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Evaluation of the UNEP project
Strategic Approach to International Chemicals Management
Secretariat SAICM

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Evaluation Office of UN Environment

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ABOUT THE EVALUATION[1]

Joint Evaluation: Yes

Report Language(s): English

Evaluation Type: Terminal Project Evaluation

Brief Description: This report is a terminal evaluation of a UN Environment projectt implemented between 206 and 2015 entitled "Strategic Approach to International Chemicals Management Secretariat SAICM". The Secretariat was established in June 2006 with the explicit purpose of facilitating the implementation of SAICM – an international, multi-stakeholder, voluntary agreement – and the achievement of the sound management of chemicals throughout their life cycle so that chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health. The aim of the Secretariat was to maximise the number of countries and stakeholders participating in the implementation of SAICM. The Secretariat was also mandated to administer the Quick Start Programme (QSP) Trust Fund – a fund designed to provide seed money to (mainly) governments from low income countries, countries in economic transition, and small island states, to enable them to build initial capacities for managing chemicals sustainably.

The evaluation assesses the project performance (in terms of relevance, effectiveness and efficiency), and the 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 partners in the project participating countries.

Key words: Chemicals and Health, chemicals management, Quick Start Programme, SAICM, Conventions, ICCM.

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[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 acronyms and abbreviations

AFR	Africa Region
ASP	Asia Pacific Region
BRS Secretariat	Secretariat of the Basel, Rotterdam and Stockholm Conventions
CEE	Central and Eastern Europe Region
COP	Conference of the Parties
DAC	Development Assistance Committee
EPI	Emerging Policy Issue
FAO	Food and Agriculture Organization of the United Nations
FTE	Full time equivalent
GHS	Globally Harmonised System
IFCS	Intergovernmental Forum on Chemical Safety
ICCM	International Conference on Chemicals Management
IGO	Inter-Governmental Oreganisation
ILO	International Labour Organization
INFOCAP	Information Exchange Network on Capacity Building for the Sound Management of Chemicals
IOMC	Inter-Organisation Programme for the Sound Management of Chemicals
LAC	Latin America and the Caribbean
MEA	Multilateral Environmental Agreement
NGO	Non-Governmental Organization
OECD	Organisation for Economic Co-operation and Development
OEWG	Open-Ended Working Group
OPS	Over-Arching Policy Strategy
PoPs	Persistent Organic Pollutants
QSP	Quick Start Programme
SAICM	The Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goal
ToC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNEA	United Nations Environment Assembly
UN Environment	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
WEOG	Western Europe and Others Group
WHO	World Health Organization

Project Identification Table

Table 1. Project summary

UNEP PIMS ID:	00127	**IMIS number:**	Includes all 11 sub projects opened under SAICM umbrella since 2006 until end of 2015, also taking into consideration SAICM QSP Trust Fund: CP/4030-06-62 – 3583 CPL SM/4030-06-05 – 2518 SML SM/4030/06/41 – 2593 SML SM/4030-06-42 – 2B64 SML SE/4030-06-41 – 2A13 SEL CP/4030-06-41 – 3A70 CPL CP/4030-06-42 – 3A80 CPL SM/4030-06-75 – 2G99 SML CP/4030-06-74 – 3B75 CPL EC/4030-06-78 – 2H80 ECL EC/ENRTP/DG/ENV–2K56ECL
Sub-programme:	Chemicals and Waste	**Expected Accomplishment(s):**	2010-2013: EA 5-B 2014-2015: EA 5-A
UNEP approval date:	21 December 2006	**PoW Output(s):**	2010-2013: 521 2014-2015: 5A-1
Expected Start Date:	10 November 2006	**Actual start date:**	10 November 2006
Planned completion date:	31 December 2009 30 November 2013 30 November 2015	**Actual completion date:**	Closed
Planned project budget at approval:	$ 12,785,664	**Total expenditures reported as of 31 December 2015:**	$ 54,854,386
Planned Environment Fund (EF) allocation:	$ 681,055 (this was the planned EF budget amount for P5 salary from 2006 - 2009)	**Actual EF expenditures reported as of 31 December 2015**	In addition to the staff time, there were small yearly EF allotments spent on SAICM activities. However, because of the extended time period of the project (9 years), and because EF was/is not budgeted on project level, and because of not knowing exactly how much EF staff time was spent on SAICM each year, it is not possible for me to provide an accurate EF expenditure amount for this purpose.
Planned Extra-budgetary financing (XBF):	$ 16,665,478	**Actual XBF – extra budgetary expenditures reported as of: 31 December 2015**	$ 54,854,386
XBF secured:		**Leveraged financing:**	
First Disbursement:		**Date of financial closure:**	On-going
No. of revisions:	2	**Date of last revision:**	November 2015
Date of last Steering Committee/ Bureau meeting:	16-17 May 2017		
Mid-term review/ evaluation (planned date):	n/a	**Mid-term review/ evaluation (actual date):**	n/a
Terminal Evaluation (actual date):	7 August 2017		

Executive Summary

How effective was the project in servicing the implementation of SAICM? How effective was the project in providing adequate secretariat support to the ICCM and subsidiary bodies as well as to SAICM stakeholders to increasingly implement sound management of chemicals?

1. Overall the Secretariat was effective in providing support to the ICCM and subsidiary bodies. Most of the deliverables specified in the original project document and the two subsequent revisions were achieved. The role of the Secretariat in organising these meetings, preparing documents, being responsible for the logistics and sharing outputs with participants post-conference, was central to their success.

2. Challenges in the Secretariat delivering on its madate were due to capacity constraints experienced by the Secretariat in staff numbers over the 10-year period, rather than the competencies of those staff in place. The pressure on the Secretariat in providing adequate support to the OEWG2 was compounded by the uncertainty over resources to enable the OEWG2 to take place. In the event UNEP had to step in and provide an unplanned loan to cover the deficit in Secretariat funds for this event.

3. The Secretariat is to be commended for its success servicing the multi-stakeholder dialogue that led to the production of the Overall Orientation and Guidance for achieving the 2020 goal (OOG) document. This success was achieved despite the understaffing of the Secretariat over the 10-year period.

4. The Secretariat was effective in ensuring that all outcomes and recommendations from ICCM were communicated to SAICM stakeholders as well as uploading all documents related to ICCM onto the SAICM website. However, the Secretariat was hampered in its effectiveness in communicating relevant information to SAICM stakeholders, through the absence of a fully functioning information clearinghouse.

How effective has the project been in increasing knowledge and awareness of sound management of chemicals, including actions on emerging policy issues and other issues of concern?

5. At the international level the Secretariat has had much success in increasing knowledge and awareness of sound management of chemical, not least through its effectiveness in servicing the ICCM, the OEWG, the OOG and the regional meetings. However, this knowledge and awareness has not cascaded down to the sub-national levels – provincial and local levels.

6. This limitation in implementing SAICM is partly attributable to the Secretariat. The absence of a communications strategy – a recommended action in the original project document – is one factor accounting for the ineffectiveness in increasing knowledge and awareness at the local level. The lack of a fully functioning information clearinghouse, forming one element of a communications strategy, has contributed to the limited effectiveness.

7. A more structural factor accounting for the limited effectiveness of increasing knowledge and awareness at the local level relates to the national focal point model. Government national focal points are the conduit by which information and knowledge flows down to the local levels. National focal points lack capacity to deliver on this role.

8. The Secretariat effectively coordinated and facilitated the process of identifying proposed EPIs that were approved at ICCM2 and ICCM3. The work of the Secretariat did not stop with the approval of the EPIs; it has continued to facilitate discussions around several of the EPIs and has supported the IOMC organisations that had signed up to lead on each EPI.

<u>How effective were the regional policy discussions facilitated by the project in supporting implementation of the SAICM?</u>

9.   The Secretariat was effective at facilitating the regional meetings that took place over 2006-2014. However, whilst the regional meetings took place as planned, policy discussions at the regional level outside these meetings were limited. This limitation was not attributable to the Secretariat and regional policy discussions were in large part dependent on other stakeholders.

<u>Has the process of management of the Quick Start Programme by the project been effective in advancing enabling capacity building and implementation of activities for the implementation of SAICM objectives? How?</u>

10.   Given the financial and institutional constraints experienced by the Secretariat, it is commendable to its staff, and the QSP officer in particular, that the QSP had the degree of success that it did. There was much delay in issuing of contracts, particularly in the early rounds, followed by delays in disbursement of funds. The Secretariat found it difficult to hold the fund recipients accountable for the timely submission of deliverables across the majority of projects.

11.   Effective management of the QSP is a necessary but not sufficient condition for advancing capacity building and implementation of SAICM. The success of the QSP in advancing the implementation of SAICM required that the initial capacity building activities of the QSP projects were built upon at the national level.

<u>What are the achievements and the challenges regarding SAICM institutional arrangements in terms of the secretariat function within the voluntary multi-sectoral and multi-stakeholder approach?</u>

12.   Whilst much of the shortfall in the Secretariat's delivering of services it was mandated to do was attributable to the shortfalls in agreed funding levels (for the Secretariat and its activities as well as the QSP programme), these failings were also attributable to institutional problems within UNEP (including the absence of a finance officer within the Chemicals and Health Branch from January to July 2014). The evidence indicates that, initially, the institutional and financial systems were not set up for either enabling the Secretariat to operate smoothly and efficiently, or for administration of the QSP. These systems improved over time.

13.   For a critical period between 2012 and 2014 relationships between the leadership in the Secretariat and the leadership and administration in the Chemicals and Health Branch broke down. It created a hostile and dysfunctional work environment between staff of the Secretariat and staff of the Branch. This impacted on morale of the already overstretched Secretariat staff and the Secretariat's ability to deliver on its mandate.

14.   The partnerships that were envisaged in the Overarching Policy Strategy that would support the Secretariat in its mission did not lead to the expected outcomes. The WHO withdrew their P4 post from the Secretariat in September 2012. Not only did this result in under-capacity within the Secretariat, it also resulted in the Secretariat lacking the health expertise needed to take forward the SAICM agenda.

15.   The partnership and resulting collaboration between the Secretariat and the IOMC did not live up to expectations. Most of the QSP projects running late as of August 2015 had an IOMC member as executing agency, compounding pressure on the Secretariat's responsibility for the efficient management of the programme; sharing information on stakeholders with the Secretariat represented a challenge for some IOMC organisations, limiting the ability of the Secretariat to reach out to broader SAICM stakeholders; some IOMC organisations lacked the capacity to lead on the EPIs that they had

agreed or were requested to lead, putting further pressure on the Secretariat to facilitate these sectoral groupings.

16. The assumption that donors would deliver agreed funding levels was misplaced. The Secretariat had little influence on the drivers of change: without a communications strategy with an information clearing house component, tailored to the needs of all SAICM stakeholders, the uptake of SAICM guidelines and information by such stakeholders was limited; the reliance on consultants to deliver QSP projects and the lack of follow-up plans limited the potential for developing countries to take forward processes initiated by the QSP.

17. The longer-term future of the Secretariat in its current form is vulnerable. Six donors were responsible for 80% of the funding received for the Secretariat and its activities. Many OECD-DAC countries contributed less than US$250,000 over the 10-year period, less than the contribution made by the ICCA. This relatively small funding base has the potential to be undermined by changing national political priorities and reduction or cessation of funds by an individual donor.

18. The synergies envisaged between SAICM and the MEAs (the Basel, Rotterdam and Stockholm conventions, and more recently the Minamata Convention) in the original project documents could be strengthened by greater clarity and a more formalised relationship between the Secretariats. Currently, relations between the SAICM and BRS Secretariats are of an informal nature – each helping when needed with conference/ meeting organisation. The voluntary nature of SAICM in contrast to the legally binding nature of the MEAs, results in different reporting structures within UNEP and a relatively under-resourced SAICM Secretariat. Furthermore, the current arrangements for BRS COPs and SAICM Conferences result in multiple international meetings with many of the same participants attending each. This 'duplication' is likely to increase with the recently added Minamata Convention.

Lessons Learnt

19. Human rights and gender equity will not be adequately addressed without a high political priority to address these issues. In terms of programme design human rights and gender-equity based organisations need to be included in steering groups, decision-making and oversight bodies of such programmes. At the project level, human rights and gender equity assessment criteria should be part of the project screening and project selection process. Specific indicators that assess the adequacy of human rights and gender equity need to be part of the M&E system of such projects.

20. Ambitious programmes cannot be delivered on the cheap. If resources are not forthcoming for budgeted activities the programme is unlikely to deliver on its objectives. A shortfall in budgeted resources requires adaptive management, scaling back project objectives and/ or redesigning the programme, to ensure objectives are realistic and feasible given a reduced budget.

21. Institutions responsible for hosting complex international programmes need to undertake comprehensive reviews of management, contracting, financial and human resources systems, identifying and addressing capacity constraints before embarking on such programmes.

22. Generating research, information and guidelines alone will not lead to effective uptake by stakeholders. As equally important to the production of knowledge is the strategies for enabling the uptake of such knowledge. Developing such strategies requires working with stakeholders to identify the types of knowledge and information that will be of use to them to achieve their objectives and the forms and methods of communication that will make such knowledge accessible to them. Budgeted implementation plans need to be developed for the knowledge uptake strategy. Budget planning and allocation for uptake activities should be an integral part of the knowledge production process.

23. Members of steering committee and other bodies responsible for oversight and selection of project proposals, review of progress and financial accountability should not be beneficiaries of project funds. Such arrangements have the potential to generate conflicts of interest and may undermine success.

24. Programmes with capacity building and catalytic enabling roles as objectives need to have clearly articulated post-project pathways in project design. Adequate and effective M&E allows for lessons to be learnt for future projects and programmes. Follow up programmes should draw on the results of the M&E to shape and guide future programme design.

Recommendations

25. In order to address the lack of gender and human rights considerations in the design and implementation of the work of the SAICM Secretariat, it is recommended that a staff member seconded to, or recruited by, the Secretariat with a background or knowledge of human rights and/ or gender equity issues would be an advantage.

26. Beyond-2020, the funding model for the SAICM Secretariat should be reassessed. Current arrangements that depend on a limited number of voluntary donors are not sustainable. A review should be conducted of a range of funding models that include UN contributions, industry contributions, national budget allocations by lower income countries, as well as contributions from donor countries.

27. The current institutional arrangements for the SAICM Secretariat should be reviewed in the light of this evaluation. The efficacy of the current arrangements with the Secretariat hosted within the Chemicals and Health Branch of UNEP should be compared with other models including the BRS and Minamata Secretariats' institutional arrangements. The review should also develop a list of options for structures that facilitate collaboration and coordination between the secretariats, other UN agencies, the IOMC and international organisations.

28. The absence of a functional information clearing house was indicative of the failure to develop a comprehensive communications strategy (as recommended in the original project document). Therefore, a communications and knowledge sharing strategy should be developed in consultation with SAICM stakeholders to ensure that the types of knowledge and the ways in which it is shared is relevant and accessible to those stakeholders.

29. Given its experience in managing the Quick Start Programme, the Secretariat is well-placed to manage similar programmes in the future. Future funding programmes managed by the SAICM Secretariat and overseen by UNEP should be designed such that potential recipients of funds are not representatives on the bodies responsible for selection and monitoring of project proposals. If it is unavoidable, in exceptional circumstances, representatives are also potential beneficiaries of funds, such representatives should recuse themselves when proposals and projects that they are involved in are being assessed.

30. All recipients of funds for such programmes should be subject to a common set of rules. In particular, no recipient of funds should receive all funds on project signing. Proportions of funds should be released in tranches on satisfactory submission of deliverables specified in the project schedule timeline.

31. All projects within future programmes should be independently evaluated. It is not appropriate for some projects within a programme to be subject to independent external evaluation whilst others are internally evaluated.

Criterion	Summary Assessment	Explanation
A. Strategic relevance	S	Highly relevant to international agenda and UNEP's policies; gender and human rights not visible; knowledge sharing beyond international level limited
B. Achievement of outputs	S	Challenges in management of QSP programme; successful support services provided to ICCM and subsidiary bodies; limited support for implementation of SAICM through facilitation of regional meetings and strengthening the scientific base of regional networks; limited support to regional stakeholders and sectoral groupings.
C. Effectiveness: Attainment of project objectives and results	MS	
1. Achievement of direct outcomes	MS	QSP projects supported capacity building and implementation activities; policy and technical expertise provided at international level but limited at national and sub-national level.
2. Likelihood of impact	MU	High internal logic in project documents; assumptions not warranted; limited realisation of drivers; limited progress made on intermediate states; insufficient progress on impact.
3. Achievement of the project objective, overall purpose, goals and component outcomes	MS	Establishment of NFPs; challenges in QSP management; provision of information at international level; some progress in increasing institutional capacity.
D. Sustainability and replication	MU	
1. Financial	MU	Persistent shortfalls in agreed funding levels from donors.
2. Socio-political	ML	Much goodwill and encouragement for Secretariat; capacity constraints of collaborating UN agencies.
3. Institutional framework	MU	Capacity constraints of NFPs; synergies with MEAs not fully realised; competing priorities of UN collaborating agencies; dominance of environment sector.
4. Environmental	n/a	
5. Catalytic role and replication	S	Some evidence of QSP having catalytic role; GEF funded Social Programme secured.
E. Efficiency	MS	Most mandated functions delivered within timeframe; QSP experienced delays; ad-hoc support provided by Chemicals and Health Branch, and BRS Secretariat when requested.

F. Factors affecting project performance		
1. Preparation and readiness	MS	Comprehensive documentation in preparation for project; contractual and administrative systems not in place in early stages; funding shortfalls and delays.
2. Project implementation and management	S	Project implemented as planned; most outputs delivered; management challenges with QSP.
3. Stakeholder participation, cooperation & partnerships	S	Stakeholders at ICCM1 2006 remain engaged; NFP participation constrained by funding and capacity; narrow industry engagement.
4. Communication and public awareness	U	No communications strategy; SAICM website primary comms source; limited support from UNEP Communications Division.
5. Country ownership and driven-ness	MS	Transition from donor-driven to lower income country driven.
6. Financial planning and management	U	Funding delayed and under budget; challenges in managing funds.
7. Supervision, guidance and technical backstopping	U	Challenging inter-personal relationships between Secretariat and Branch.
8. Monitoring and evaluation	MU	Many gaps in the M&E system
a. M&E Design	MS	SMART indicators in original project document and first revision. M&E design in QSP
b. Budgeting and funding for M&E activities	MS	No evidence of budgeting and funding for Secretariat activities. Budgeting and funding for QSP
c. M&E plan Implementation	MS	Evidence of plan implementation for QSP.
Overall project rating	MS	This assessment is based on the evidence reviewed.

