRS Secretariat Programme Officer Scientific Support Branch POPs monitoring, Dioxin and Furans Toolkit
29/11	10.00-11.00	Erika Mattsson Erika.MATTSSON@unep.org	UN Environment Administrative Officer (Fund Management Officer)
29/11	15.00-15.30	Ms. Haosong Jiao Haosong.JIAO@unep.org	UN Environment Consultant
13/12	13.00-14.00	Esteban Abad esteban.abad@idaea.csic.es	Spanish National Research Council (CSIC) Laboratory of Dioxins Institute of Environmental Assessment and Water Research (IDAEA)
15/12	14.00-15.00	Adriana Rosso adrosso@inti.gob.ar	INTI Subgerente de Ambiente Directora Técnica
16/12	12.00-13.30	Alejandra Torre atorre@latu.org.uy	Co-Director of the Stockholm Convention Regional Centre for Latin America
04/01	10.40-11.30	Jacob de Boer Jacob.de.boer@vu.nl	Chair Environmental Chemistry and Toxicology Department Institute of Environmental Studies University of Amsterdam
11/01	09.30-10.00	Philippe Verger wvergerp@who.int	WHO Department of Food Safety and Zoonoses
12/01	15.00-15.45	Jordi Pon jordi.pon@unep.org	ROLAC Chemicals and Waste Regional Coordinator for Latin America and the Caribbean
02/02	Written comments	Rosemary Ruth Apa rosemaryapa@gmail.com	Ministry of Environment, Climate Change, Disaster Management and Meteorology

Annex IV: Summary of the relevant Stockholm Convention's Decisions

SUBJECT	COP/ DATE	DECISION	SUMMARY
Toolkit	CoP 2 (2006)	SC 2/5	Welcomes the second edition of the "**Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases**." Invites Parties and others to provide data and information to assist in the process for review and further development of the Toolkit and to include in their measurement and monitoring programs the determination of mass concentrations of not only PCDD/PCDF but also of hexachlorobenzene (HCB) and polychlorinated biphenyls (PCB) and to provide that information to the Secretariat.
	CoP 3 (2007)	SC 3/6	Takes note of the Toolkit Expert Roster and welcomes the report for the expert meeting to further develop the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases. Requests the Secretariat to include on the Toolkit ongoing review process the adequate emphasis on the key sources for which limited monitoring data are available, including sources of hexachlorobenzene and polychlorinated biphenyls.
			Annex: *Process for the ongoing review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases*
	CoP 4 (2009)	SC 4/7	**Encourages parties to use the Toolkit.** Requests the Secretariat, when implementing the Toolkit, to place adequate emphasis on the key sources for which limited monitoring data are available, including sources of hexachlorobenzene and polychlorinated biphenyls; to support efforts by developing countries in general to identify their sources; to organize training and capacity-building activities on Toolkit use.
	CoP 5 (2011)	SC 5/12	**Reminds parties to take in consideration the guidelines and guidance when applying BAT/BEP** and to assist in decision-making in the implementation of action plans and other actions related to their obligations. Adopts the procedure for updating the guidelines and guidance defined in the annex of the decision. **Requests the Secretariat to continue to support the review and update of the guidelines and guidance and to promote the sharing of experience in implementing obligations under Article 5 of the Convention.**
			Annex: *Procedure for the review and updating of the guidelines on best available techniques and provisional guidance on best environmental Practices*
	CoP 5 (2011)	SC 5/13	**Requests the Secretariat to organize awareness-raising and training with regard to the revised Toolkit**, to harmonize the approaches for the updating and revision of reported source inventories and release estimates as a means of achieving data comparability and consistency in respect of time trends.
Toolkit	CoP 6 (2013)	SC 6/9	Welcomes the conclusions and recommendations of the Toolkit experts updating the Standardized Toolkit for Identification and Quantification of Releases of Dioxins, Furans, and Other Unintentional POPs and requests the Secretariat and the GEF to ensure that the Toolkit experts contribute to the development of a training programme on the revised Toolkit in support of data comparability and consistency of time trends and also requests the Secretariat to organize awareness-raising and training activities on the revised Toolkit. Requests that the Secretariat to continue to support the Toolkit experts in the areas identified for further work.
	CoP 6 (2013)	SC 6/10	Requests the Secretariat to forward the waste-related content of the draft guidance BAT/BEP for the use of perfluorooctane sulfonic acid (PFOS) and related chemicals listed under the Stockholm Convention and the draft guidance on BAT/BEP for the recycling and waste disposal of articles containing polybrominated diphenyl ethers listed under the Stockholm Convention to the appropriate bodies of the **Basel Convention**. Invites experts of the Basel Convention to participate in the work to assess technologies for the destruction and irreversible transformation of persistent organic pollutants, taking into consideration existing guidance.