I. Introduction

1.   This report presents the evaluation of the UN Environment Programme (UNEP) Strategic Approach to International Chemicals Management (SAICM) Secretariat project.

2.   The Secretariat was established in June 2006 with the explicit purpose of facilitating the implementation of SAICM – an international, multi-stakeholder, voluntary agreement – and the achievement of the sound management of chemicals throughout their life cycle so that by the year 2020, chemicals are produced and used in ways that minimize significant adverse impacts on the environment and human health. Specifically, the aim of the Secretariat was to maximise the number of countries and stakeholders participating in the implementation of SAICM.[2] It was to do this through the delivery of a range of services spelt out in paragraph 28 of the SAICM Overarching Policy Strategy. These services included organising the three yearly Conference (ICCM) and organising and administering the regional meetings in the run-up to the Conference, disseminating and sharing information through establishing an online clearinghouse.

3.   The Secretariat was also mandated to administer the Quick Start Programme (QSP) Trust Fund – a fund designed to provide seed money to (mainly) governments from low income countries, countries in economic transition, and small island states, to enable them to build initial capacities for managing chemicals sustainably.

4.   Over the 10-year period, the Secretariat's responsibilities were added to; in the original project document a further task of administering INFOCAP was added, and at each Conference further mandates were assigned to the project. At ICCM2 the project was tasked with servicing the Open-Ended Working Group as well as the Emerging Policy Issues initiative. At ICCM3 the project was tasked with developing Overall Orientation and Guidance to support implementation of SAICM to 2020.

5.   The programme was initially to run from 2006-2009 and was extended to 2015. The total approved budget for the project – staff costs and expenses for servicing ICCM and related activities (excluding the QSP Trust Fund) over the nine-year period was US$16,665,478. (However, the actual budget received from donors over the period was US$11,101,605.)

6.   The Secretariat was hosted in the Chemicals and Health Branch of UNEP and located in UNEP's offices in Geneva.[3] The implementing partners of SAICM were UNEP, WHO and other members of the Inter-Organisation Programme for the Sound Management of Chemicals (IOMC) – UNIDO, UNITAR, ILO, FAO, OECD. The Secretariat of the Basel, Rotterdam and Stockholm Conventions (BRS Secretariat) also played a role as an informal implementing partner.

7.   The objectives of the evaluation were to assess the Secretariat's performance in servicing the implementation of the SAICM towards the 2020 target and to provide recommendations on strategic decisions, programming, prioritizing and updating UNEP's SAICM project approach as necessary to improve its processes to reach the 2020 target.[4]

8.   The approach taken in this evaluation was to develop a re-constructed theory of change to map out potential pathways to impact arising from the Secretariat's activities and outputs. The theory of change was developed from information in the original project document and the subsequent revision documents (two).

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[2] SAICM Original Project Document (2006), p.10

[3] UNEP has recently been renamed UN Environment, the Chemicals and Waste Branch is now the Chemicals and Health Branch and DTIE is now the Economics Division. However, over the period 2006-2015, the names were UNEP and Chemicals and Waste Branch. These are the names used in this report.

[4] Evaluation ToR, p.6

Stakeholder mapping of all those involved with the project identified those to be interviewed and/ or invited to complete an on-line survey that sought their views and perspectives on the performance of the project.

9.   The primary evaluation methods were a review of documents, an on-line survey and one-to-one in-depth interviews. A comprehensive review of documents was conducted. Key stakeholder groups and individuals were invited to complete the on-line survey that was posted on surveymonkey. In-depth one-to-one interviews were held with former and current staff of UNEP Chemicals and Health Branch. The online survey template; interview guide for the one-to-one interviews are listed in Annex 9. The documents reviewed for this evaluation are listed in Annex 4.

II. The Project

A. Context

10.   SAICM is an international, multi-stakeholder voluntary (non-legally binding) agreement defined in the Dubai Declaration. Government delegates from 117 countries (plus observers from 27 countries)[5], together with representatives from Inter-Governmental Organisations (IGO), industry and civil society participated ICCM1 in Dubai in 2006.. These stakeholders undertook to actively promote and further the sound management of chemicals through the adoption of the Overarching Policy Strategy (OPS). The OPS articulates the scope and objectives of SAICM together with financial considerations and the mechanism for implementation and monitoring progress.[6]

11.   The Secretariat was established at the request of UNEP's Governing Body and the International Conference on Chemicals Management (ICCM) to support the implementation of SAICM. The Secretariat was situated within the Chemicals and Health Branch of the Division of Technology, Industry and Economics (DTIE) of UNEP. As such the management and reporting lines for the Secretariat followed the branch's systems – going through the branch, the division and ultimately reporting to the Deputy Executive Director of UNEP. All financial transactions were administered through the finance department of the Chemicals and Health Branch.

12.   The implementation arrangements for the Secretariat were complex, characterised by a matrix management structure. In addition to UNEP's management and administrative structures, the Secretariat also received guidance from the SAICM Bureau. The Bureau comprised government representatives from the five regions (CEE, AP, AFR, WEOG and LAC)[7]. The five regional focal points government representatives, four non-government representatives and the chair of the IOMC also attended the Bureau meetings. A further management function was played by the Implementation Committee of the QSP Trust Fund, and oversight role by the QSP Executive Board.

13.   The aims of the Secretariat were highly ambitious. It was anticipated that through the delivery of the activities spelt out in paragraph 28 of the Overarching Policy Strategy, a global comprehensive network of stakeholders would be established that would generate widespread demand for SAICM guidelines and information. Further, the Secretariat's activities would result in widespread undertaking of initial SAICM

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[5] SAICM/ICCM.1/7, paragraphs 16-20 for a complete list of representatives.
[6] See SAICM (2006) Strategic Approach to International Chemicals Management: SAICM texts and resolutions of the International Conference on Chemicals Management. UNEP, WHO.
[7] CEE: Central and Eastern Europe; ASP: Asian-Pacific; WEOG: Western Europe & Others; LAC: Latin America and Caribbean.

enabling activities at the national and regional level to advance the sound management of chemicals, particularly by developing and transition economy countries.[8]

14.   In order to fulfil its mandate, it was agreed that the Secretariat would be staffed by six full time members of staff – comprising five professional staff at P5 to P2 levels and one general service category staff member. However, over the entire 10-year period the full complement of staff was attained for a relatively brief 10-month period in 2009.

B. Objectives and components

15.   The overall objective of the project as stated in the original project document was "... to maximise the number of countries and stakeholders participating in the implementation of SAICM by providing the necessary secretariat services called for in paragraph 28 of the Overarching Policy Strategy and ICCM Resolution I/4" (original project document, p.10).

16.   The activities of the Secretariat intended to achieve this objective are listed in paragraph 28 of the SAICM Overarching Policy Strategy:

- To facilitate meetings and intersessional work of the Conference [ICCM], as well as regional meetings, with maximum multi-stakeholder participation, and to disseminate the reports and recommendations of the Conference;
- To report to the Conference on the implementation of the Strategic Approach by all participants;
- To promote the establishment and maintenance of a network of Strategic Approach stakeholders at the national, regional and, in the case of intergovernmental and non-governmental organisations, international levels;
- To facilitate the development and dissemination of guidance materials to support implementation of the Strategic Approach by stakeholders;
- To provide guidance to stakeholders in the initiation of project proposals;
- To provide information clearing-house services such as provision of advice to countries on implementation of the Strategic Approach, referral of requests for information to relevant sources and facilitation of access to information and expertise in support of specific national actions;
- To ensure that recommendations from the Conference are conveyed to relevant global and regional organisations and institutions;
- To promote the exchange of relevant scientific and technical information;
- To establish and maintain a working relationship with participating organisations of IOMC in order to draw upon their sectoral expertise

17.   In addition to the activities listed above, the Secretariat was also mandated to facilitate the operation of the SAICM Quick Start Program (QSP):[9]

- Provide administrative support to the QSP Trust Fund
- Receive project proposals and screen them before submitting them to the QSP Trust Fund Implementation Committee
- Facilitate meetings of the QSP Trust Fund Implementation Committee and the QSP Executive Board

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[8] SAICM Original Project Document (2006), p.10-11
[9] SAICM Original Project Document (2006), p 12

18.   A thirteenth activity was added to the project's mandate in the original project document:[10]

- Administration of the Information Exchange Network on Capacity-Buidling for the Sound Management of Chemicals INFOCAP[11]-as part of the development of the information clearing house (see above)

C. Target areas/ groups

19.   The Secretariat's target groups are defined in the Dubai declaration – to engage actively in partnerships between Governments, the private sector and civil society.[12] A stakeholder analysis conducted as part of the inception phase of this evaluation is presented in Annex 10. Six stakeholder groups have been defined:

- UN agencies (Chemicals and Health Branch; Secretariat of the Basel, Rotterdam and Stockholm Conventions (BRS Secretariat); Inter-Governmental Organisations for Management of Chemicals (IOMC) – UNITAR, ILO, UNEP, UNIDO, FAO, WHO, OECD, World Bank and UNDP)
- Western Europe and Others Group (WEOG) – (together these countries provided most of the donor funds for SAICM, see Table 6 below)
- SAICM Bureau
- SAICM Regional and National Focal Points
- Civil Society
- Chemical Producing Industry

20.   The functions of the Secretariat (see above) were to facilitate/ service these stakeholders through a number of forums and meetings defined in the Overarching Policy Strategy:[13]

- Network of focal points: the network comprised the government regional and national focal points, predominantly representatives from the ministries of environment (80%+), with the remaining reps from ministries of health, agriculture and foreign affairs. The role of the Secretariat was to ensure that the network was provided with information generated through the SAICM processs, including decision made at Conference and the QSP funding programmes rounds and applications process. In addition, the Secretariat was responsible for communicating with the NGO focal points (civil society).
- International Conference on Chemicals Management (ICCM): this three-yearly conference brought together approximately 800-1000 stakeholders from the six groups defined above, to review progress made towards implementation of SAICM and to agree resolutions for furthering the SAICM goal.
- SAICM Bureau: comprised five government representatives nominated and endorsed at each conference. The Bureau members are representatives of government from the five regions (one from each region) and serve the period between each conference. Bureau members typically are representatives from the ministries of environment and foreign affairs. In addition to the five government representatives, the five government regional focal points sit as observers on the Bureau. A further four observers from non-government organisations – from the health sector, industry, labour sector and civil society – and one representative from the IOMC. The role of the

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[10] SAICM Original Project Document (2006), p 12
[11] See https://old.saicm.org/images/saicm_documents/infocap.htm
[12] Dubai Declaration, paragraph 19.
[13] Overarching Policy Strategy, paragraphs 23, 24 and 27

Secretariat is to serve Bureau meetings and respond to the Bureau's requests for information and support the Bureau in planning the conference.

- Regional meetings: these meetings took place between conferences with the objective of reviewing progress made towards the SAICM goal and other SAICM related issues such as cooperation with the IOMC; financing and technical resource issues for implementation; emerging policy issues (EPIs). Much of the work of the regional meetings provided the material for regional updates at Conference as well as defining regional positions on issues to be discussed at conference. Particpants at regional meetings, in keeping with the multi-stakeholder ethos of SAICM comprised national government focal points as well as representatives from the IOMC and the NGO sector, including the chemical-producing industry. The Secretariat's role was to support the planning, logistics and financing of the regional meetings as well as providing materials and documents.

21.   An additional forum was added to the responsibilities of the project in May 2009.[14]

- Open-Ended Working Group (OEWG): this group was set up as a subsidiary to the Conference and its purpose was to review and prioritise EPIs in preparation for the conference, review progress made towards the SAICM goal, consider priority issues for inclusion at Conference. Its membership comprised of representatives from all six stakeholder groups listed above. The role of the Secretariat was to support planning for these meetings, be responsible for the logistics and financing of the meeting, circulate documents in preparation for the OEWG and to produce the documents arising from the OEWG.

22.   Fulfilling its functions in regard to implementation of the QSP, there are a number of groups that the Secretariat was required to service:[15]

- Executive Board: established to provide oversight and accountability for the QSP Trust Fund, the Board comprised representatives from the six stakeholder groups defined above: government representatives from the five regions; representatives from donor countries (WEOG stakeholder group); representatives from the organisations comprising the IOMC, one representative from the chemical-producing industry and one from civil society. The Secretariat's function was to service the Board through providing support in planning and logistics, ensuring that all documents were circulated to the Board and the production of draft meeting outcome documents.
- Trust Fund Implementation Committee: was the body responsible for reviewing and selecting QSP proposals, and monitoring performance. The committee was comprised of representatives from each of the IOMC organisations. The role of the Secretariat was to service the committee by supporting planning of meetings, providing reviews of proposals, and updates on progress of on-going proposals.
- Project proponents and awardees: these were beneficiaries of the QSP Trust Fund, whose project proposals were successful. Proponents and awardees came mainly from the government focal point group of stakeholders, with some projects (10%) being awarded to civil society representatives. The organisations comprising the IOMC were also project awardees acting as executing agencies for the majority of projects. The role of the Secretariat was to maintain a database of awardees, support the preparation of submission of proposals and carry out on-going monitoring of progress made in delivering projects.

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[14] SAICM/ICCM.2/15, p 41
[15] Resolution I/4, Appendix II

D. Milestones/key dates in project design and implementation

23.   The original project design is presented in the project document, dated 21 December 2006.[16] Tables 1 to 3 present the milestones/ deliverables from the original project document, and the two project revision documents, and provides an assessment of the success in achieving those deliverables.[17]

Table 1: Milestones/ deliverables for period 2006-2009 and progress made (green=completed; yellow = on-going)

Date	Milestone/ deliverable	Date Delivered
2006	Publication of SAICM texts & ICCM1 Report	ICCM1 report published on 8 March 2006[18] SAICM texts published March 2007[19]
2006-2008	Organisation of at least one meeting for each UN region	Africa Regional meetings: 2006, 2008 Asia-Pacific: 2007 Central and Eastern Europe: 2006, 2008 Latin America and Caribbean: 2008 Western Europe & Others Group: 2006, 2007, 2008[20]
2008	Holding of a meeting of the Open-ended Legal and Technical Working Group to prepare for ICCM2	First meeting of 21-24 October 2008[21]
2009	Organisation of ICCM2 and dissemination of its report	ICCM2 took place 11-15 May 2009; Report produced 27 May and put on website[22]
2007-2009	Presentation of report to ICCM2	Report presented - SAICM/ICCM.2/15
2006-2009	A network of SAICM focal points whose details are maintained on the Secretariat website	List of participants (focal points) available on 5 June 2009[23]
	Publications of SAICM Secretariat guidance documents as required including guidelines for QSP Trust Fund applicants and, in collaboration with IOMC, SAICM implementation manuals	A number of information documents and guidelines published at ICCM2: 11-15 May 2009[24]. Also QSP Guidelines Nov 08 and version 1 in Nov 2006 QSP Guidelines developed and revised over each of the eight Implementing Committee Meetings[25]
2007-2009	Establishment of an interactive, internet-based information clearing house service	Reported at ICCM2 architecture for online clearing house ready[26] At ICCM3: reported that clearing house was 'live' for last month (August

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[16] SAICM Original Project Document (2006)

[17] Project Document Supplement (2012); UNEP Project Revision Document (2015)

[18] SAICM/ICCM.1/7

[19] SAICM-publication-EN.pdf

[20] http://old.saicm.org/index.php?option=com_content&view=article&id=98&Itemid=492

[21] SAICM/ICCM.2/2

[22] SAICM/ICCM.2/15

[23] http://www.saicm.org/Portals/12/documents/meetings/ICCM2/inf/ICCM2%20-%20Participants%20List%20-%20FINAL.pdf

[24] http://www.saicm.org/About/ICCM/ICCM2/tabid/5966/language/en-US/Default.aspx

[25] http://www.saicm.org/QuickStartProgramme/Trustnbsp;Fund/tabid/5469/language/en-US/Default.aspx; http://old.saicm.org/images/saicm_documents/meeting/grulac/Barbados%2009/meeting%20documents/6th%20rnd%20QSP%20Trust%20Fund%20applications%20guidelines%20Nov%2008.pdf; SAICM/RM/EUJ.1/INF/9

[26] SAICM/ICCM.2/7

		2012).[27]Site not active now www.saicm.org/ich/
2006 & 2009	Dissemination of the reports of ICCM1 and ICCM2 to organisations and institutions	Reports disseminated through SAICM website
2006-2009	Inclusion of scientific and technical information sources within the framework of the information clearing house and a possible scientific conference in preparation for ICCM2	Envisaged that the clearinghouse would have this function at ICCM3[28] An initial information clearing house was established but was nevere adequately resourced or systematically maintained Secretariat presented conference proposal in May 2007[29]
2006-2009	Scientific and technical discussions at regional meetings and ICCM sessions	At ICCM2: discussion on emerging policy issues[30]; GHS[31]; POPs[32]. Regional meetings during the period discussed emerging policy issues[33]; national implementation plans[34]; toxic chemicals and hazardous substances[35]; health[36]; exchange and synergies with BRS[37]; perspectives and support for SAICM implementation[38]
2006-2009	Regular engagement with IOMC through, for example, bi-annual meetings of the QSP Trust Fund Implementation Committee and the IOMC Inter-Organisation Coordinating Committee	The 8th Implementing Committee meeting was held in Oct 2009[39]
2006-2009	Advice to UNEP/ BFMS on trust fund issues and facilitation of project administration as appropriate	data not available
2006-2009	Advice to stakeholders, e.g. the preparation of complete eligible QSP project proposals, screened for completeness and eligibility, submitted to the Implementing Committee[40]	Reported that 1st, 2nd, 3rd, 4th, 5th Rounds completed late, but by 2009[41]

[27] SAICM/ICCM.3/INF/28. No report on clearing house at ICCM4.