			Annex: *Workplan for the review and updating of the guidelines on best available techniques and provisional guidance on best environmental practices.*
Toolkit	COP 7 (2015)	SC 7/7	Recognizes that the listing of new substances in Annexes A, B and/or C to the Convention will trigger the need to **further update existing guidance and/or develop new guidance to support parties in implementing new obligations, requiring specific expertise**. Requests the Secretariat, subject to the availability of resources, to continue to support the Toolkit experts in their work referred, to implement awareness-raising and technical assistance activities to promote the Toolkit and to report on the progress made CoP8. **Encourages parties to use the Toolkit**, taking into account the conclusions and recommendations of the Toolkit experts, when developing source inventories and release estimates under Article 5 of the Stockholm Convention and reporting estimated releases under Article 15 according to the source categories identified in Annex C
GMP	CoP 1 (2005)	SC 1/13	Recognizes the need for a strategic and cost-effective approach, and building on existing human health and environmental monitoring programmes to the extent possible, as well as the need to establish a mechanism to consider national reports received (Article 15) and non-compliance information (Article 17) and human health and environmental monitoring data for the purpose of evaluating the effectiveness of the Convention. Requests the Secretariat to make use of existing monitoring programmes and datasets to provide CoP with comparable monitoring data. Invites relevant organizations to collaborate in the arrangements defined to monitoring data available for evaluation of the effectiveness of the Convention. **Requests the Secretariat to develop a background scoping paper for a GMP**.
	CoP 2 (2006)	SC 2/13	Agrees to **complete the first effectiveness evaluation by CoP 4 in 2009**. **Decides to implement (with urge) a GMP and to establish a provisional *ad hoc* technical working group of 15 representatives to coordinate and oversee implementation of the GMP**. Also decides to review the progress of the provisional *ad hoc* technical working group in the next meeting, and to review the GMP. Requests the Secretariat to identify monitoring programmes that may update the information on existing human health and environment monitoring programmes. Invites parties to that are in position to support the setting up and the long-term implementation of the global monitoring programme.
			Annex: *Elements for establishing and implementing a Global Monitoring Plan*
	CoP 3 (2007)	SC 3/19	**Adopts on a provisional basis the amended GMP for POPs and the amended implementation plan for the GMP for POPs for the first effectiveness evaluation**. **Establishes regional organizational groups and the GCG**. Request the Secretariat to support training and capacity-building activities to assist countries in implementing the GMP, to work with partners and other relevant organizations to undertake implementation activities. Invites Parties to support the establishment and the long-term implementation of the GMP.
			Annex: *Terms of reference and mandate of the regional organization groups and the coordination group*
GMP	CoP 4 (2009)	SC 4/31	**Adopts the GMP for POPs**, provisionally adopted by CoP3 and **the ToR and mandate of regional organization groups and the GMP**. Requests the Secretariat to make non-substantive changes to the implementation plan for the GMP for POPs for the first effectiveness evaluation (also adopted in CoP3); to continue to support training and capacity-enhancement activities to assist countries in implementing the GMP for subsequent effectiveness evaluations; to work with partners and other relevant organizations to undertake implementation activities. Requests the financial mechanism of the Stockholm Convention and invites other donors to provide financial support to paced capacity-enhancement. Invites parties to engage actively in the implementation of the GMP and in its effectiveness evaluation.
			Annex: *Terms of reference and mandate of the regional organization groups and the global coordination group*
	CoP 4 (2009)	SC 4/32	**Acknowledges the conclusion of the first evaluation**. Concludes that the procedures for gathering information need to be revised and so establishes an *ad hoc* working group with the mandate and terms of reference and invites Parties to nominate the members of this group with expertise in programme evaluation by providing names of nominees to the Secretariat. Requests the *ad hoc* group created to report its proposals in the next CoP. Agrees in a six years interval between effectiveness evaluations, leaving room for the adjustments that might be needed.

			Annex: *Terms of reference for the ad hoc working group*
	CoP 5 (2011)	SC 5/17	Takes note of the reports of the meetings of the *ad hoc* working group and of the proposed framework for effectiveness evaluation. Requests the Secretariat to collect and compile information outlined in the proposed framework, also invites parties and others to submit comments to this proposed framework and the Secretariat to integrate those comments in a report to present on the next meeting.
	CoP 5 (2011)	SC 5/18	**Takes note of the report of the meeting of the GCG**; of the study on the impacts of climate change on POPs and of the report on impacts of and policy options for climate change and POPs. Encourages parties to consider the recommendations when implementing activities under the GMP. **Requests the Secretariat to continue the process of revising and updating the guidance and to continue to support the work of the regional organization groups and the GCG for the GMP**; the training and capacity-building activities to assist countries in implementing the GMP for subsequent effectiveness evaluations and to work with partners and other relevant organizations to undertake implementation activities. Encourages parties to engage actively in the implementation of the GMP and the effectiveness evaluation.
	CoP 6 (2013)	SC 6/22	Takes note of the comments submitted by Parties on the proposed framework for effectiveness evaluation and of the report prepared by the Secretariat on the availability of information outlined in the revised framework for effectiveness evaluation and on the use of the elements and indicators set forth therein. **Adopts the revised framework for effectiveness evaluation set out by the Secretariat**. Invites donors to provide financial support to permit further step-by-step capacity building.
GMP	CoP 6 (2013)	SC 6/23	**Takes note of the report of the meeting of the GCG and regional organization groups. Welcomes the amended GMP for POPs; the amended implementation plan for the GMP for POPs; the updated guidance on the GMP; the compilation of results of the first phase of the global human milk survey.** Encourages parties to take these comments into account and to participate in the second-phase milk survey to enable the harmonized detection of global and regional trends in human exposure to POPs. Requests the Secretariat to continue to support the work of the regional coordination groups and the global coordination group in the second phase of implementation and the training and capacity-building activities to assist countries in implementing the GMP. Encourages parties to engage actively in the implementation of the GMP and the effectiveness evaluation.
	CoP 7 (2015)	SC 7/24	Elects the ten members to serve on the effectiveness evaluation committee until the close of the eighth meeting of the CoP. Invites the global coordination group to elect one of expert amongst its members to serve on the effectiveness evaluation committee. Requests the Secretariat to select two experts in the field of effectiveness evaluation to serve on the effectiveness evaluation committee. Requests the effectiveness evaluation committee to perform its tasks according to the framework for effectiveness evaluation and to report to the COP at its 8th meeting. Emphasizes the need for parties to intensify their efforts to ensure the timely and accurate completion of national reports under Article 15 of the Stockholm Convention.
	CoP 7 (2015)	SC 7/25	Takes note of the reports of the meetings of the GCG and regional organization groups and welcomes its conclusions and recommendations. Welcomes the **updated guidance of the GMP and the five regional monitoring reports**. **Requests the GCG to develop the draft global monitoring report**; an evaluation and assessment of changes in POP concentration over time; and to finalize the global monitoring report, including conclusions and recommendations. Requests the Secretariat to support the GCG; to continue to support the work of the regional organization groups and the global monitoring group in the implementation of the third phase of the GMP; to support training and capacity-building activities to assist countries in implementing the GMP for subsequent effectiveness evaluations. Encourages Parties to continue to monitor the core media of air and human breast milk or human blood and to initiate monitoring of *perflurooctane sulfonate* in surface water in support of future evaluations; to support the further development and long-term implementation of the global monitoring plan.
New POPs	CoP 4 (2009)	SC 4/10	Lists *alpha hexachlorocyclohexane* in the annex A of the Convention
	CoP 4 (2009)	SC 4/11	Lists *beta hexachlorocyclohexane* in the annex A of the Convention