[28] SAICM/ICCM.3/INF/28

[29] SAICM/RM/EUJ.2/INF/9

[30] SAICM/ICCM.2/10; SAICM/ICCM.2/10/Add.1*; SAICM/ICCM.2/INF/6; SAICM/ICCM.2/INF/34*; SAICM/ICCM.2/INF/36; SAICM/ICCM.2/INF/35*; SAICM/ICCM.2/INF/38; SAICM /ICCM.2/INF/41

[31] SAICM/ICCM.2/INF/15

[32] SAICM/ICCM.2/INF/7

[33] SAICM/RM/Afr.2/6; SAICM/RM/AP.2/INF/14; SAICM/RM/CEE.3/INF/14; SAICM/RM/CEE.3/INF/15

[34] SAICM/RM/AP.2/INF/6; SAICM/RM/CEE.2/INF/11; SAICM/RM/LAC.1/INF/22; SAICM/RM/LAC.1/INF/30

[35] SAICM/RM/AP.2/INF/11

[36] SAICM/RM/CEE.3/INF/12

[37] SAICM/RM/LAC.1/INF/22; SAICM/RM/LAC.1/INF/24; SAICM/RM/LAC.1/INF/25; SAICM/RM/EUJ.2/INF/10; SAICM/RM/EUJ.2/INF/10.Add1

[38] SAICM/RM/LAC.1/INF/28; SAICM/RM/EUJ.1/INF/3 http://old.saicm.org/index.php?option=com_content&view=article&id=361:meeting-documents-caribbean-workshop-on-saicm-and-related-chemicals-and-hazardous-waste-instruments-bridgetown-barbados-10-13-march-2009&catid=205:caribbean-workshop-on-saicm-and-related-chemicals-and-hazardous-waste-instruments-bridgetown-barbados-10-13-march-2009

[39] http://old.saicm.org/index.php?option=com_content&view=article&id=164&Itemid=498

[40] This milestone combines two from original document.

[41] SAICM/ICCM.2/5

2006-2009	Annual meetings of the QSP Board	The 5th meeting of the Board was held in June 2010[42]
2006-2009	Negotiations with IFCS Secretariat on the transfer of responsibility for INFOCAP to the SAICM Secretariat	Discussions reported at ICCM2[43]. Transfer of responsibility and integration yet to take place
2006-2009	Integration of INFOCAP within the SAICM information clearing house on a trial basis until ICCM2	
2006	Closing-off of financial obligations in relation to the organisation of ICCM1	data not available
2006	Reporting to donors on the use of funds provided for the SAICM development phase	data not available
2006-2009	Fundraising letters to follow up on requests for contributions in the SAICM Overarching Policy Strategy and ICCM resolutions	data not available
2006-2009	Provision of status reports on funding needs to potential donors	Reports presented t 1st, 2nd, 3rd regional meetings for EU-JUSSCANNZ for QSP and Secretariat funding needs
	Reporting to donors on fundraising	

Table 2: Milestones/ deliverables for the period 2010-2013[44]

Date	Milestone/ deliverable	Date Delivered
September 2011*	Mid-term review of the QSP Programme	Review presented to ICCM3 12 August 2012[45]
November 2011*	Round of regional meetings completed (4 meetings)	Two in Africa (2010, 2011); one in Asia (2011); one CEE; two in LAC (2010. 2011); one in JUSSCANNS (2011)[46]
	Meeting of the Open-Ended Working Group: progress of work is assessed (number of SAICM stakeholders implementing SAICM increases)	OEWG held in Nov 2011; base line data and progress made reported[47]
April 2012	12th Round of the QSP: number of projects approved increases or remains the same per round	By July 2012 only 4 projects had been approved in the 12th round. Fewer projects than in any previous round.[48]
September 2012	Third session of ICCM: (progress is assessed, recommendations on new emerging issues adopted; number of SAICM stakeholders implementing SAICM increases. Number of SAICM activities being implemented increases)	ICCM3 took place 17-21 Sep 2012; Resolution III/2 on emerging policy issues[49]
Nov 2012 - June 2013	ICCM3 Follow up round of regional meetings initiated and completed	No regional meetings took place during this period. Three took place in the second half of 2013[50]
April 2013	13th Round of the QSP: number of projects approved increases or remains the same per round	13th Round closed for applications on 28 June 2013; 4 projects approved in Nov 2013, the same as in Round 12.[51]
November 2013	14th Round of the QSP: number of projects approved increases or remains the same per round	14th Round closed on 30 Sep 2014; one project approved and funded[52]

* The project revision document was published in Feb 2012. These milestones may be considered as reporting on the 2011 activities rather than milestones upon which project performance can be assessed.

Table 3: Milestones/ deliverables for the period 2014-2015[53]

Date	Milestone/ deliverable	Date Delivered
June 2014	115 SAICM stakeholders complete reporting process	Reported to ICCM4
June 2014	9th meeting of the QSP Executive Board.	Meeting held in May 2014[54]
June 2014	Round of regional meetings completed (2 meetings held in first quarter of 2014): feedback received	One held in ASP, the other in JUSSCANNZ[55]

	supported the development of 11 basic elements for sound management of chemicals.	
December 2014	17th meeting of the QSP Trust Fund Implementation Committee	Held in Nov 2014[56]
December 2014	5 regional meetings held at OEWG2: supporting regional cooperation and coordination for SAICM implementation.	Meetings held[57]
June 2015	Sectoral and stakeholder consultations held in preparation for ICCM4	Reported to ICCM4[58]
June 2015	Two side events hosted to support SAICM policy discussions at the conferences of the parties to the Basel, Rotterdam and Stockholm conventions, including on: Highly Hazardous Pesticides in the SAICM context; and Considering socio-economic impacts of chemicals and waste management; protecting vulnerable groups from hazardous pesticides and waste.	data not available

23.   It is noted that the second project revision document was published in Nov 2015. It is not surprising therefore that all milestones were achieved. These milestones may be considered as reporting on the 2014-2015 activities rather than milestones against which project performance can be assessed.

[42] SAICM/EB.5/1/Rev.1

[43] SAICM/ICCM.2/7, paragraph 3

[44] See: Annex: Project Document Supplement (2012)

[45] SAICM/ICCM.3/INF/17

[46] http://old.saicm.org/index.php?option=com_content&view=article&id=98&Itemid=492

[47] SAICM/OEWG.1/INF/1; SAICM/OEWG.1/INF/2

[48] SAICM/ICCM.3/INF/16/Rev.1

[49] SAICM/ICCM.3/24

[50] http://old.saicm.org/index.php?option=com_content&view=article&id=98&Itemid=492

[51] SAICM/TF.16/6, p 3

[52] SAICM/TF.17/7, p 3

[53] See: UNEP Project Revision Document (2015)

[54] SAICM/EB.9/7

[55] http://old.saicm.org/index.php?option=com_content&view=article&id=98&Itemid=492

[56] SAICM/TF.17/7

[57] SAICM/OEWG.2/13*, paragraph 17

[58] SAICMM/ICCM.4/INF/4

E. Implementation arrangements

24.   In order to deliver on its mandated functions ICCM1 resolved that the Secretariat should be staffed by five full-time professionals and one full-time general service staff giving a total of six full-time equivalent staff. Table 4 shows the staffing structure.[59] The P5 post fulfilled the Project coordinator role and the P3 post the QSP Programme Officer role.[60]

Table 4: Secretariat Staffing Table

Staff category and level	Number of posts
A. Professional Category	
P-5	1
P-4	2
P-3	1
P-2	1
Subtotal	5
B. General Service category	1
Total (A+B)	6

25.   At ICCM2, it was proposed to increase the staffing capacity of the project by an additional two full time professional posts – one at P-3 level and the second at P-2 level – increasing the capacity of the project to eight full time equivalent posts. Specifically, the P-3 post was to provide capacity to the project to deliver on its function in relation to the clearinghouse and development of guidance materials to support Strategic Approach implementation. The P-2 post was proposed to support the QSP Programme Officer to fulfil her responsibilities given the unanticipated (in 2006) workload of that post.[61] The proposed increase in capacity was approved by Conference in Resolution II/10.

26.   The project experienced a chronic shortfall in professional staff capacity throughout the period 2006-2015. Whilst the general service staff post was filled throughout the period, the full complement of professional staff (five full time equivalent- FTE) for the period 2006-2009 was only achieved for the last 10 months of 2009; for 2010-2012 (seven FTE staff) the actual staff complement was 2.6 FTE; for the period 2013-2015 the complement was 3.86 FTE.[62] The project addressed this shortfall to some extent through the contracting of short-term consultants.[63]

27.   At the request of ICCM1 (Resolution I/1, paragraph 11) the Executive Director of UNEP established and assumed overall administrative responsibility for the project and located it within the chemicals health cluster in Geneva for the period 2006 to 2015.

28.   The project's management was situated within a complex matrix management structure. Whilst SAICM is guided by ICCM resolutions, it was also subject to the administrative and reporting requirements of the Chemicals and Health Branch, with the Project Coordinator accountable to the head of the branch. The Chemicals and Health Branch was located within the Division of Technology, Industry and Economics (DTIE), one of six divisions accountable to the Executive Office of UNEP. 'Chemicals and Waste' was also designated

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[59] ICCM1, Resolution I/1

[60] SAICM/ICCM.2/9*, paragraph 8

[61] SAICM/ICCM.2/9*, paragraphs 19 & 20

[62] Source: SAICM/ICCM.2/9*, paragraph 8; SAICM/ICCM.3/21/Rev.1, Table 1; SAICM/ICCM.4/14, Table 2.

[63] The reasons for the chronic shortfalls in project staff numbers is discussed further in the following section 'F. Project financing' and the impacts of this are discussed in 'Factors affecting performance'.

as one of six (now seven) thematic areas (Sub-programmes) that formed the planning and results frameworks of the organisation. The Secretariat, as a 'project' of the Chemicals and Health Branch, was subjected to the Branch's administrative and reporting systems, defined within a valid and approved UNEP project.

29.   In addition to the dual management and reporting structure outlined in the preceding paragraph, the management of the QSP represented an additional layer of complexity to the project's management structure. At the invitation of ICCM1 (Resolution I/1, paragraph 14), the Executive Director of UNEP, in cooperation with the organisations of the Inter-Organisation Programme for the Sound Management of Chemicals (IOMC), has been responsible for the implementation (facilitation) of the QSP over the period 2006-2015.

30.   The implementing arrangements for the QSP are presented in Resolution I/4, Appendix II.[64] The Programme Officer (the P-3 staff post located within the Secretariat) responsible for administering the QSP programme screened project proposals before submitting them to the Trust Fund Implementation Committee for review and decisions. The Implementing Committee played a dual role – providing technical support in the development of proposals when requested by project proponents and appraising and approving projects.[65]

31.   The QSP Programme Officer facilitated twice-yearly application rounds involving meeting the Implementation Committee, prepared legal agreements with executing agencies and project implementers, facilitated monitoring and reporting for each project (typically over a two year period), reported to the Executive Board annually, reported to the Conference and Trust Fund donors and trustees.[66] The QSP Programme Officer post was affected by the chronic understaffing of the Secretariat over the 2006-2015 period with significant gaps in this post, and the additional P-2 post to support the QSP Programme Officer, recommended and endorsed by Conference at ICCM2, from 2010 onwards, was in post from February 2015.[67] The shortfalls in the P-3 and P-2 staff posts to administer the QSP programme were mitigated to some extent by recruitment of short-term consultants.

32.   Funds for the Secretariat – staff costs, Secretariat activities and QSP Trust Fund contributions – were deposited in the Chemicals and Health Branch finance department account and administered under the branch's internal financial systems.

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[64] Source: SAICM/TF.16/INF/3, p.4
[65] Source: SAICM/TF.16/INF/3, paragraphs 9 & 11.
[66] SAICM/ICCM.2/9*, paragraph 19.
[67] SAICM/ICCM.4/14, Table 2

F. Project financing

(i) Financing for Secretariat staff and activities

33.   Resolution I/1 of ICCM1 in 2006 invited the 'Executive Director of UNEP and the Director general of the World Health Organisation to provide appropriate staff and other resources ... to enable their organisations to take lead roles in the Secretariat in their respective areas of expertise'.[68] Further, the resolution invited governments, donors, NGOs and the private sector to make voluntary contributions to support the Secretariat to fulfil its functions.

34.   In the event, UNEP, through the Environment Fund (EF), provided funding each year to cover the staff costs of the Secretariat's Project Coordinator. The WHO seconded one of its staff members (at P-5 level) to the Secretariat for the period 2007 - 30 September 2012. The funding for the WHO-seconded post was reported to have come from Australia, Canada, Germany, Switzerland and the United Kingdom.[69,70]

35.   The voluntary contributions, or extra-budgetary funds (XBF), were provided by several donors. However, the amount of funds secured fell short of the level of funds approved by ICCM every year. Table 5 below shows the agreed indicative budget, the actual funding forthcoming and the percentage shortfall between indicative and actual each year. The impacts of this persistent shortfall are discussed in section 'Factors affecting performance' below.

Table 5: Indicative and actual XBF secured each year (2006-2015)[71,72]

	Agreed budget	actual	shortfall	% shortfall
2006	$1,172,375	$632,376	-$539,999	46%
2007	$1,172,319	$670,131	-$502,188	43%
2008	$1,187,984	$1,015,678	-$172,306	15%
2009	$1,207,957	$535,487	-$672,470	56%
2010	$1,400,460	$749,130	-$651,330	47%
2011	$2,555,003	$1,793,918	-$761,085	30%
2012	$3,320,681	$1,857,606	$1,463,075	44%
2013	$1,555,784	$1,493,578	-$62,206	4%
2014	$2,410,125	$2,017,995	-$392,130	16%
2015	$3,093,891	$1,574,434	$1,519,457	49%

36.   Table 6 shows the contributions of each donor to the extra-budgetary funds each year. Part of the European Commission voluntary contributions was earmarked for the P-3 post within the Secretariat responsible for managing the QSP. Six donors were responsible for contributing 80% of the XBF over the 10-year period. They were: European Commission, USA, Sweden, Switzerland, Germany and Norway.

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[68] ICCM1, Resolution I/1, paragraph 12.
[69] SAICM/ICCM.3/21/Rev.1, paragraph 26.
[70] It is not clear whether these funds to support the WHO position were in addition to, or part of, the XBF contributions recorded in Table 6. However, given that Canada is not listed as providing XBF contributions it is assumed that these funds are in addition to those listed in the table.
[71] Source of data for 2006-2009: SAICM/ICCM.2/9*, Table 2, p.5; for 2010-2012: SAICM/ICCM.3/21/Rev.1, Table 2, p. 6; for 2013-2015: SAICM/ICCM.4/14, Table 3, p.12 and SAICM/ICCM.5/Bureau.2/INF/2.
[72] For the years 2006-2009 the figures include indicative amounts from EF and WHO contributions to project coordinator post and WHO sponsored post. For the period 2010-2015, these figures are (correctly) not included.

37. The funding provided by UNEP in 2013, 2014 and 2015 amounting to $469,400 was unplanned, i.e. not part of the agreed XBF donor contributions. UNEP stepped in and provided this financing to avert a funding crisis. Without these funds the Secretariat would have been unable to fulfil its functions/obligations, specifically the Open-Ended Working Group 2 process would not have occurred.[73] The source of these funds was from the UNEP Executive Office and was classified as a loan.[74]

38. In addition to the actual financial contributions of donors to enable the Secretariat to fulfil its functions, donors also self-reported on financing that they considered contributed to the functions of the Secretariat. At ICCM2, such financing was reported to have been $698,693 over the period 2006-2009. This finance was used to cover expenses '*associated with the current session of the Conference, the meeting of the Open-ended Legal and Technical Working Group held in Rome from 21 to 24 October 2008, regional meetings and publication of the Strategic Approach texts*'.[75] (No such financial contributions were reported for the period 2010-2015.)

39. A final component of financing was those in-kind contributions that supported Secretariat activities. Such activities included meeting facilities and support for meeting activities or participant travel.[76]

Table 6: Cash contribution and share to XBF by donor by year (2006-2015)[77]

Contributor	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total	Share
European Union	$187,760	$42,081	$320,000			$495,314	$655,000	$338,000		$544,662	$2,582,817	22%
USA		$100,000	$90,000		$300,000	$400,000	$400,000	$370,000	$370,000	$370,000	$2,400,000	20%
Sweden	$100,000	$77,041	$62,860		$44,360	$137,619	$263,070	$207,468	$302,623	$344,167	$1,539,208	13%
Switzerland	$112,419	$12,419	$14,470	$14,689	$221,290	$175,103	$21,790	$12,070	$237,451	$345,830	$1,167,531	10%
Germany					$101,343	$188,547	$175,279	$120,960	$276,833	$216,775	$1,079,737	9%
Norway	$38,600	$45,640	$47,000		$78,088	$129,516	$120,291	$149,071	$112,410	$38,212	$758,828	6%
UNEP								$139,400	$280,000	$50,000	$469,400	4%
Denmark		$19,569				$36,089	$160,774	$44,823	$134,005	$62,792	$458,052	4%
Finland	$12,700		$46,656	$64,875		$46,666	$52,541	$13,587	$39,526	$40,305	$316,856	3%
ICCA						$28,909			$135,000	$135,000	$298,909	3%
Netherlands						$72,674		$67,843	$65,876	$54,466	$260,859	2%
Spain		$14,500		$165,000		$65,703					$245,203	2%
Australia		$28,668	$56,776								$85,444	1%
Belgium								$26,525	$25,412	$21,786	$73,723	1%
Austria						$13,333			$27,210	$10,893	$51,436	0%
UK		$49,115									$49,115	0%
Slovenia	$3,755	$4,032	$4,716	$3,836	$4,048	$4,444	$3,861	$3,831	$4,149	$3,267	$39,939	0%
Romania				$13,605							$13,605	0%
Kenya							$5,000		$5,000		$10,000	0%
Benin										$8,303	$8,303	0%
Pakistan									$2,000		$2,000	0%
Guyana									$500	$1,000	$1,500	0%
Total	$455,234	$393,065	$642,478	$262,005	$749,129	$1,793,917	$1,857,606	$1,493,578	$2,017,995	$2,247,458	$11,912,465	

(ii) QSP Trust Fund and non-Trust Fund

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[73] Interviewee, *pers comm*

[74] Interviewee, *pers comm*

[75] SAICM/ICCM.2/9*, paragraph 11

[76] For a list of countries and organisations that provided such in-kind support see: SAICM/ICCM.2/9*, paragraph 12; SAICM/ICCM.3/21/Rev.1, paragraph 27; SAICM/ICCM.4/14, paragraph 6.