	CoP 4 (2009)	SC 4/12	Lists *chlordecone* in the annex A of the Convention
	CoP 4 (2009)	SC 4/13	Lists *hexabromobiphenyl* in the annex A of the Convention
	CoP 4 (2009)	SC 4/14	Lists *Hexabromodiphenyl ether* and *heptabromodiphenyl ether* in the annex A of the Convention. Decides to insert a new part IV in Annex A under the title *"Hexabromodiphenyl ether and heptabromodiphenyl ether"*
New POPs	CoP 4 (2009)	SC 4/15	Lists *lindane* in the annex A of the Convention. Requests the Secretariat to cooperate with the WHO in developing reporting and reviewing requirements for the use of lindane as a human health pharmaceutical for the control of head lice and scabies.
	CoP 4 (2009)	SC 4/16	Lists *pentachlorobenzene* in the annex A of the Convention. Decides to amend part I of the Annex C of the Convention to list *pentachlorobenzene* therein by inserting *pentachlorobenzene* (PeCB) (CAS No: 608-93-5) in the "Chemical" table after *"Polychlorinated dibenzo-p-dioxin and dibenzofurans (PCDD/PCDF)"* and by inserting *"pentachlorobenzene"* into the first paragraph of part II and part III of Annex C after *"Polychlorinated dibenzo-p-dioxin and dibenzofurans"*
	CoP 4 (2009)	SC 4/17	Lists *perfluorooctane sulfonic acid, its salts and perfluorooctane sulfonyl fluoride* in the Annex A or Annex B of the Convention. Decides to amend part I of Annex B of the Convention and to create a new part III in Annex B called *"Perfluorooctane sulfonic acid (PFOS), its salts, and perfluorooctane sulfonyl fluoride (PFOSF)"*.
	CoP 4 (2009)	SC 4/18	Lists *tetrabromodiphenyl ether and pentabromodiphenyl ether* in the Annex A of the Convention. Decides to insert a definition for *tetrabromodiphenyl ether and pentabromodiphenyl ether* in a new part III of Annex A called *"Definitions"* and to insert a new part IV to Annex A under the title *"Tetrabromodiphenyl ether and pentabromodiphenyl ether".* Also decides to amend part I of Annex A of the Convention by insert new wording in note (iv).
	CoP 5 (2011)	SC 5/3	Lists *technical endosulfan and its related isomers* in the Annex A of the Convention. Decides to insert a new note (v) in part I of Annex A and to insert a new Part VI in Annex A under the title *"Technical endosulfan and its related isomers (endosulfan)"*
	CoP 6 (2013)	SC 6/13	Lists *hexabromocyclododecane* in the Annex A of the Convention. Decides to insert a definition for *hexabromocyclododecane* in part III of Annex A and to insert a new part VIII in Annex A under the title "*Hexabromocyclododecane"*

Annex V: Rating on Financial Planning and Management

Financial management components	Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations	HU	Rules on financial reporting under the ProDoc were not followed
Contact/communication between the PM & Division Fund Managers	U	No effective communication between PM and Administrative officer
PM knowledge of the project financials	U	PM did not provide any financial information
PM responsiveness to financial requests	U	PM did not respond to any financial requests from the Evaluator
PM responsiveness to addressing and resolving financial issues	MS	PM took note of the issues but did not respond
Were the following documents provided to the evaluator:		
A. Crystal Report		N
B. All relevant project Legal agreements (SSFA, PCA, ICA) if requested		Y
C. Associated Financial reports for legal agreements (where applicable)		N
D. Copies of any completed audits		N
Availability of project legal agreements and financial reports	U	Some legal agreements were made available (SSFA) Financial reports not available
Timeliness of project financial reports and audits	N/A	Not provided
Quality of project financial reports and audits	N/A	Not provided
PM knowledge of partner financial expenditure	U	Financial reports from partners were pending due to delay in implementation
Overall rating	U	

Annex VI: Response to Review Comments Received on the Draft Evaluation Report

Preliminary Notes:

The Zero Draft Report was concluded on 23 March 2017 and submitted to the Project Team on 24 March 2017.

In view of the lack of response from the Project Team the EO submit the report to comments from the stakeholders on 08 May 2017. No comments were received from the stakeholders.

Comments were meanwhile received from:

- Present Project Manager on 24 May 2017;
- Former Project Manager on 26 May 2017.

The matrix below presents the review comments received with reference to their paragraph/section and the views of the Independent Evaluator.

Please note that the comments collected have not been edited – they are indicated *ipsis verbis* in the second column of the table below in the majority of the cases with a direct quotation and in a few with a general reference.

Report Paragraph /Sections	Review Comments	Feedback from Evaluator
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section B	All outputs related to this project have been achieved and even more countries and organizations (laboratories) have been trained, participation in interlaboratory assessment was record in its third round. All maps are available in the webpage and materials as well. Late launching of the website was not in the hands of the project but was delayed because of migration and change in webpages and webcontent. The launch occurred early January 2017.	**Comment not accepted** As stated in the report the project has partially achieved its outputs at the time of the evaluation. Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.

Table 2: Summary assessment and ratings by evaluation criterion for the project- Section C3	Next steps are clearly identified as this project and well as 524.2 have been reconginzed to continue in the new MST and project portfolio (Project on knowledge 5.II approved in April 2017 is a continuation of the projects mentioned)	**Comment not accepted** The reference to the project approved after the evaluation period and not mentioned during the evaluation is not relevant to the report. Please refer to the evaluation period under paragraph 10.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.1	Countries ownernship and interest of the international community in the activities under this project have again during the COPs in May 2017 been recognized as essential for the global monitoring and effectiveness evaluation of the Conventions. At COP 8 in 2015 as well as before this has also been recognized, therefore the rating needs to be reconsidered.	**Comment not accepted.** Please refer to paragraphs 150-154 where the issue is assessed in more detail.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.3	See comments on project 524.2 on this aspect. They are also relevant to this project.	**Comment not accepted** See comment to Section D.3 under the matrix of project 524.2
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.5	This project includes the second phsse of GEF projects on monitoring, being at the moment implemented. 42 countries are working on the project, 5 expert laboratories and regional centres collaborating in execution. The third round of interlaboratory assessment clearly has shown catalytic role and replication of activities undertaken before, growing interest on applicants and responses from countries starting projects and undertaking sampling, with co-funds from their own institutions. All materials and guidance developed (including SOPs) are to be used by countries for several years to provide estability, comparability and continuation to their monitoring activities.	**Comment not accepted** The reference to the 3rd round of the interlaboratory assessment is beyond the evaluation period. Please refer to paragraph 10.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section E	I think the evaluator rating do not correspond with the summayr assessment. All milestones were achieved, later than the finalization of the project but work was in progress at th moment of the evaluation.	**Comment not accepted** As demonstrated in the report and in spite of the extension period at the end of the evaluation period not all the milestones have been achieved so the rate cannot be higher then MS.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.1	Please clarify what links are missing?	**Comment unclear** – there is no reference to missing links.

Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.2	To be revised. Though the difficulties the project was implemented with highly recongnized praises from governments at the COPs in 2015 and 2017. Though timeliness might have not been completed respected, corrective measures have always been in place and implemented.	**Comment not accepted** Please refer to paragraphs 184-190 where the issue is assessed in more detail.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.4	- The deliverables are all available and ready. Late launch of webpage caused delays in the wide availability of communication and awareness raising tools prepared. But even that the old page contained the videos developed to train countries on analysis, e.g. on PFAS. It is hard to measure if countries have used the materials, but it is evident that if they are sending samples and following procedures they have used the materials presented and they have understood the guidance and presentations provided during inception activities.	**Comments noted** The information that was available in the website at the time of the evaluation has been identified under the respective section of the report (see paragraphs 202-206).
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.6	PIMs reporting has been done every 6 month according to the rules. There is no specific progress/implementation report format described in the project doc to be followed. It was understood PIMs was the reporting tool. Financial reports, the understanding is that reports were sent to donors on time and as per their requests. Final reconciliation to be done after finalizing SSFAs and getting reports from partners.	C**omment not accepted** Under PIMS, the section on "Project Progress Reporting" was, at the time of the evaluation, empty. Please refer to section 6 of the PD which defines the rules on "Progress and Financial Reporting"
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.7	The project follow up and follow up with beneficiaries was done on regular basis. We note that it was not properly recorderd, but this, by no means, indicates lack of project monitoring.	**Comment partially accepted** Please refer to section 6 of the PD which defines the rules on "Monitoring"; it requires monitoring of progress in project activities to be undertaken in accordance with guidelines for M&E with the involvement of partners.
Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.8.b	Not clear what this means	**Clarification** A total of 25.000 US$ was allocated to the Termination Evaluation which did not allocate any cost for Monitoring.
Executive Summary – Conclusions **Paragraph 15**	More SOPs were prepared after as well as other guidance materials. Working with partners and using pre-existing tools also imply would planning and sustainability of outputs prepared. Long term vision is crucial and this project as well as 524.2 are building capacity, which is	**Comment noted**