[77] SAICM/ICCM.2/9*, Table 3; SAICM/ICCM.3/21/Rev.1, Table 2; SAICM/ICCM.4/14, Table 3; SAICM/ICCM.5/Bureau.2/INF/2; Finance Office, Chemicals and Health Branch, UNEP

40.   Funding for QSP projects, provided through the QSP Trust Fund, came from a number of donors. Table 7 provides details of the amounts from each donor for the period 2006-2015. Three donors – the European Commission, Sweden and Norway contributed 66% of the total funds.

41.   In addition to the Trust Fund contributions, donors self-reported non-Trust Fund contributions – both cash and in-kind – to support the QSP. Table 8 provides the total amount of both cash and in-kind contributions each year. The donors contributing to the non-Trust Fund were the Governments of Canada, Japan, Switzerland, Sweden, the United Kingdom and the United States of America. Intergovernmental organizations were the Food and Agriculture Organization of the United Nations (FAO), the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP), the United Nations Industrial Development Organization (UNIDO), the United Nations Institute for Training and Research (UNITAR), the World Health Organization (WHO), and the Organisation for Economic Cooperation and Development (OECD). Additional non-governmental donors have been Argentine Society of Doctors for the Environment (AAMMA), the BASF, the Dow Chemical Company (DOW), International Council of Chemical Associations (ICCA), the International POPs Elimination Network (IPEN), and the International Society of Doctors for the Environment (ISDE).[78]

Table 7: Donor contribution to QSP Trust Fund by year (2006-2015)[79]

	2006	2007	2008	2009	2010	2011	2012	2013	2014	2015	Total	Share
European Union	$0	$3,108,808	$2,495,783	$0	$0	$3,653,344	$0	$0	$0	$2,765,487	$12,023,422	29%
Sweden	$3,649,000	$2,266,049	$0	$2,048,525	$2,189,000	$0	$671,985	$0	$0	$0	$10,824,559	26%
Norway	$485,564	$1,102,941	$848,506	$803,853	$846,597	$0	$0	$326,413	$129,737	$0	$4,543,611	11%
USA	$200,000	$300,000	$300,000	$300,000	$400,000	$400,000	$350,000	$290,000	$290,000	$0	$2,830,000	7%
France	$65,789	$0	$0	$80,753	$138,888	$266,666	$507,823	$407,608	$334,225	$0	$1,801,752	4%
Finland	$254,452	$273,597	$311,526	$280,898	$0	$286,123	$0	$275,862	$0	$0	$1,682,458	4%
Germany	$0	$0	$0	$217,687	$244,897	$256,410	$241,286	$234,681	$228,716	$203,400	$1,627,077	4%
Switzerland	$161,419	$133,496	$125,330	$190,043	$100,000	$117,233	$106,907	$163,702	$275,300	$0	$1,373,430	3%
Spain	$131,578	$65,597	$389,610	$389,610	$65,703	$0	$0	$0	$0	$0	$1,042,098	3%
Netherlands	$128,205	$136,798	$155,763	$69,992	$132,625	$72,674	$0	$0	$0	$0	$696,057	2%
Austria	$131,572	$160,400	$156,033	$73,964	$67,294	$13,333	$0	$0	$0	$0	$602,596	1%
Slovenia	$26,350	$29,213	$160,808	$25,830	$115,935	$103,703	$0	$0	$0	$0	$461,839	1%
UK	$375,476	$0	$0	$0	$0	$0	$0	$0	$0	$0	$375,476	1%
Australia	$0	$57,366	$236,639	$0	$0	$0	$0	$0	$0	$0	$294,005	1%
Republic of Korea	$0	$40,000	$0	$0	$50,000	$50,000	$50,000	$50,000	$50,000	$0	$290,000	1%
South Africa	$100,000	$0	$0	$50,000	$0	$0	$0	$100,000	$0	$0	$250,000	1%
India	$100,000	$0	$0	$0	$0	$0	$0	$0	$0	$0	$100,000	0%
Nigeria	$50,000	$0	$0	$50,000	$0	$0	$0	$0	$0	$0	$100,000	0%
Czech Republic	$0	$0	$66,715	$0	$12,330	$0	$0	$0	$0	$0	$79,045	0%
Belgium	$50,068	$0	$0	$14,430	$0	$0	$0	$0	$0	$0	$64,498	0%
Romania	$0	$0	$0	$13,605	$0	$0	$0	$0	$0	$0	$13,605	0%
Hungary	$0	$0	$12,936	$0	$0	$0	$0	$0	$0	$0	$12,936	0%
Madagascar	$0	$5,104	$4,541	$0	$0	$0	$0	$0	$0	$0	$9,645	0%
Pakistan	$0	$0	$0	$0	$2,009	$0	$1,974	$0	$0	$0	$3,983	0%
Total	$5,909,473	$7,679,369	$5,264,190	$4,609,190	$4,365,278	$5,219,486	$1,929,975	$1,848,266	$1,307,978	$2,968,887	$41,102,092	

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[78] Source: http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500

[79] Source: http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500; Finance Office, Chemicals and Health Branch, UNEP

Table 8: Contributions, both cash and in-kind, to the non-Trust Fund by year (2006-2015)[80]

Year	Declared Contribution
2006	$23,912,500
2007	$6,150,200
2008	$14,313,000
2009	$1,750,560
2010	$16,192,986
2011	$0
2012	$514,500
2013	$3,644,000
2014	$5,022,032
2015	$2,614,239
Total	$74,114,017

G. Project partners

42.   The project partners were identified in the Overarching Policy Strategy – namely WHO and UNEP – that were to have lead roles in the Secretariat. The project was to work in collaboration with the participating organisations of the IOMC.[81]

H. Changes in design during implementation

43.   There were no changes in the fundamental design of the project, as reflected in the two project revision documents. The revisions served to extend the life of the project until December 2015 rather than change the design, structure or implementing arrangements of the project.[82]

44.   The project did, however, experience some changes in its structure and implementing arrangements over the period 2006-2015. In October 2012 the WHO withdrew the member of staff it had seconded to the project (2007-2012) because of financial considerations,[83] the Open-ended Working Group became an additional forum for the project to service;[84] the project's functions were extended to include administering 'emerging policy issues'.[85] At ICCM3 Conference mandated the project to develop an 'overall orientation and guidance' to facilitate achievement of the 2020 goal.[86]

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[80] Source:
http://old.saicm.org/index.php?option=com_content&view=article&id=105:contributions&catid=105:contributions&Itemid=500
[81] http://www.saicm.org/About/Secretariat/tabid/5459/language/en-US/Default.aspx
[82] UNEP Project Document Supplement (2012); UNEP Project Revision Document (2015)
[83] SAICM/ICCM.3/24, paragraph 188
[84] Resolution II/6
[85] Resolution II/4 of ICCM2
[86] SAICM/ICCM.3/24, paragraph 27, p. 58

I. Reconstructed theory of change for the project

45.   A theory of change seeks to map out the pathways from project outputs and outcomes to impact. Identifying the pathways by which the project is expected to achieve its impact provides a framework to evaluate the project's success. Current good practice in project and programme design involves constructing a theory of change at the outset that can then be used to assist in shaping the scope and activities of the project/ programme. Such a theory of change supports on-going monitoring of the project/ programme and provides the framework of the terminal evaluation.

46.   This project (the SAICM Secretariat), developed in 2006, did not have a Theory of Change constructed as part of the initial project design (nor its subsequent extension designs). Therefore, a 'reconstructed' Theory of Change has been inferred from the project documents. This reconstructed Theory of Change is used for the terminal evaluation.

Project's intended impacts

47.   This project was initially conceived as running from 10 November 2006 to 31 December 2009. There have been two extensions to the project, the first running from 1 January 2010 to 31 December 2013, and the second from 1 January 2014 to 31 December 2015. The objectives of the project as originally conceived in the initial project document have evolved through the two subsequent extensions to the project. The initial objective of the SAICM Secretariat project was "to maximise the number of countries and stakeholders participating in the implementation of SAICM"[87].

48.   The project documentation for the first extension refers to the 'Expected Accomplishment' of the project as "Impacts of harmful substances and hazardous waste on the environment and human beings are minimised"[88].

49.   The 'Expected Accomplishment' changed further in the documentation for the second extension to "Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs"[89].

50.   From the above statements we can infer that the project's intended impact is "Impacts of harmful substances and hazardous waste on the environment and human beings are minimized".

Review of project's logical framework

51.   As with the project objectives, the project outcomes also evolved over the course of the project (see Results Table 9 below). The different iterations of the logframe over the original project document (PD) and the two revised project documents (RPD1 and RPD2) reflect some confusion over outputs, outcomes and impacts. One of the original project outputs – The QSP supports initial enabling capacity building & implementation activities – has been redefined as an outcome.

52.   The two project outcomes reflect the two streams of work that SAICM Secretariat was tasked to do. The first relates to supporting capacity building among stakeholders (and the second stream relates to providing secretariat and logistic support.

53.   Realising the two project outcomes lead to the Intermediate State I for each stream of work. Both streams of work converge in Intermediate State II – "SAICM stakeholders are increasingly implementing sound management of chemicals throughout their lifecycle, at all levels"[90].

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[87] See United Nations Environment Programme Action Sheet (2006) Strategic Approach to International Chemicals Management Secretariat, p.10.

[88] See UNEP Project Document (2009) Annex: Project Document Supplement. Strategic Approach to International Chemicals Management Secretariat, p. 1

[89] See UNEP Project Revision Document (2013) Secretariat services to the Strategic Approach to International Chemicals Management (SAICM) and its financial mechanism, p. 1.

[90] UNEP (2015) UNEP Project Revision Document, p. 2.

54.   Achievement of the intermediate states may contribute to the overall impact of the project "Impacts of harmful substances and hazardous waste on the environment and human beings are minimized".

Impact pathways

55.   The intermediate states need to be achieved in order for the two project outcomes to translate into the intended impact (see Figure 1 below).

56.   Several drivers were identified from the project documents and discussions with stakeholders. The drivers represent external factors that will have an influence on the impact pathways highlighted in the ToC figure. These drivers, whilst external to the project can, to some degree, be influenced by the Secretariat and by project partners. The drivers highlighted can influence the project at all stages – from outputs to impact. The success of the project depends on the Secretariat explicitly recognising these drivers and adapting its strategy for project delivery in anticipation of these.

57.   Assumptions, also external factors to the project, have the potential to influence the success of the project but the Secretariat and other stakeholders have little influence over them. Again, the Secretariat should be mindful of these assumptions and factor them into its planning.

58.   Realising the project outcomes rests on the assumption that the Secretariat receives adequate funding support from donors.

59.   For the Intermediate State I 'Countries and stakeholders make increasing use of scientific & technical knowledge to implement sound management of chemicals & waste & related MEAs' the following driver has been identified: Widespread demand for SAICM guidelines & info by States & stakeholders. The Secretariat, in part, can influence this factor through the production of accessible and relevant materials that stakeholders can draw on.

60.   Realising the Intermediate State I 'Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs' assumes that donor countries maintain their funding and support for developing countries and countries in transition, enabling them to build and strengthen the institutions needed to develop and implement policies to further the 2020 goal. It is also influenced by the driver: Countries take forward processes initiated by the QSP.

61.   The transition to the intermediate state II is based on the assumption that the political context at the national, regional and global levels is conducive to evidence-based strategies for chemicals management. The transition is also premised on the assumption that there is public support for chemicals and waste management.

62.   The driver 'Chemicals & Waste mainstreamed in international forums', that influences the transition to intermediate state II, can be influenced to some degree by the Secretariat through lobbying and advocacy of chemicals management through the Chemicals and Health Branch, the BRS conventions and other stakeholders.

63.   The transition from the intermediate state II to the impact, assumes that 'SAICM stakeholders are the most significant actors in chemicals & waste management'. The Secretariat has some degree of influence over this factor. If it transpires that others with a stake in the SAICM project are not part of the SAICM stakeholders, the Secretariat can take steps to broaden the group membership.

Table 9. Project result statements and their reconstruction for the ToC

Outputs		Outcomes		Intermediate State (I)	Intermediate State (II)	Objectives/ EA/ Impact	
Original	Reconstructed	original	Reconstructed		Reconstructed	Original	Reconstructed
RPD1: The ICCM and subsidiary bodies receive adequate Secretariat support services RPD1: The QSP is efficiently managed RPD1: Regional networks receive adequate support for implementation of SAICM by facilitating regional meetings, and strengthening the scientific base of regional networks RPD2: The QSP supports initial enabling capacity building & implementation activities RPD2: Adequate policy discussions facilitated with support from the Secretariat to regional stakeholders & sectoral groupings RPD2: Evaluation process established	The ICCM and subsidiary bodies receive adequate Secretariat support services The QSP is efficiently managed Regional networks receive adequate support for implementation of SAICM by facilitating regional meetings, and strengthening the scientific base of regional networks Adequate policy discussions facilitated with support from the Secretariat to regional stakeholders & sectoral groupings	RPD1: Coherent international policy and technical expertise is provided to States and other stakeholders RPD2: SAICM stakeholders are increasingly implementing sound management of chemicals throughout their lifecycle, at all levels	Coherent international policy and technical expertise is applied by States and other stakeholders Capacity building gained through the QSP is applied in implementation activities	Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs Countries and stakeholders make *increasing use of* scientific & technical knowledge to implement sound management of chemicals & waste & related MEAs	SAICM stakeholders are increasingly implementing sound management of chemicals throughout their lifecycle, at all levels	PD: To maximise the number of countries and stakeholders participating in the implementation of SAICM RPD1: Impacts of harmful substances and hazardous waste on the environment and human beings are minimized RPD2: Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs	Impacts of harmful substances and hazardous waste on the environment and human beings are minimised

Figure 1: Theory of Change

| Outputs | Outcomes | Intermediate State I | Intermediate State II | Impact |

Driver: Widespread demand for SAICM guidelines & info by States & stakeholders

Driver: Countries take forward processes initiated by the QSP

Driver: Chemicals & Waste mainstreamed in international fora

Driver: SAICM stakeholders are the most significant actors in chemicals & waste management

The QSP is efficiently managed

Capacity building gained through QSP is applied in implementing activities

The ICCM and subsidiary bodies receive adequate Secretariat support services

Regional networks receive adequate support for implementation of SAICM through the facilitation of regional meetings, and through strengthening the scientific base of regional networks

Coherent international policy and technical expertise is applied by States and other stakeholders

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

Countries make increasing use of scientific & technical knowledge to implement sound management of chemicals & waste & related MEAs

SAICM stakeholders are increasingly implementing sound management of chemicals throughout their lifecycle, at all levels

Impacts of harmful substances and hazardous waste on the environment and human beings are minimised

Adequate policy discussions facilitated with support from the Secretariat to regional stakeholders & sectoral groupings

Assumption: donor countries maintain funding

Assumption: donor countries maintain funding

Assumption: public support for chemicals and waste management

Assumption: Global political economy conducive to chemicals management

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III. Evaluation Findings

A. Strategic relevance

64.   SAICM is highly relevant to the international development agenda. The Dubai Declaration arose from the recognition that significant but insufficient progress had been made in international chemicals management through the implementation of Chapter 19 of Agenda 21; ILO Conventions 170 on Safety in the Use of Chemicals at Work and No 174 on the Prevention of Major Industrial Accidents; and the Basel, Rotterdam and Stockholm Conventions. SAICM was established with the aim of strengthening the international community's efforts to promoting the sound management of chemicals and hazardous wastes throughout their lifecycle in accordance with Agenda 21 and the Johannesburg Plan of Implementation.[91]

65.   The Secretariat's aims are highly relevant to UNEP's mandate and well-aligned with UNEP's policies and strategies as reflected in the Medium-Term Strategies 2010-2013 and 2014-2017. The second project outcome identified in the reconstructed Theory of Change (see Figure 1) is identical to the Expected Accomplishment #2 in the 2010-13 Mid-Term Strategy (thematic priority 'Harmful substances and hazardous waste').[92] All three Intermediate States identified in the Theory of Change are reflected in the Expected Accomplishments (Chemicals and Waste EA1 and EA2) and reflected in the Strategy for Chemicals and Waste [93]

66.   Whilst the Secretariat has succeeded in developing the infrastructure needed to realise the intermediate states – establishing a network of national focal points, convening meetings, uploading information on the SAICM website – the project's potential to contribute to the realisation of these states has been constrained by several factors – shortfall in agreed funding levels, no information clearinghouse and a limited range of stakeholders – discussed in detail in the following sections.

67.   The aims of the Secretariat are well aligned with the Bali Strategic Plan to strengthen capacities of governments. The QSP succeeded in delivering initial capacity-building activities in developing countries and countries with economies of transition. Further, the project was instrumental in strengthening cooperation and dialogue between UN bodies engaged in environmental capacity-building (IOMC members), civil society, including the private sector.[94] It did this through facilitating regional meetings, intersessional meetings and the Conference, coordinating the Emerging Policy Issues and the Open-Ended Working groups.

68.   In terms of gender balance, the Secretariat had more female than male staff, although only one of the three project coordinators was female. For the SAICM National Focal points 70% were male.[95] However, the nomination of focal points is determined at the country level with limited project influence.

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[91] Dubai Declaration on International Chemicals Management paragraph 2 and 11. In: SAICM (2006) Strategic Approach to International Chemicals Management: SAICM texts and resolutions of the International Conference on Chemicals Management. UNEP, WHO.
[92] UNEP MTS 2010-2013, p. 12
[93] UNEP MTS 2014-2017, p. 41
[94] UNEP/GC.23/6/Add.1, pp 2-3
[95] SAICM National Focal Points (as of April 2017)

69.   Regarding the SAICM Bureau, currently three of the five members are male (with a female president). Three of the four non-government representatives on the Bureau are male, and three of the five regional focal points are also male.[96] Again, the degree of influence that the Secretariat has on the gender ratios of these forums is limited.

70.   More significantly, gender issues were not explicitly integrated into the original call for QSP project proposals in 2006.[97] The template was revised in 2012 and a question was added: 'Did the project work with vulnerable groups and / or in vulnerable ecosystems'.[98] In the project monitoring forms and assessment forms no mention of gender was made.[99] Despite the gender blind nature of the QSP design, the impact evaluation of the QSP did identify a number of projects that were successful in addressing the specific vulnerabilities of women and children to chemical risk and exposure.[100]

71.   Respondents in the online survey were evenly split as to whether the project was effective in promoting the rights of indigenous and vulnerable people in its work. The pathway by which this was achieved was through the inclusion of NGOs as SAICM stakeholders, representing the interests of such groups.

72.   Engagement of the project with the UN Special Rapporteur on Human Rights was another pathway by which such rights could be realised. Another respondent reflected that the project had had very little engagement with UN human rights entities due to the lack of representation of UN rights bodies on the IOMC (the conduit for the project's UN system wide engagement).

73.   In addition to the regional meetings facilitated by the project – a forum for South-South dialogue between SAICM stakeholders from within the regions – a number of QSP funded projects were regional or South-South focused. Out of a total of 169 projects, 22 were regionally focused or involved multiple countries, accounting for 16% of the total allocated funds of US$32.9m.[101] However, regional or multi-country project proposals were subject to the same US$250,000 cap as the individual country proposals.[102]

74.   Of the 22 regionally focused projects nearly half of them were NGO projects. This is significant as NGO projects accounted for only around 11% of the total number of QSP projects and around 11% of the total funds disbursed.[103]

75.   In addition to the regional and South-South focused projects, it is noted that UN agencies were executing agencies in a large number of single country QSP funded projects. For example, UNITAR was the executing agency for 71 of the 169 projects[104] – creating the potential for significant exchange of knowledge between developing countries through this agency. The extent to which this potential was realised remains unclear. However, the influence of the Secretariat in facilitating and enabling this kind of knowledge exchange was limited.

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[96] http://www.saicm.org/About/Bureau/tabid/5458/language/en-US/Default.aspx

[97] SAICM/RM/Afr.1/INF/10

[98] SAICM/TF.14/INF/4

[99] M&E and project assessment forms can be accessed at:
http://www.saicm.org/QuickStartProgramme/GuidelinesnbspandnbspReporting/tabid/5482/language/en-US/Default.aspx

[100] See Quick Start Program Impact Evaluation Final Report, Box 2, p. 30 for these examples.

[101] This data has been drawn from SAICM/TF.17/5.rev1, Annex 1

[102] SAICM/TF.2/6*, paragraph 13

[103] SAICM/TF.17/5.rev1, Annex 1

[104] SAICM/TF.17/5.rev1, Annex 1

76.   The Secretariat was unable to realise its full potential for sharing the knowledge generated from the QSP project portfolio between developing countries because of the under-funding of the Secretariat in general, and the inability to establish an effective forum for such knowledge exchange i.e. the information clearinghouse, in particular (see 'factors affecting performance' below). Seven out of 12 respondents considered the Secretariat 'satisfactory' or 'moderately satisfactory' in facilitating south-south cooperation. However, as one respondent pointed out 'promoting South-South cooperation was not part of the QSP ToR'. The gaps in staffing of the QSP officer within the project also hindered its potential.

Relevance is rated 'Satisfactory'

B. Achievement of outputs

The QSP is efficiently managed

77.   Tables 1 to 3 present the milestones and deliverables delivered by the Secretariat. Based on these milestones the project efficiently managed the QSP with deliverables being achieved. However, an analysis of the data reveals some issues experienced in the management of the QSP.

78.   As of 3 August 2015, a total of US$33.95 million had been allocated to 152 projects of which 70 had been completed. Of the remaining 83 on-going projects, 64 were running, on average, two years late. Eighteen projects were three or more years late. Of the 64 projects running late, most them had completed their activities but had failed to submit final narrative reports, M&E reports and/ or financial reports.[105]

79.   A few factors may account for the delays in project completion. Firstly, the Secretariat was understaffed for most of the entire 10-year period. Regarding the QSP officer, significant gaps occurred in having a dedicated officer in post. The gaps were filled with short-term consultants.

80.   A second factor related to the structure of the QSP Trust Fund supervision and management. Members of the Implementation Committee played a dual role as both reviewers and appraisers of the project proposals as well as proponents of projects, acting as executing agencies.[106] Such a situation presented challenges for the Secretariat in addressing poor performance in project delivery. Of the 64 projects running late, 54 had Implementation Committee members as the executing agency.[107]

81.   A third factor, related to QSP Trust Fund management, accounting for the delays was the timing of disbursement of funds to the projects. For those projects that had an Implementing Committee member as executing agency, all funds were disbursed on commencement of the project, thereby giving no financial incentive to complete the project. Of the 64 delayed projects, in some instances the funds had been disbursed as early as 2009 (six years before 2015) with most funds being disbursed three to five years before 2015. For projects submitted by NGOs the disbursement of funds arrangements was different; a proportion of funds was disbursed at the beginning of the project with the balance disbursed on satisfactory completion. It is noted that only one of the 64 delayed projects was an NGO project. [108] A significant feature of the delayed projects was the delays in submission of half-

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[105] SAICM/EB.10/4 Annex 1
[106] One representative of an IOMC organization highlighted the perceived conflict of interest that could arise from this arrangement.
[107] SAICM/EB.10/4 Annex 1
[108] SAICM/EB.10/4 Annex 1

yearly progress reports and monitoring and evaluation reports at the end of the project (an internal process in the case of IOMC executing agency projects and an independent external process in the case of non-IOMC projects). In April 2009 a total of 33 half-yearly progress reports had been submitted to the Secretariat although 57 had been due, representing a submission rate of 58%. 29 monitoring and evaluation report were due with 12 being submitted (41%).[109] By 2011, the submissions rates had deteriorated with 56% (of 98 due) of half-yearly progress reports submitted, and 14% (of 71 due) of monitoring and evaluation reports submitted.[110] By November 2013, the submission rates had fallen further with 36% (of 150 due) of half-yearly progress reports submitted and 9% (of 143 due) of monitoring and evaluation reports submitted.[111]

82.   Delays in drawing up the legal agreements for projects further undermined the efficient management of the QSP. The Secretariat was faced with challenges in the early days of the QSP – Rounds 1 to 4 – as UNEP's internal contracting and financial systems were not designed to facilitate the QSP Trust Fund.[112] Further delays to finalising contractual arrangements and project start dates arose because of the tripartite structure of contractual arrangements requiring separate legal agreements between UNEP and the executing agencies and between executing agencies and the recipient governments.[113] One executing agency expressed its reservations on further engagement with QSP Trust Fund projects because of the impact that the excessive delays in finalising legal agreements were having on its relationships with recipient governments.[114] A challenge that faced the Secretariat was the six-month gap in appointment of the new finance officer to the Chemicals and Health Branch. The Branch was without a finance officer from January to July 2014.

83.   The delays in completion of legal arrangements by UNEP to allow approved QSP Trust Fund projects to proceed[115], together with UNEP's newly introduced centralized resource mobilization arrangements that undermined the implementation of UNEP's responsibilities under SAICM, prompted the Executive Board to write to the Executive Director of UNEP to raise the matter in 2008.[116] The administrative challenges persisted with the Implementation Committee expressing further concerns over the administrative delays in signing off contracts in 2012.[117]

84.   As one IOMC organization representative put it "Resources within the secretariat have been inadequate to support the management of the QSP for several years. While the basics get done, there is little 'value-added' work that the secretariat is able to do. The administration role from UN Environment has often been inadequate and not assisted the QSP and this has significantly hampered the success of the QSP management and interactions with stakeholders".

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[109] SAICM/TF.7/5 Annex 1

[110] SAICM/TF.11/5 Annex 1

[111] SAICM/TF.16/4 Annex 1

[112] SAICM/ICCM.2/5, paragraphs 10 & 11

[113] SAICM/TF.6/6 paragraph 13

[114] SAICM/TF.7/6 paragraph 10

[115] SAICM/EB.3/4 paragraph 23

[116] SAICM/EB.3/7/Rev.1 paragraph 26 and Annex B

[117] SAICM/TF.13/6 paragraph 21

The ICCM and subsidiary bodies receive adequate Secretariat support services

85.   The Secretariat has been successful in delivering this output, in particular with regard to the quality and usefulness of the Secretariat's support. All deliverables associated with the project's servicing of the ICCM and the Open-Ended Working Group (OEWG) were achieved (see Tables 1 to 3). However, regarding timeliness, one respondent asserted that ICCM3 and OEWG2 were both delayed because of capacity constraints within the Secretariat. As one former IOMC organisation representative put it:

> "Managing the process has always been a strongpoint of UNEP's secretariat, it has been hampered by funding issues with funds often less than required fully to deliver the mandate and funds arriving out of synch with the planned programme."

86.   This view, that the Secretariat has had insufficient resources to deliver on its mandate was widespread with the respondents. Indeed, all shortcomings identified by respondents in service delivery to ICCM and subsidiary bodies were attributed to the lack of resources – funding and staff – rather than the competence of Secretariat staff themselves. However, one former head of the Chemicals and Health Branch took a different view – asserting that for the period 2011-2013 senior positions were filled within the Secretariat, with junior posts amply covered by consultants. The shortcomings in delivery of this output were due to failings in leadership within the Secretariat rather than a shortfall in funding. On balance, however, the evidence collected for this evaluation indicates that the lack of resources and staff did hamper the effective operations of the Secretariat.

87.   A further function of the Secretariat was to ensure that outcomes and recommendations from the Conference were conveyed to relevant global and regional organisations and institutions. Whilst the Secretariat has been successful in uploading all relevant documents into the SAICM website, the project lacked a communications strategy which impacted on its ability not only to share recommendations from the Conference but also across all its mandated functions (discussed below).[118] However, the responsibility to communicate outcomes and recommendations was not solely for the Secretariat. The responsibility for communicating outcomes also lay with those organisations and representatives present at Conference – IOMC members, QSP implementing/ executing partners, national and regional focal points. The inactivity of some national focal points – as highlighted by one regional focal point – limited the effectiveness of such dissemination.

88.   During the period 2006-2009 the project facilitated global consultations to prepare for ICCM2 including a meeting of the Open-Ended Legal and Technical Working Group in Rome 21-24 October 2008.[119]

89.   Throughout the period the project has been successful in providing support services to the Bureau, facilitating annual face-to-face meetings in addition to six-monthly tele-conference meetings.[120]

90.   The Secretariat delivered successfully on its additional responsibilities mandated at ICCM2 to administer the 'emerging policy issues' theme – delivering on the functions described in the Annex to Resolution II/4: receiving nominations, screening for completeness

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[118] A comms strategy was recommended in the original project document, funds permitting, but was never acted upon.
[119] SAICM.ICCM.2/9*, Table 1
[120] SAICM/ICCM.3/21/Rev.1, p. 3; SAICM/ICCM.4/14, Table 1

and prioritising and assessing them for future consideration; report on progress and to OEWG and the Conference.[121]

91.   In preparation for ICCM3, the Secretariat organised on-line survey collecting data on progress in implementing the Strategic Approach (2009-2010). The findings were considered by the OEWG (facilitated by the Secretariat) and a baseline report was produced and shared at ICCM3. [122] As part of the dissemination of the outcomes and recommendations arising from ICCM3, the project held side events at the BRS Conference of the Parties (COP) in May 2015 and sent letters to SAICM stakeholders and put on SAICM website.[123]

92.   The project has also had success in delivering on servicing the dialogue amongst stakeholders (mandated at ICCM3) to produce 'Overall Orientation and Guidance' to SAICM stakeholders to support efforts towards the 2020 goal.[124] As one IOMC organization representative put it:

> "The staff have done particularly well in responding to the additional requests and increases to their servicing mandate that has arisen over the course of the 10-year period"

Regional networks receive adequate support for implementation of SAICM through the facilitation of regional meetings, and through strengthening the scientific base of regional networks

93.   All milestones related to the first part of this output (facilitation of regional meetings) were achieved over the 10-year period. However, for the second part – strengthening the scientific based of regional networks – this is a work in progress (see Tables 1 to 3). Strengthening the scientific base has been a challenge for the Secretariat and, given the understaffing and under-resourcing, it is unrealistic to expect much progress to have been made in this area. In terms of timeliness, quality and usefulness the Secretariat fell short on strengthening the scientific base.

94.   Although information that could contribute to strengthening the scientific base of regional networks was available on the internet, seven years after the establishment of SAICM, the Global Chemicals Outlook Report flagged four areas of concern in regard to scientific information: lack of information on thousands of lower production substances; large information gaps at national and international level on how and where chemicals are transported and used; overuse of confidential business protection, little product labelling and limited disclosure of chemical ingredients; even where information exists on the internet, for those without internet access, or do not understand the majority languages, there is no access to such information.[125] Whilst the Secretariat was not responsible for addressing these issues, the issues do highlight the importance of effective and comprehensive information sharing for the sound management of chemicals.

95.   The lack of establishment of a fully functioning, regularly updated information clearinghouse limited the potential for the Secretariat to support the strengthening of the scientific base of regional networks. Specifically, little progress was made in developing a more systematic information clearing house due to resource constraints within the secretariat

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[121] SAICM/ICCM.2/15[SEP], p 34
[122] SAICM/ICCM.3/21/Rev.1, paragraph 8, page 3.
[123] SAICM/ICCM.4/14
[124] SAICM/ICCM.3/24 paragraph 54, p.9
[125] Global Chemicals Outlook (2013), 183, cited in SAICM/OEWG.2/INF/2, paragraph 39(d)

and the lack of a design to identify, acquire, manage and distribute priority information from the effective implementation of SAICM.[126]

Adequate policy discussions facilitated with support from the Secretariat to regional stakeholder and sectoral groupings

96.   This output represented a challenge for the Secretariat. Most stakeholders considered that the the success of such policy discussions were, in large part, dependent on other stakeholders rather than the Secretariat. However, one former head of the Chemicals and Health Branch was of the view that the leadership of the Secretariat had a role to play in guiding and influencing policy discussions, and as such, did have the potential to contribute to ensuring 'adequate' discussions were held. The Secretariat was only able to fulfil this strategic role with the change in leadership that took place in 2013.

97.   One major challenge is the lack of representation of different sectors in SAICM. In 2010, 138 of the 166 (83%) SAICM National Focal points were located within ministries of environment, within health 10%, Foreign Affairs 5%, Science 2%, Industry 2% and labour 1%.[127]

98.   Chemicals manufacturers have dominated industry representation within SAICM. Manufacturers and retailers along the value chain have been under-represented in the SAICM process, limiting the potential to achieve the 2020 goal.[128]

99.   The Emerging Policy Issues represented a forum whereby SAICM stakeholder participation could broaden out. The Over Arching Policy Strategy (OPS) paragraph 24 (j) defined a function of the Conference to focus attention and call for appropriate action on emerging policy issues as they arose and to forge consensus on priorities for cooperative action.

100.   In preparation for ICCM the Secretariat facilitated the process of defining the Emerging Policy Issues (EPI) to be put on the agenda at ICCM2. Over the period Nov 2008 to Mar 2009 the Secretariat convened teleconferences with the informal working group or 'Friends of the Secretariat' to develop a consensual proposal on EPIs for consideration at ICCM2.[129] The Secretariat facilitated process resulted in the following EPIs being adopted at Conference:[130]

- Lead in paint (ICCM2)
- Chemicals in products (ICCM2)
- Hazardous substances within the lifecycle of electrical and electronic products (ICCM2)
- Nanotechnologies and manufactured nanomaterials (ICCM2)
- Endocrine disrupting chemicals (ICCM3)
- Environmentally persistent pharmaceutical pollutants (ICCM4)

Furthermore actions have been agreed to on :
- Managing perfluorinated chemicals and the transitions to safer alternatives (ICCM2)
- Highly hazardous pesticides (ICCM4)

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[126] SACIM/OEWG.2/INF/2, paragraph 31

[127] SAICM/Health.1/INF/4 Table on p. 2

[128] SACIM/OEWG.2/INF/2, paragraph 68

[129] http://old.saicm.org/index.php?option=com_content&view=article&id=226:friends-of-the-secretariat&catid=83:secretariat

[130] Resolution II/4, Resolution II/5,

101.   The Secretariat has continued to effectively support facilitation of the on-going policy discussions within each EPI together with the lead agency assigned to each.[131]

Achievement of outputs is rated 'Satisfactory'

C. Effectiveness: Attainment of project objectives and results

Achievement of outcomes

Capacity building gained through the QSP is applied in implementation activities

102.   Respondents of the on-line survey were unanimous in their view that the QSP projects were effective in building capacity and supported implementation activities that contributed to the 2020 goal. The projects were seen to contribute to the creation of new institutional structures – such as national committees and inter-governmental departments and groups – at the national level in 108 countries, designed to implement the SAICM agenda.

103.   QSP projects were designed specifically to: generate data and information e.g. on national profiles and inventories, current regulations; provide training e.g. on safer use of pesticides, health and safety at work, monitoring trade in banned chemicals; sponsor national workshops e.g. aimed at creating networks of professionals, establishing coordinating working groups, establishing Globally Harmonised System (GHS) of chemicals classification and labelling at national level; promote outreach and communications e.g. to develop educational and information materials. A range of impacts of the QSP projects have been identified including: greater collaboration between government and civil society in chemicals management; creation of effective systems of data collection; strengthened pesticides management; identification of risk reduction measures; greater capacity for chemical waste management and GHS implementation.[132]

104.   Respondents were also of the view that the QSP achieved this outcome for different SAICM stakeholders: within Governments, QSP projects have helped to provide a continuum of attention on chemicals and waste in conjunction with other chemicals and waste MEA work; within NGOs at national level, there has been growth in capacity and engagement in chemicals management. 11% of funds for QSP projects were allocated to civil society led projects. Training of trainer QSP projects enabled local NGOs to raise awareness of appropriate use of pesticides for farmers.[133]

105.   For SAICM stakeholders the QSP filled an important niche and met a large unmet demand for capacity-building within developing countries. Its success was also in part due to funds available – up to US$250,000 – streamlined procedures and no requirements for co-financing, although many partners did provide some level of co-financing.