	a long term investment and results can not always be measured during a project implementation, but need to be seen in perspective.	
Executive Summary- Conclusions **Paragraph 16**	Same comments as in 524.2 + stakeholders and experts were involved in the conceptualization – all letters of endorsement received in support of the projects imply discussions with those participating, from partners to beneficiaries. They were on board since early stages. Coverage – refer to comments on 524.2	**Comment not accepted** Lack of involvement of the stakeholders in the conceptualization and design of the project was reported by the interviews and no evidence was found during the evaluation that they were "on board since early stages".
Executive Summary- Conclusions **Paragraph 19**	Same comment as 524.2	**Comment not accepted** See comment under the matrix of project 524.2
Executive Summary- Conclusions **Paragraph 20**	Same comment as 524.2	**Comment not accepted** See comment under the matrix of project 524.2
Executive Summary- Conclusions **Paragraph 21**	This is not a fact. Thekey scientific information was available with partners and countries were in a position ot use it through the website. Training of national laboratories is part of the agreements UNEP has with expert laboratories. In the PCAs the national laboratory trainings is included. This is being implemented. More information in the website.	**Comment noted- i**t does not affect the conclusion made. It is noted that some scientific information was available. However as reported during the interviews and demonstrated in the report at the end of the extension period (31 December 2016) the project was yet to achieve all its milestones, including assistance to all the beneficiary countries.
Executive Summary- Conclusions **Paragraph 22**	The project supported all national inventories of D&F developed by countries updating their NIPs. Reference to the materials and tools used have been recognized in all of this submissions.	**Comment not accepted** No evidence was found that reference to the project materials and tools "has been recognized in all" NIPs submissions. For more information please refer to matrix of project 524.2
Executive Summary- Conclusions **Paragraph 22**	Thoughthis is a true statement, the objective of the project was not to provide "direct" support in implementation, but provide tools for that support. The materials, SOPs, awareness raising, brochures prepared are the enabling tools for others (including UNIDO, UNDP, WHO) in their support to countrie.s	**Comment noted**- it does not affect the conclusion made.

Executive Summary – Key lessons **Paragraph 24-27**	See comments before and comments on 524.2	**This comment is very vague.** Please refer to matrix of project 524.2
Executive Summary – key recommendation **Paragraph 28-32**	See comments before and commntets on 524.2	**This comment is very vague.** Please refer to matrix of project 524.2
Paragraph 36	The overall purpose of the project is "to provide tools and scientific information that aim at assisting "countries in generating high quality scientific data for monitoring the presence of POPs in their population and the environment	**Comment not accepted** In accordance with Pag 20 and 21 of the PD "the overall purpose of the project is to assist countries in generating high quality scientific data for monitoring the presence of POPs in its population and environment "
Table 5	This is underestimated. Counting of how many countries have used the toolkit is available trhough the regular reporting to CRP members.	**Comment noted** but no changes made since the information provided in the table is in accordance with the indicated source.
Table 5 and paragraph 101	The regional reports contained information on national activities – so the numbers do not reflect the reality	**Comment noted** but no changes made since the information provided on the table refers to the regional repots and the distribution among the regions is specified under paragraph 101.
Table 5	These refers to particular requests received but it does not imply by no means that more countries did not benefit from the project. At least 42 countries using the SOPs, receiving laboratory trainings, more than 150 laboratories participating in interlaboratory assessments from developed and developing world.	**Comment not accepted** This finding of the evaluation refers specifically to the 8 countries identified as direct beneficiaries under the PD and Project Revision for output 5 and does not refer to other benefits under other components.
Table 5	RO were kept informed of progress. The regional office official regional sub-programme coordinators were appointed late 2015. During 2016 the sub-programme coordinators were invited to participate in activities and provide comments. This was the role expected in the prodoc.	**Comment partially accepted** Reference to the date of appointment was included. As for the role played by the regional offices in implementation no changes were made since the evaluation findings are based in the information collected during the interviews.
Table 5	These agencies were non-executing partners. They are to use the guidance developed, not only the GMP, but also the Dioxin/Furan Toolkit when they are supporting countries in updating their NIPs. So	**Comment noted which does not affect the finding**