106.   A comprehensive impact evaluation conducted in 2015 supported the observations and reflections of respondents above.[134] Raised awareness and improved stakeholder co-

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[131] See SAICM/ICCM.3/13 paragraph 3, and SAICM/ICCM.4/9 paragraphs 5 & 6 for the preparatory documents for the respective conferences.
[132] SAICM/ICCM.4/INF/5, p.20
[133] SAICM/ICCM.4/INF/5, paragraph 108
[134] SAICM/ICCM.4/INF/5

operation were identified as two significant outcomes of the QSP. Almost all projects reported improved awareness of the hazards of chemicals and the importance of chemicals management among those responsible for chemicals management at all levels including decision-makers in government environment and finance ministries. Further, non-government representatives reported many examples of improvements in cooperation with government, based on enhanced trust between government, civil society and the private sector.[135]

Coherent international policy and technical expertise is applied by States and other stakeholders

107.   Whilst most respondents considered the Secretariat's activities had had a high degree of influence on achieving this outcome, 3 out of 12 reported a moderately low degree of influence. There are several examples of QSP projects developing and strengthening countries' legislation.[136]

108.   One member of the Secretariat observed that in regard to emerging policy issues, there has been a synthesis of scientific information and best practice developed and distributed through websites and regional meetings – an important output of the Secretariat's work. However, as pointed out by another member of the Secretariat, the website is a repository of information, through it is not updated regularly; consequently, more work needs to be done around knowledge sharing.

109.   As another respondent put it, the Secretariat's work is focused on the development of international guidance documents or communicating with countries prior to regional or global SAICM meetings mainly to arrange their travel and accommodation. Most importantly, the role of SAICM Secretariat is not apparent at the country level. Nevertheless, the Secretariat did play a significant role in bringing the emerging policy issues such as 'lead in paint' onto the broader political agenda.

Achievement of outcomes is rated 'Moderately Satisfactory'

Likelihood of impact

Assessment of internal logic

110.   The internal logic of the project documents (original and two revisions) was high. Tables 1 to 3 summarises the original outputs, outcomes and impacts anticipated from the Secretariat. The internal logic has been strengthened through the re-classification of outputs to outcomes, outcomes and impacts to intermediate states (see Table 9).

111.   The challenge in realising outcomes, intermediate states and impacts has not arisen because of faulty internal logic but rather because of the challenges of drivers and assumptions – both those identified and those not. These factors are discussed below.

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Verification of drivers and assumptions

112.   Assumption 1: donor countries maintain funding (see Figure 1): 10 out of 12 respondents on the online survey thought that the Secretariat had been successful in adapting to the funding constraints that have been a feature of the project context over the 10 year

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[135] SAICM/ICCM.4/INF/5, paragraph 22 & 24, p 6
[136] SAICM/ICCM.4/INF/5, Box 3, page 37

period. The consensus was that the Secretariat performed the best it could, given the funding constraints.

113. Fundraising has turned out to be a major part of the role that the Secretariat played. Concerns were expressed in the early days of the project about the uncertainty over funds to the QSP such that the Executive Board of the QSP, at its 3rd meeting, requested the Executive Director of UNEP to initiate a concerted fundraising drive.[137]

114. Despite continued funding shortfalls for the Secretariat, the Executive Board at its 8th meeting approved the removal of the reference in the Business Plan to the P-3 role for fundraising activities, deciding that this should be the responsibility of the SAICM Secretariat Coordinator and the Head of the Chemicals and Health Branch.[138]

115. UNEP adapted to the funding shortfall through its (unplanned) contribution in 2013-2015 from the Environment Fund to enable the OEWG2 process to continue (see paragraph 36 above).

116. Further shortfalls in the Secretariat budget arose from the reduction in expected funding for the administration of the QSP. The original plan envisaged that the Secretariat would receive 13% of the QSP budget for administration of the fund. However, at the 2nd Executive Board meeting it was decided to reduce this to 5%, and to reallocate the remaining 8% to IOMC organisations acting as executive agencies for QSP projects.[139]

117. The shortfall in donor funding for QSP projects resulted in 13 projects that had been reviewed and approved not being awarded funds. These projects amounted to a total of US\$3.10 million.[140] It was reported by the Secretariat that these projects have since been funded.

118. Undoubtedly the failure of donors to provide agreed levels of funding to the Secretariat and its activities undermined the Secretariat's ability to deliver on its mandate and realise the outcomes to their full potential. This was put rather aptly by one respondent:

> "The Secretariat has, of necessity, had to restrict actions in some years to 'core functions' so that additional and desirable actions have been postponed. It has been able to maintain that minimum functionality despite considerable difficulties"

119. Driver 1: Widespread demand for SAICM guidelines and information by States and stakeholders: Whilst most thought the Secretariat had been effective in promoting widespread demand for SAICM guidelines and information by States and other stakeholders, 3 of 12 respondents thought the Secretariat had been ineffective in its promotion.

120. Given the under-capacity of the Secretariat to deliver more than the very basic core functions of servicing the Conference and subsidiary bodies as well as managing the QSP to the best of its ability given the constraints previously discussed, influencing this driver has been a challenge for the Secretariat.

121. The failure to establish an effective information clearing house has undermined the achievement of the Intermediate State I. As has been discussed above, many documents have been produced during the 10-year period and these have been deposited on the SAICM website. However, the site is hard to access and limited to the majority languages.

122. The lack of a communications strategy has hampered the uptake of guidelines and information. The original project document in 2006 recommended a communications strategy

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[137] SAICM/EB.3/7/Rev.1
[138] SAICM/EB.8/8, paragraph 44
[139] SAICM/EB.2/8, paragraph 22
[140] SAICM/TF.18/5, pp 28-31

to be developed but this has not yet been acted upon. [141] Uploading guidelines and information onto the website is necessary but not sufficient condition for the widespread demand by stakeholders.

123.   One respondent pointed to the large volume of SAICM-related guidance, citing the IOMC toolkit project as an example of efforts to rationalise this information. However, this respondent was of the view that, despite these efforts, demand for materials is closely linked to individual, externally-funded, projects that generate little long-term change in chemicals management behaviour at country level.

124.   More structural factors influenced the Secretariat's ability to influence this driver. One respondent was of the view that ineffective national focal points have constrained dissemination of available information. Another pointed to the low political priority that SAICM had in most countries and that SAICM was not a legally binding agreement. The low commitment to the topic of chemicals management in the UN system, as reported in a recent publication by the Environment Management Group, [142] was also highlighted as a factor limiting the widespread demand for SAICM guidelines and information.

125.   Driver 2: countries take forward processes initiated by the QSP: 5 of 12 respondents didn't know if the Secretariat had supported this. Of the other six, these were evenly spread across highly effective to highly ineffective.

126.   One factor that limited countries from taking forward processes was the reliance on using consultants to deliver the projects because of capacity constraints within the recipient government departments. As a result, there were several instances of no transfer of knowledge and skills to local counterparts to take forward post-project processes. [143]

127.   One respondent was of the view that neither the Secretariat nor the IOMC organisations had 'after-care' post QSP project plans. Another observed that project implementers did not always develop effective evaluations of projects and follow-up activities. However, the QSP Impact Evaluation did find that in many cases QSP projects succeeded in 'mainstreaming chemicals management' into national legislation, policies and institutions. Nevertheless, the impact evaluation also found that, for many governments, chemicals were not a priority issue and there was little evidence of the internalisation and delivery of chemicals management into national plans and budgets – chemical management initiatives depended on donor funding sources. [144]

128.   Consequently, for those countries that did succeed in initiating follow up activities based on action plans and recommendations of QSP projects, this was in large part, due to the availability of external funds. [145]

129.   Driver 3: chemicals mainstreamed in international fora: 11 out of 12 respondents thought the Secretariat had been effective/ highly effective in contributing to this. As two respondents put it: "SAICM is now recognized as a vehicle for sound chemicals management - case example United Nations Environment Assembly (UNEA) Resolutions and strong appeal of sound chemicals management in Sustainable Development Goals (SDGs)".

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[141] Original project document, p.10

[142] UN Environment Management Group (2015) United Nations and sound chemicals management: Coordinating delivery for Member States and sustainable development, p. 6
https://sustainabledevelopment.un.org/content/documents/2334chemical_report.pdf

[143] SAICM/ICCM.4/INF/5, paragraph 35 p 7

[144] SAICM/ICCM.4/INF/5, paragraph 47, p 8 & paragraph 55, p 9

[145] SAICM/ICCM.4/INF/5 Table 3, p 32 provides examples of such projects

In most international fora it is government and NGO participants in SAICM that have led the inclusion of SAICM and chemicals and waste issues into wider working - e.g. SDGs and targets.

130. Assumption 4: global political economy: Interest in chemicals management was high on the agenda of donor countries for the period 2010-2015. This is, in part, reflected in Resolution I/5 of the UN Environment Assembly on Chemicals and Waste that re-confirmed the international community's commitment to SAICM, as well as establishing the Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.[146] Significantly, the goals of SAICM are embedded in the SDGs, in particular Target 12.4 that has taken the SAICM 2020 goal verbatim.

131. Driver 4: all stakeholders are at the table: Whilst most (9 of 12) thought the Secretariat had been effective in ensuring all stakeholders were at the table, three thought not.

132. Through its multi-stakeholder voluntary international character, SAICM remained the only international forum on chemicals management where all stakeholders have the right to engage in dialogue equally with other stakeholders. However, the national focal points are dominated by representatives from the Ministry of Environment and industry representatives are dominated by the chemicals industry. As one respondent put it:

The question [how effective has the Secretariat been in ensuring all stakeholders with an interest in chemicals participate] presumes an almost impossible task as most sections of industry and society should have an interest in the management of chemicals

Progress on intermediate states and early sign of impact: Intermediate State I

Institutional capacity and use of scientific and technical knowledge (see Figure 1)

133. One respondent on the on-line survey reflected that considerable capacity has been built over the past 15 years with many national delegations now able to engage effectively on chemicals issues at the SAICM-sponsored international events – Conference, regional meetings, OEWG. However, it was less clear that those national delegations have been able to translate this increased capacity in acquired knowledge to shift national agendas towards the objectives and requirements of the MEAs and SAICM. In part, this was attributed to the reliance on only one national focal poinexpected to take forward the SAICM agenda.

134. Another interviewee raised concerns about the national focal point model that has resulted in the environment sector dominating the SAICM government stakeholders. Given that the focal points were the conduit for technical policy expertise, the provision of such expertise to a broad range of stakeholders was limited.

135. The Conference expressed concern about the withdrawal of WHO sponsored Secretariat staff member, as the Secretariat was without health expertise when engaging with and coordinating stakeholders on emerging policy issues such as of lead in paint and combating lead poisoning.[147]

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[146] UNEA (2014) Resolutions and decisions adopted by the United Nations Environment Assembly of the United Nations Environment Programme at its first session on 27 June 2014
[147] SAICM/ICCM.3/24, paragraph 186

136.   The QSP Impact Evaluation identified a range of successful examples of governments mainstreaming chemicals management into national legislation, policies and institutions as a result of QSP funded projects.[148] However, not all countries were able to do this due to a range of factors including the lack of priority of chemicals management in national agendas, a lack of technical capacity (or the loss of capacity that was developed, through changes in personnel and decision-makers), as well as the lack of capacity for inter-departmental collaboration and coordination required for effective chemicals management.[149]

Progress on intermediate states and early sign of impact: Intermediate State II

Increasingly implementing sound management of chemicals (see Figure 1)

137.   The Secretariat produced a comprehensive analysis of progress made between 2011 and 2013, in implementing SAICM and the 2020 goal for the Open-Ended Working Group 2 meeting in November 2014. This analysis found that the progress that had been made was disproportionately observed in Development Assistance Committee (DAC) countries, with the number of reported SAICM-related activities in least developed countries actually falling, with the inference that the gap between higher income and least developed countries was widening.[150]

138.   In reference to the schematic of the progress made to mainstreaming chemicals management presented in the QSP impact evaluation[151], awareness and commitment is widespread among least developed country governments and, through the QSP, many chemicals management projects have been implemented. However, these activities have tended to stop with the completion of the QSP projects, as additional external funding has been limited. To a lesser extent chemical risks and chemical safety were included in national legislation and policies, and to an even more limited extent these policies and legislation were translated into departmental work plans and budgets. What is yet to be achieved is the integration of chemicals management into the functions of least developed country government with ministries, departments and officers assigned responsibility for delivering and reporting on work programmes to reduce chemical risks. Further, significant and increasing levels of finance allocated from central government for chemicals management was missing.

Progress on intermediate states and early sign of impact: Impact

Impacts of harmful substances and hazardous waste are minimised (see Figure 1)

139.   The view of respondents was that initial progress had been made on achieving impact (as well as the intermediate states). This progress was attributed to the QSP projects. However, the report on the analysis of progress made between 2011 and 2013, in implementing SAICM concluded that the rate of progress was insufficient to meet the 2020 goal.[152] As one former head of the Chemicals and Health Branch put it: " 5 trillion dollar industry, 50,000 chemicals on the market and many not fully assessed, and many countries

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[148] SAICM/ICCM.4/INF/5, Box 3, p 37

[149] SAICM/ICCM.4/INF/5, paragraph 127 p 42

[150] SAICM.OEWG.2/INF/4

[151] SAICM/ICCM.4/INF/5, Figure 8 p 44

[152] SAICM.OEWG.2/INF/4

lacking basic capacity – here we have 3 or 4 committed colleagues [in the Secretariat] – there are surely limits of what can they do."

Assessment of likelihood of impact

Element	Rating
Internal logic	High (5)
Effectiveness	Moderately effective (4)
Drivers and assumptions	Moderately weak (3)
Intermediate states and impact	Moderately likely (4)
Likelihood of impact	Moderately unlikely (3)

Likelihood of impact is rated 'Moderately Unlikely'

Achievement of the project objective, overall purpose, goals and component outcomes

140.   The objective stated in the original project document focused on maximising the number of countries and stakeholders participating in the implementation of SAICM by providing secretariat services. Over the 10-year period (2006-2015) the Secretariat has established and maintained a network of focal points. The number of focal points has steadily increased over the period, from 164 government focal points, 64 NGO focal points and 13 IGO focal points in 2009; 172 government, 76 NGO and 12 IGO focal points in 2012; to 179 government, 85 NGO and 15 IGO focal points in 2015.[153]

141.   The Secretariat successfully organised and facilitated the Conference every three years – ICCM2, ICCM3 and ICCM4. 146 government representatives attended ICCM2; 117 attended ICCM3; 132 government representatives attended at ICCM4.[154]

142.   Table 1 shows the success in delivering on the outputs for 2006-2009, and Table 2 for 2010-2012 and Table 3 for 2013-2015. The Secretariat has effectively facilitated regional meetings, serviced the QSP Executive Board and Trust Fund Implementing Committee. Developing and expanding a broad-based stakeholder network is a work in progress, so too is promoting the widespread demand for SAICM guidelines and information.

143.   Challenges the Secretariat faced related to the management of QSP in particular, under-capacity to service effectively throughout the ten-year period and also the lack of forthcoming agreed funds for capacity to facilitate the information clearing house and the transfer of INFOCAP to the Secretariat. This dropped off the project document revisions in 2010 and 2013.

144.   The 2010-2013 revised project document extended the objective to one focused on the quality of the participation of stakeholders such that governments and non-government stakeholders are provided with coherent international policy and technical advice.[155] The indicators for this objective were the regular progress reports on implementation. The websites for ICCM2, ICCM3 and ICCM4 provide a wide array of documentation on progress on

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[153] SAICM/ICCM.2/9 p3; SAICM/ICCM.3/21/Rev.1 p. 3; SAICM/ICCM.4/14 p. 5
[154] SAICM/ICCM.2/15 p. 5; SAICM/ICCM.3/24, p. 6; SAICM/ICCM.4/15 p. 9
[155] Mid-Term Strategy (2010-2013) Chemicals and waste EA2

implementation.[156] The indicators and means of verification of the three outputs in the 2010-2013 document have been reviewed above in Section B – Achievement of outputs.

145.   In the second revision project document in 2015, the expected Accomplishment/ outcome of the first project revision was replaced by EA1 of the chemicals and waste sub-programme in the Medium-term Strategy (2014-2017): countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the MEAs. According to the second project revision, the targets of the indicators for this outcome were all achieved[157] (as too were all the targets for indicators for project outputs)[158]. However, the findings of this evaluation suggest that whilst initial progress has been made in achieving this outcome, the evidence does not support the conclusion that the outcome has been achieved at this stage.

Achievement of the project objective, overall purpose, goals and component outcomes is rated 'Moderately satisfactory'

D. Sustainability and replication

Socio-political sustainability

146.   The Secretariat enjoyed a great degree of encouragement and goodwill from SAICM stakeholders. There is widespread recognition that without a strong Secretariat, and given the voluntary nature of SAICM, the funding that flowed to SAICM would have ceased.

147.   There was also recognition the Secretariat had had a key function in bringing the parties together to determine direction but had no direct role in implementation. A functioning Secretariat with a clear and financed mandate was necessary as the focal point for SAICM interests. The achievement of the 2020 goal was mainly a task for the countries and not so much for the Secretariat.

148.   Despite the goodwill and the widespread vocal support for the Secretariat and SAICM this has not yet translated into socio-political sustainability. As highlighted above in paragraph 138, developing country governments are yet to mainstream SAICM into departmental work plans and budgets, or allocate finance from central government budgets for chemicals management. Apart from a few notable exceptions, there was not much evidence that QSP projects resulted in the catalytic impact originally envisaged.

149.   The continuation of funding for SAICM depends on the political commitment of donors. However, the experience of the 10-year period 2006-2015 casts doubt on the sustainability of these funding sources. Funds for the Secretariat and its activities were chronically underfunded over the 10- year period with 80% of funds coming from six donors (see paragraph 35 above). There is no guarantee that these donors will continue to fund to the extent that they have over the coming decade. Similarly, for the QSP, 65% of funds were provided by three of the six donors. It is notable that many highly advanced industrial nations chose not to contribute, or contributed relatively little, cash to the Secretariat or the QSP (see

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[156] http://old.saicm.org/index.php?option=com_content&view=article&id=85&Itemid=520;
http://old.saicm.org/index.php?option=com_content&view=article&id=89&Itemid=527;
http://old.saicm.org/index.php?option=com_content&view=article&id=525&Itemid=700
[157] See: UNEP Project Revision Document (2015), p. 3
[158] See section B: Achievement of Outputs (above)

Table 7 above). As one respondent put it "the struggle to get commitments from donors reflects the lack of support and therefore ultimately unsustainable nature of SAICM."

150.   The capacity of the organisations that comprised the IOMC to deliver on SAICM undermined the progress towards the 2020 goal. As asserted by one respondent "With SAICM stakeholders there is always a cooperative atmosphere, but tangible examples of collaboration are few". Although IOMC organisations had signed up to chair and lead on the EPIs, for some it was difficult to deliver on this without a corresponding flow of funds to support their efforts. .

151.   The withdrawal of the WHO-funded post within the Secretariat certainly undermined the ability of the Secretariat to deliver on its mandate. However, this did not necessarily undermine progress towards the 2020 goal. As with the IOMC organisations and the donor countries, initiatives designed to further the 2020 goal were implemented outside of SAICM.

152.   Nevertheless, the withdrawal of WHO sponsored post within the Secretariat raises questions about the degree of ownership this key stakeholder has in the implementation arrangements of SAICM as specified in paragraph 28 of the Overarching Policy Strategy.

Socio-political sustainability is rated 'Moderately Likely'

Financial resources

153.   Two-thirds of respondents (8 out of 12) were of the view that continued financial support for the Secretariat was essential for the achievement of the 2020 goal. For one respondent SAICM remained the only global forum where problems of sound chemicals management could be comprehensively identified and addressed. However, another did not believe, given the short time horizon to 2020, the Secretariat would have a significant role in the level of achievement, although reporting against the level of achievement would not occur without the Secretariat.

154.   It is not clear that financial resources will be available to use the capacities built by the QSP projects. The Special Programme that aims to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata convention and the Strategic Approach to International Chemicals Management (SAICM) is now operational.[159]

155.   However, it is not clear whether the criteria for selection of projects include the extent to which proposals built on and complement the QSP projects.

156.   The GEF has also approved a PIF for a US$ 9 million project "Global best practices on emerging chemical policy issues of concern under the Strategic Approach to International Chemicals Management (SAICM)" that aims to accelerate and measure adoption of national activities to control Emerging Policy Issues to achieve the 2020 implementation of SAICM goal and support early planning for chemical management in the 2030 Agenda for Sustainable Development. Furthermore, the programme addresses a shortcoming of the Secretariat – the creation of an effective knowledge management system.[160]

Financial sustainability is rated 'Moderately Unlikely'

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[159] http://www.unep.org/chemicalsandwaste/node/534
[160] 9771_SAICM_PIF_18.04.2017_clean_0.docx available at https://www.thegef.org/project/global-best-practices-emerging-chemical-policy-issues-concern-under-strategic-approach

Institutional framework

157.　Figure 2 provides a visual representation of the institutional framework designed to enable the Secretariat to deliver on the project outcomes (see Figure 1). The Secretariat is located within the Chemicals and Health Branch of the DTIE, UNEP and hence governed by the institutional arrangements of the Branch. Respondents highlighted the strong cooperation between the Secretariat and the Branch, as evidenced by the work on lead in paint and chemicals in products EPIs.

Figure 2: Institutional Framework of SAICM (2006-2015)

International Conference on Chemicals Management - ICCM
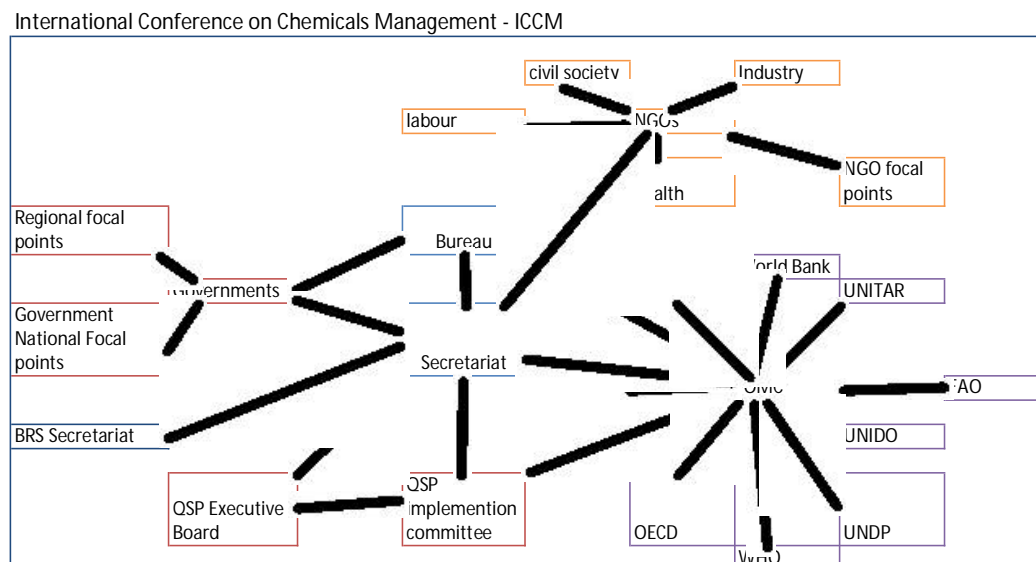
158.　However, respondents did flag the weak administrative support received from the Branch, especially in relation to the management of the QSP funds. The Branch finance department did not have the capacity to deal with such a significant inflow of funds. The delays to the disbursement of QSP funds were compounded by changes to the UNEP financial systems (see paragraph 83 above).

159.　The strength of the arrangements between the Secretariat and the Branch (and UNEP more broadly) were the informal relationships. The Branch regional offices were willing to support the Secretariat when called upon, but there was no formal mechanism for more structured consistent collaboration. Similarly, the BRS Secretariat stepped in from time to time when there was a need for surge capacity, e.g. in preparation for the Conference. UNEP itself also stepped in to cover shortfalls in committed funding (see paragraph 36 above). As one Secretariat member put it "Ultimately we are muddling through and doing a fine job as we can and is decent".

160.　For another respondent, the number of reporting lines required of the Secretariat undermined its effectiveness. The Secretariat project coordinator reported to the head of the Branch, who in turn reported to the head of the DTIE who in turn reported to the Executive Director of UNEP. In contrast with the BRS Secretariat reporting structure, with the Executive Secretary reporting directly to the Executive Director of UNEP.

161.　The Overarching Policy Strategy (OPS) envisaged a central role for UN agencies in delivering on the Secretariat's outcomes. The experience of this institutional relationship was

mixed. The WHO decision to withdraw its staff member from the Secretariat represented a significant blow to the ability of the Secretariat to deliver on its outcomes (see paragraphs 135 and 152). The IOMC organisations were also envisaged as a key component of the institutional framework designed to support the Secretariat in its work. However, these organisations struggled to provide the support expected (see paragraph 151). QSP projects with IOMC organisations as executing agencies were plagued with severe delays in completion (see paragraph 80). Further, IOMC organisations were hampered by funding constraints (see paragraph 150). The anticipated synergies between the SAICM Secretariat and the BRS Secretariat were not fully realised. Arrangements between the two secretariats were informal at best, with each helping the other for surge activities such as conferences.

162.   The Secretariat was dependent on donor countries to provide the funds required for staff positions and Secretariat activities. There were persistent shortfalls in amounts forthcoming over the period 2006-2015 (see Table 5). These shortfalls impacted on the Secretariat's capacity to deliver on its outcomes.

163.   The government national focal points were central to the implementation of SAICM. Significant challenges in taking SAICM forward at the national/ provincial and local levels have been attributed to the lack of capacity and resources of national focal points to facilitate this.

Sustainability of institutional frameworks is rated 'Moderately Unlikely'

Environmental sustainability
164.   Environmental sustainability is not applicable for this project.[161]

Catalytic role, replications and up-scaling
165.   Central to the QSP was the catalytic impact that projects would have on building capacity and mainstreaming SAICM activities within low-income countries. Whilst the experience of this was mixed there were examples of projects being successful in this regard (see paragraph 136 above).

166.   The creation of the multi-million-dollar Special Programme is evidence of replication and up-scaling resulting from the first ten years of SAICM.[162] The Secretariat is an implementing partner in the Special Programme and UNEP Chemicals and Health staff were centrally involved in developing the proposal submitted to GEF.

The overall rating for sustainability is 'Moderately Unlikely'

E. Efficiency

167.   The Secretariat operated throughout the ten-year period with a shortfall in allocated budget, reflected in the understaffing of the Secretariat, delays to QSP project implementation and cancelation of approved QSP project proposals. Internal administrative processes within the Chemicals and Health Branch and UNEP more broadly, compounded the delays in QSP implementation and recruitment of staff to the Secretariat.

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[161] UNEP Evaluation Office, Nairobi
[162] See: https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/special-programme/goal-special-programme

168. Despite these constraints staff members within the Secretariat were successful in delivering on most of the mandated functions laid out in Paragraph 28 of the OPS as well as the additional functions allocated to them at ICCM2 and ICCM3.

169. The Secretariat was able to call on support from other staff members of the Chemicals and Health Branch as well as staff of the BRS Secretariat to provide additional capacity when required, e.g. when convening conferences. This support was reciprocated by the Secretariat whose staff was called on to support the BRS COPs.

170. Some have questioned the cost-effectiveness of the SAICM model of Conferences, inter-sessional meetings, OEWG and regional meetings. As one respondent pointed out: "Regional meetings are an expensive way of sharing information".

171. The expansion of SAICM related conventions and international agreements – SAICM, BRS and most recently Minamata – have resulted in multiple secretariats and multiple international conferences and events with many government and non-government representatives attending all events. Whilst the ICCM has the ability to bring emerging issues to the table that are not on the radar of others, the number of international meetings generated by these agreements has the potential for duplication of effort and resources.

172. Specific budget allocation for the promotion of human rights and gender equity was largely absent.

Efficiency is rated 'Moderately Satisfactory'

F. Factors affecting performance

Preparation and readiness

173. The three SAICM texts – the Dubai Declaration, the Overarching Policy Strategy and the Global Plan of Action – should be viewed as part of the preparation for the creation of the Secretariat. These documents provided a comprehensive rationale for SAICM and were the product of multi-stakeholder deliberations involving government, civil society and private sector representatives.

174. The three texts provided a detailed situational analysis of the challenges to environment and health from the unsustainable production and use of chemicals and provided a comprehensive plan of action to address these challenges.

175. The functions envisaged of the Secretariat to support SAICM were listed in paragraph 28 of the Overarching Policy Declaration and presented in the original project document. Paragraph 29 clearly spelt out the wishes of the stakeholders that were party to the OPS regarding the creation of the Secretariat – UNEP and WHO would take the lead roles in the Secretariat, it would be co-located within the Chemicals and Health Branch in Geneva, with the Secretariat working in collaboration with IOMC. The Secretariat was designed to explicitly take advantage of existing synergies and to reflect multi-sectoral nature of the Strategic Approach.[163]

176. The Secretariat faced some challenges at the onset. Contractual and administrative systems were not in place for the QSP that led to delays in the early rounds (see paragraph 82 above). These challenges persisted throughout the life of the QSP as new UNEP reporting and financial systems were introduced over the period.

177. The understaffing of the Secretariat, referred to in this report, was a challenge from the outset. This undermined the preparation and readiness of UNEP to deliver on the

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[163] SAICM Overarching Policy Strategy, paragraph 29, pp. 27-28

Secretariat's mandate. However, it is likely that the ambition set out in the original project documents was feasible and realistic. Indeed, despite the shortfall in staffing originally envisaged, and the administrative and financial delays, the Secretariat delivered on most of its mandate.

Preparation and readiness is rated 'Moderately satisfactory'

Project implementation and management

178.   The project implementation mechanisms outlined in paragraphs 28 and 29 of the OPS and the original project document were followed. These mechanisms allowed for delivering of most specified outputs. The challenges facing the Secretariat in delivery related to a shortfall in planned staff numbers, planned budget and the increase in functions mandated to the Secretariat at ICCM2 and ICCM3 (see paragraph 43 above). These factors resulted in some outputs not being delivered (see paragraph 93 above).

179.   The Secretariat was responsible for convening and servicing the ICCM, the SAICM Bureau, the QSP Executive Board, the QSP Implementing Committee, the Open-Ended Working Group and regional meetings. The Secretariat also was mandated to work in collaboration with the IOMC.

180.   The Secretariat faced challenges in project implementation with the QSP Implementing Committee (see paragraphs 80 and 81 above).

181.   Concerns were continually raised about the withdrawal of the WHO sponsored position within the Secretariat, with WHO reminded of the commitment made at ICCM1. However, WHO continued to promote SAICM through its own networks and initiatives.

Project implementation and management is rated 'Satisfactory'

Stakeholder participation, cooperation and partnerships

182.   The stakeholders who participated in the initial meeting in Dubai in 2006 (ICCM1) have remained part of the SAICM stakeholder group. Governments of lower income countries dominate the stakeholders, with each country having a national focal point. The majority of these national focal points have been representatives from the ministries of environment. These focal points played a central role in the success (or otherwise) of SAICM – it is through these focal points that SAICM was implemented at the country level.

183.   Each of the five regions has a regional focal point – again predominately made up of representatives from the ministries of environment. These regional focal points are invited to participate in the meeting of the SAICM Bureau together with five Bureau members (comprised of representatives from government). The Bureau members are nominatedby delegates at ICCM. There are a further four non-government representations and one representative of the IOMC that also participate in meetings of the SAICM Bureau. These non-government representatives currently are made up of representatives from the health sector, the labour sector, industry and civil society.

184.   The challenge that has faced the Secretariat has been to reach out to a wider group of stakeholders with an interest in SAICM. Government stakeholders have been dominated by representatives from ministries of environment, with some representation from ministries of health. However, representation from ministries of agriculture, ministries of labour and ministries of industry had been low. Similarly, representation from industry was narrow,

represented by those from the chemicals industry. Achievement of the multi-stakeholder, multi-sectoral ambition of SAICM requires a much broader family of stakeholders. The EPIs represent the potential to widen the stakeholder base. The Chemicals in Products EPI has had some success in engaging with downstream industries but has a limited and narrow focus.

185.   Respondents were of mixed views regarding the support for the Secretariat within UNEP. Four of 12 respondents considered that there was support from within UNEP for the Secretariat, three did not and five didn't know. Whilst support was available within the Chemicals and Health Branch, with additional staffing being made available when required to assist with Conference and other meetings, the capacity of the administration was never sufficient given the workload of the Secretariat. The Chemical and Waste coordinators in UNEP regional offices were willing to support the Secretariat when called upon. However, a formal structured mechanism for consistent collaboration was missing.

186.   Most respondents considered that the Secretariat successfully called on governments, other UN and non-UN institutions to deliver on its objectives. A core number of countries have funded the Secretariat and its activities, with many governments and non-government agencies providing critical support for the Secretariat. The chemicals industry (ICCA) provided financial support and civil society organisations provided in-kind support.

Stakeholder participation, cooperation and partnerships is rated 'Satisfactory'

Communication and public awareness

187.   The SAICM website was the primary communication source. The website is available to all. Other communication methods used by the Secretariat included emails and webinars for SAICM stakeholders.

188.   Communications and public awareness-raising could have been strengthened through the Communications Division of UNEP. However, this Unit provided limited support to the Secretariat. The key constraint was reported to be a lack of available funds. Without the Secretariat raising its own funds for communications the collaboration with the Communications Division was limited.

Communication and public awareness is rated 'Unsatisfactory'

Country ownership and driven-ness

189.   The observation of Secretariat staff was that country representatives became more proactive and engaged in conferences over time. In particular, developing country representatives became more proactive in negotiations through the increased capacity of structures and staff. This increased capacity arose because of the QSP and other SAICM-related activities. The view of one staff member was that SAICM – initially largely a donor driven exercise – has become an initiative driven by developing countries.

Country ownership and driven-ness is rated 'Moderately Satisfactory'

Financial planning and management

190.   The Secretariat faced challenges in the timeliness of financial resources throughout the ten-year period, facing significant shortfalls in funds for Secretariat staff positions as well as Secretariat activities. The Secretariat also experienced shortfalls in agreed funds for the QSP. In addition, there were delays in those funds that were made available over the period.

191.   The financial unit of the Chemicals and Health Branch faced challenges in managing the funds it received in an efficient and timely manner. This was in part due to the changes that occurred in UNEP financial management systems, In part, also, because of the lack of financial administrative capacity. As one respondent put it: the Secretariat lacked a dedicated financial administrative staff member to support its work.

192.   The shortfalls in funds for staff positions led to under-capacity of the Secretariat. As one respondent pointed out, further capacity challenges arose from UNEP delays in processing contracts and paperwork needed to get staff in place. These constraints resulted in an over-reliance on consultants to deliver on the Secretariat's mandate.

193. Challenges in administering the QSP led to continued delays in issuing of contracts, disbursement of funds and completion of projects.

194.   Co-financing of the Secretariat did not materialize as expected (see Table 5 above). Table 6 lists the XBF contributions for staffing the Secretariat and for Secretariat activities. Tables 7 and 8 provide details of both cash and in-kind contributions to the QSP Trust Fund.

195.   Several respondents provided examples of evidence that delays in funding undermined the Secretariat's work: the failure to establish a functioning clearing house; delays in actions on Highly Hazardous Pesticides; delays in implementation of QSP projects. The shortfall in funds to the Secretariat also resulted in projects not being able to benefit from Secretariat technical support.

Financial planning and management is rated 'Unsatisfactory'

Supervision, guidance and technical backstopping

196.   The Secretariat experienced challenges regarding supervision and guidance, because of difficulties in inter-personnel relations. Consequently, there were delays in conference (ICCM3) and meetings (OEWG2). The already understaffed Secretariat took the strain of this situation.

197.   Another respondent flagged the difficulties between the Secretariat coordinator, line managers in UNEP and the SAICM Bureau. This not only delayed the work of the Secretariat but also discouraged voluntary contributions, particularly to the Secretariat itself, which in turn generated further difficulties to deliver.

198.   Another respondent observed that there was insufficient oversight of the Secretariat within UNEP that impacted on the (lack of) coordination between Secretariat activities, the BRS and the Chemicals and Health Branch. However, one respondent asserted that the SAICM Bureau and ICCM have provided adequate oversight of the Secretariat.

199.   The financial support (see Table 6) provided to the Secretariat by the industry stakeholder (ICCA) to provide capacity within the Secretariat, caused, as expressed by one respondent, much consternation for civil society stakeholders who perceived this initiative as creating "an unfair balance since developing countries and public interest organisations

cannot place someone on a UN Secretariat to advance their interests". Such accusations of a conflict of interest were strongly refuted by the Secretariat. [164]

UNEP supervision and backstopping is rated 'Unsatisfactory'

Monitoring and evaluation

M&E Design

200.   The monitoring requirements, together with the milestones and targets, were presented in the original project document (covering the period 2006-2009), the first revision document (2010-2013) and the second revision document (2014-2015). The details of these milestones and targets are presented in Table 1, Table 2 and Table 3, above. The indicators listed in the tables were specific, measureable, achieveable, relevant and timebounded.