	though direct support to this project might not be the case, but this non-executing partners are using the tools developed by the project and assisting countries with them. Their expertise on specific areas only.	
Paragraph 63	- Replace few by four - The NIP transmission is not subject to this project	**Comment not accepted** 1st comment- As of 31 December only four of the targeted countries had submitted their NIPs as per Fig 2 on the Status of the NIPs transmissions from the targeted countries. 2nd comment – please refer to the Project Logical Framework which indicates the following means of verification of the project output: "NIPs are available on the website of the BRS Secretariat and refers to the results".
Paragraph 115	The launch of the new webpage for the C&W was done 5 January 2017. There was no possibility of launching before this time.	**Comment partially accepted** Reference to the date of launching of the new website included under paragraph 22.
Paragraph 138	See arguments before – This project is providing long term tools, methods and reports that can be used at global level by all parties to the conventions, including developed world, therefore no long term impact considered as unlikely reflects a misunderstanding of the materials produced	**Comment not accepted** **Please refer to: Table 8 on** Rating Scale for Outcomes and Progress towards Intermediate States and Table 9 on Overall Likelihood of Achieving Impact.
Paragraph 147 et seq	The assessment below show no understanding of scope, short-medium-long term aspects of the project	**This comment is very vague and cannot be incorporated**
Paragraph 155	This is to be defined therefore the assessment as unlikely is misleading. The GEF projects still have 2 years to go, so concluding about financial considerations at this moment is not only premature but jeopardizing the political interest and the 2030 agenda, where a project like this is providing the necessary tools to have the environment under review in a consistent and comparable manner	**Comment accepted** Amendment made to the paragraph and table 2. However since no evidence of financial sustainability was provided the overall rating was left as MU
Table 8	To be reassessed	**This comment is very vague and cannot be incorporated**
Paragraph 191	Refer to comments in table 5	**Comments to Table 5 were noted with some minor changes** which were incorporated under paragraph 197 and 198.
Paragraph 191 et seq	Assessemtn below contradictory to some text before . this assessment here shows and provides data on the materials	**Comment noted -** indeed the overall rating under Table 2 does not say that materials were not delivered and is in line

		with the findings under these sections
Paragraph 206	See comment befores on web	**Comment noted – c**ross reference to paragraph 22 included.
Paragraph – overall rating on country ownership and driven-ness	See comments before on endorsement letters, SSFAs signed with countries, where they have coordination role, implementation funds and decisions on how to execute nationally	**Comment noted** – see previous comments.
Overall rating – supervision, guidance and technical backstopping	Not reflecting the work, efforts and results obtained considering the scarce number of staff	**Comment noted –** guidance and technical supervision is highlighted under paragraph 217 and 218. However no evidence was found d of monitoring during the project implementation (see comments above) and this affects the overall rating.
Paragraph 223	Funds received for implementation of this project were far below expectations	**Comment noted**

Annex VII: Evaluation Timeline

Activity	Month/Year
Contract start date	September 2016
Draft Inception Report submitted by consultant	September 2016
Inception Report finalised	October 2016
Missions	November 2016
"Zero" draft report submitted to Evaluation Office	January 2017
Draft report shared with Project Team	March 2017
Review comments from Project Team submitted	May 2017
Revised Draft circulated to stakeholders	May 2017
Subsequent Draft submitted by Consultant	June 2017
Additional time for deliberation on issues arising, and provision of supporting data/evidence needed to address some of the review comments	August-October 2017
Report finalised by the Evaluation Office	November 2017