201.   The indicators developed for the second revised project document – 2013-2015 – were defined in November 2015, five months after the end of the 'project'. Therefore, the indicators defined for this period may be considered as reporting on the 2014-2015 activities rather than milestones upon which project performance can be assessed.

202. The M&E design of the QSP included requirements for half-yearly progress reports and M&E reports at the end of the project. For those projects where the executing agency was an IOMC organisation the 'end of project' evaluations were internal, whereas for those porjects with a non-IOMC executing agency, the requirement was for an external end of project evaluation. An impact evaluation of the overall QSP was included in the M&E design.

M&E design is rated 'Moderately Unsatisfactory'

Budgeting and funding for M&E activities

203.   There is no evidence that M&E activities described in paragraphs 200 and 201 above, were budgeted for or funded. For M&E activities relating to the QSP, the half-yearly reports and end of project evaluations were assumed to be included in the budgets submitted in the project proposals. A budget was allocated for the QSP Impact Evaluation.

Budgeting and funding for M&E activities is rated 'Moderately satisfactory'

M&E Implementation

204.   The indicators in the original project document were reported on in the first revision project document and the indicators for the period 2010-2012 were reported on in the second project revision. The evidence for achievement of indicators was derived from several sources (see paragraphs 22 and 23, and Tables 1-3 above).

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[164] https://chemicalwatch.com/42991/icca-commits-funding-to-saicm

205.   The QSP experienced lengthy delays in submission of the half-yearly reports and the end of project evaluations (see paragraph 81 above). The QSP Impact Evaluation was completed and is available at:

http://www.saicm.org/Portals/12/Documents/QSP/QSP%20Impact%20Evaluation%20Report.pdf

M&E plan implementation is rated 'Moderately satisfactory'

IV. Conclusions and Recommendations

A. Conclusions

(a)   How effective was the project in servicing the implementation of SAICM? How effective was the project in providing adequate secretariat support to the ICCM and subsidiary bodies as well as to SAICM stakeholders to increasingly implement sound management of chemicals?

206.   Overall the Secretariat was effective in providing support to the ICCM and subsidiary bodies. Most of the deliverables specified in the original project document and the two subsequent revisions were achieved (see Table 1 to 3 above).

207.   The most visible success that the Secretariat has had over the ten-year period was the effective delivery of ICCM– in 2009 (ICCM2), 2012 (ICCM3) and 2015 (ICCM4). These were highly successful international conferences with several hundred participants from many countries and organisations. The role of the Secretariat in organising these meetings, preparing documents, being responsible for the logistics and sharing outputs with participants post-conference, was central to their success.

208.   Whilst it is true that ICCM3 and OEWG2 were both delayed, this was due to the capacity constraints experienced by the Secretariat in staff numbers over the 10-year period, rather than the competencies of those staff in place. The pressure on the Secretariat in providing adequate support to the OEWG2 was compounded by the uncertainty over resources to enable the OEWG2 to take place. In the event UNEP had to step in and provide an unplanned loan to cover the deficit in Secretariat funds for this event.

209.   The Secretariat is to be commended for its success not only in servicing the ICCM but also the OEWG, as well as servicing the multi-stakeholder dialogue that led to the production of the Overall Orientation and Guidance for achieving the 2020 goal (OOG) document (both of which were added to its mandated functions). This success was achieved despite the chronic understaffing of the Secretariat over the 10-year period.

210.   The Secretariat had considerable success in servicing the SAICM Bureau, Executive Board of the QSP and the QSP Implementing Committee. In addition to servicing these groups, the Secretariat was very responsive in following their directions and requests.

211.   The Secretariat was effective in ensuring that all outcomes and recommendations from ICCM were communicated to SAICM stakeholders as well as uploading all documents

related to ICCM onto the SAICM website. However, the Secretariat was hampered in its effectiveness in communicating relevant information to SAICM stakeholders, through the absence of a fully functioning information clearinghouse.

212. The Secretariat did make initial progress on establishing an online clearinghouse, announcing (at ICCM2) that the architecture was ready, and reporting that it was live in August 2012. However, since then no further progress has been made, and the initially designed clearinghouse was removed in January 2017.

213. The creation and servicing of an information clearinghouse was one of the mandated functions of the Secretariat. Whilst efforts were made to do this, the clearinghouse never became fully functional. This absence has undoubtedly limited the effectiveness of the Secretariat in providing support to SAICM stakeholders to increasingly implement the sound management of chemicals.

(b)   How effective has the project been in increasing knowledge and awareness of sound management of chemicals, including actions on emerging policy issues and other issues of concern?

214. At the international level the Secretariat has had much success in increasing knowledge and awareness of sound management of chemical, not least through its effectiveness in servicing the ICCM, the OEWG, the OOG and the regional meetings (see below). However, this knowledge and awareness has not cascaded down to the sub-national levels – provincial and local levels.

215. This limitation in implementing SAICM is partly attributable to the Secretariat. The absence of a communications strategy – a recommended action in the original project document – is one factor accounting for the ineffectiveness in increasing knowledge and awareness at the local level. The lack of a fully functioning information clearinghouse, forming one element of a communications strategy, has contributed to the limited effectiveness.

216. A more structural factor accounting for the limited effectiveness of increasing knowledge and awareness at the local level relates to the national focal point model. Government national focal points are the conduit by which information and knowledge flows down to the local levels. National focal points lack capacity to deliver on this role.[165]

217. The Secretariat effectively coordinated and facilitated the process of identifying proposed EPIs that were approved at ICCM2. The work of the Secretariat did not stop with the approval of the EPIs; it has continued to facilitate discussions around several of the EPIs and has supported the IOMC organisations that had signed up to lead on each EPI.

(c)   How effective were the regional policy discussions facilitated by the project in supporting implementation of the SAICM?

218. The Secretariat was effective at facilitating the regional meetings that took place over 2006-2014, as indicated by the successful achievement of the milestones presented in Tables 1 to 3. However, whilst the regional meetings took place as planned, policy discussions at the regional level outside these meetings were limited. This limitation was not attributable to the Secretariat and regional policy discussions were in large part dependent on other stakeholders. The dominance of the environment sector at the national level in SAICM has limited the effectiveness of regional policy discussions.

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[165] See SAICM Impact Evaluation (2018) for more details on this.

(d) Has the process of management of the Quick Start Programme by the project been effective in advancing enabling capacity building and implementation of activities for the implementation of SAICM objectives? How?

219. Given the financial and institutional constraints experienced by the Secretariat, it is commendable to its staff, and the QSP officer in particular, that the QSP had the degree of success that it did. There was much delay in issuing of contracts, particularly in the early rounds, followed by delays in disbursement of funds. The Secretariat found it difficult to hold the fund recipients accountable for the timely submission of deliverables across the majority of projects. Nevertheless, by the end of 2015, 136 projects had completed all their activities (although nearly half of these had failed to deliver final reports, see paragraph 78).

220. Effective management of the QSP is a necessary but not sufficient condition for advancing capacity building and implementation of SAICM. The success of the QSP in advancing the implementation of SAICM required that the initial capacity building activities of the QSP projects were built upon at the national level.

(e) What are the achievements and the challenges regarding SAICM institutional arrangements in terms of the secretariat function within the voluntary multi-sectoral and multi-stakeholder approach?

221. Whilst much of the shortfall in the Secretariat's delivering of services it was mandated to do was attributable to the shortfalls in agreed funding levels (for the Secretariat and its activities as well as the QSP programme), these failings were also attributable to institutional problems within UNEP (including the absence of a finance officer within the Chemicals and Health Branch from January to July 2014). The evidence indicates that the institutional and financial systems were not set up for either enabling the Secretariat to operate smoothly and efficiently, or for administering the QSP.

222. For a critical period between 2012 and 2014 relationships between the leadership in the Secretariat and the leadership and administration in the Chemicals and Health Branch broke down. It created a hostile and dysfunctional work environment between staff of the Secretariat and staff of the Branch. This impacted on morale of the already overstretched Secretariat staff and the Secretariat's ability to deliver on its mandate.

223. The partnerships that were envisaged in the Overarching Policy Strategy that would support the Secretariat in its mission did not lead to the expected outcomes. The WHO withdrew their P4 post from the Secretariat in September 2012 (see paragraph 33 above). Not only did this result in under-capacity within the Secretariat, it also resulted in the Secretariat lacking the health expertise needed to take forward the SAICM agenda.

224. The partnership and resulting collaboration between the Secretariat and the IOMC did not live up to expectations. QSP projects with IOMC executing agencies experienced extensive delays in completion, compounding pressure on the Secretariat's responsibility for the efficient management of the programme; sharing information on stakeholders with the Secretariat represented a challenge for some IOMC organisations, limiting the ability of the Secretariat to reach out to broader SAICM stakeholders; some IOMC organisations lacked the capacity to lead on the EPIs that they had signed up to (see paragraph 150), putting further pressure on the Secretariat to facilitate these sectoral groupings.

225. Given the existing arrangements the likelihood of impact is moderately likely. The assumption that donors would deliver agreed funding levels was misplaced. The Secretariat had little influence on the drivers of change: without a communications strategy with an

information clearing house component, tailored to the needs of all SAICM stakeholders, the uptake of SAICM guidelines and information by such stakeholders was limited; the reliance on consultants to deliver QSP projects and the lack of follow-up plans limited the potential for developing countries to take forward processes initiated by the QSP.

226. The longer-term future of the Secretariat in its current form is vulnerable. Six donors were responsible for 80% of the funding received for the Secretariat and its activities. Many OECD-DAC countries contributed less that US$250,000 over the 10-year period, less than the contribution made by the ICCA (see table 6). This relatively small funding base has the potential to be undermined by changing national political priorities and reduction or cessation of funds by an individual donor. Further and increasing direct financial support by ICCA has the potential to weaken the credibility of the multi-stakeholder nature of SAICM as such a development may not be welcomed by civil society stakeholders.

227. The synergies envisaged between SAICM and the MEAs (the Basel, Rotterdam and Stockholm conventions, and more recently the Minamata Convention) in the original project documents could be strengthened by greater clarity and a more formalised relationship between the Secretariats. Currently, relations between the SAICM and BRS Secretariats are of an informal nature – each helping when needed with conference/ meeting organisation. The voluntary nature of SAICM in contrast to the legally binding nature of the MEAs, results in different reporting structures within UNEP and a relatively under-resourced SAICM Secretariat. Furthermore, the current arrangements for BRS COPs and SAICM Conferences result in multiple international meetings with many of the same participants attending each. This 'duplication' is likely to increase with the recently added Minamata Convention.

Criterion	Summary Assessment	Explanation
A. Strategic relevance	S	Highly relevant to international agenda and UNEP's policies; gender and human rights not visible; knowledge sharing beyond international level limited
B. Achievement of outputs	S	Challenges in management of QSP programme; successful support services provided to ICCM and subsidiary bodies; limited support for implementation of SAICM through facilitation of regional meetings and strengthening the scientific base of regional networks; limited support to regional stakeholders and sectoral groupings.
C. Effectiveness: Attainment of project objectives and results	MS	
1. Achievement of direct outcomes	MS	QSP projects supported capacity building and implementation activities; policy and technical expertise provided at international level but limited at national and sub-national level.
2. Likelihood of impact	MU	High internal logic in project documents; assumptions not warranted; limited realisation of drivers; limited progress made on intermediate states; insufficient progress on impact.
3. Achievement of the project objective, overall purpose, goals and component outcomes	MS	Establishment of NFPs; challenges in QSP management; provision of information at international level; some progress in increasing institutional capacity.
D. Sustainability and replication	MU	
1. Financial	MU	Persistent shortfalls in agreed funding levels from donors.
2. Socio-political	ML	Much goodwill and encouragement for Secretariat; capacity constraints of collaborating UN agencies.
3. Institutional framework	MU	Capacity constraints of NFPs; synergies with MEAs not fully realised; competing priorities of UN collaborating agencies; dominance of environment sector.
4. Environmental	n/a	
5. Catalytic role and replication	S	Some evidence of QSP having catalytic role; GEF funded Social Programme secured.
E. Efficiency	MS	Most mandated functions delivered within timeframe; QSP experienced delays; ad-hoc support provided by

		Chemicals and Health Branch, and BRS Secretariat when requested.
F. Factors affecting project performance		
1. Preparation and readiness	MS	Comprehensive documentation in preparation for project; contractual and administrative systems not in place in early stages; funding shortfalls and delays.
2. Project implementation and management	S	Project implemented as planned; most outputs delivered; management challenges with QSP.
3. Stakeholder participation, cooperation & partnerships	S	Stakeholders at ICCM1 2006 remain engaged; NFP participation constrained by funding and capacity; narrow industry engagement.
4. Communication and public awareness	U	No communications strategy; SAICM website primary comms source; limited support from UNEP Communications Division..
5. Country ownership and driven-ness	MS	Transition from donor-driven to lower income country driven.
6. Financial planning and management	U	Funding delayed and under budget; challenges in managing funds.
7. Supervision, guidance and technical backstopping	U	Challenging inter-personal relationships between Secretariat and Branch.
8. Monitoring and evaluation	MU	Many gaps in the M&E system
a. M&E Design	MU	SMART indicators in original project document and first revision. M&E design in QSP
b. Budgeting and funding for M&E activities	MS	No evidence of budgeting and funding for Secretariat activities. Budgeting and funding for QSP
c. M&E plan Implementation	MS	Evidence of plan implementation for QSP.
Overall project rating	MS	This assessment is based on the evidence reviewed.

B. Lessons learnt

Gender and Human Rights and SAICM

228. The evaluation found that gender and human rights considerations were not adequately addressed in the design nor implementation of the SAICM Secretariat. As a result, both of these dimensions were invisible in SAICM implementing activities.

229. The lesson learnt: Human rights and gender equity will not be adequately addressed without a high political priority to address these issues. In terms of programme design human rights and gender-equity based organisations need to be included in steering groups, decision-making and oversight bodies of such programmes. At the project level, human rights and gender equity assessment criteria should be part of the project screening and project

selection process. Specific indicators that assess the adequacy of human rights and gender equity need to be part of the M&E system of such projects.

230.   Gender and human rights issues need to be integrated into the early stages of policies, programmes and plans developed at the conception and design stage.

Resourcing of the SAICM Secretariat

231.   The SAICM Secretariat experienced a chronic shortfall in agreed funds year on year. This resulted in the understaffing of the Secretariat with the consequence shortcomings in its ability to fully deliver its mandated functions.

232.   Ambitious programmes cannot be delivered on the cheap. If resources are not forthcoming for budgeted activities the programme is unlikely to deliver on its objectives. A shortfall in budgeted resources requires adaptive management, scaling back project objectives and/ or redesigning the programme, to ensure objectives are realistic and feasible given a reduced budget.

Institutional arrangements for the SAICM Secretariat

233.   The Chemicals and Health Branch faced organisational challenges in managing the SAICM Secretariat that led to delays in contracts and losing track of funds.

234.   Institutions responsible for hosting complex international programmes need to undertake comprehensive reviews of management, contracting, financial and human resources systems, identifying and addressing capacity constraints before embarking on such programmes. Such reviews should also include an assessment of how the institutions' existing portfolio of work will impact on, and be impacted by, the new programme. Institutions need to demonstrate their preparedness and readiness to take on such programmes.

Communications and knowledge sharing

235.   A significant challenge facing the Secretariat was to deliver on its mandated function of establishing an information clearing house. This limited its capacity to share information and knowledge to SAICM stakeholders.

236.   Generating research, information and guidelines alone will not lead to effective uptake by stakeholders. As equally important to the production of knowledge is the strategies for enabling the uptake of such knowledge. Developing such strategies requires working with stakeholders to identify the types of knowledge and information that will be of use to them to achieve their objectives and the forms and methods of communication that will make such knowledge accessible to them. Budgeted implementation plans need to be developed for the knowledge uptake strategy. Budget planning and allocation for uptake activities should be an integral part of the knowledge production process.

Management of Quick Start Programme

237.   The financial management and administrative challenges experienced by the Secretariat in managing the QSP, were compounded by the dual role played by IOMC agencies as executing agencies of projects and as members of the IOMC Implementing Committee responsible for selection and monitoring of projects' progress.

238.   Members of steering committee and other bodies responsible for oversight and selection of project proposals, review of progress and financial accountability should not be beneficiaries of project funds. Such arrangements have the potential to generate conflicts of interest and may undermine success.

239.   The practice of disbursing all funds for projects on signing of contracts limited the effectiveness of the overall management of the programme. In the case where IOMC members were executing agencies, all funds were disbursed on signing of contracts. This impacted particularly on the failure as such projects to complete final narrative reports, M&E reports and financial reports.

240.   Many QSP projects did not have follow up activities. Programmes with capacity building and catalytic enabling roles as objectives need to have clearly articulated post-project pathways in project design. Adequate and effective M&E allows for lessons to be learnt for future projects and programmes. Follow up programmes should draw on the results of the M&E to shape and guide future programme design.

C. Recommendations

Gender and Human Rights

241.   In order to address the lack of gender and human rights considerations in the design and implementation of the work of the SAICM Secretariat, it is recommended that UN agencies with gender and human rights expertise are requested to provide guidance on next steps. This recommendation should be tabled at the next SAICM Bureau meeting for consideration in the Beyond-2020 process.

Resourcing of the SAICM Secretariat

242.   Beyond-2020, the funding model for the SAICM Secretariat should be reassessed. Current arrangements that depend on a limited number of voluntary donors are not sustainable. A review should be conducted of a range of funding models that include UN contributions, chemical industry contributions, national budget allocations by lower income countries, as well as contributions from donor countries.

243.   Such a review should be commissioned by the SAICM Secretariat and discussed at OEWG3, in preparation for a decision to be taken at ICCM5 on the funding regime beyond-2020.

Institutional arrangements for the SAICM Secretariat

244.   The current institutional arrangements for the SAICM Secretariat should be reviewed in the light of this evaluation. The efficacy of the current arrangements with the Secretariat hosted within the Chemicals and Health Branch of UNEP should be compared with other models including the BRS and Minamata Secretariats' institutional arrangements. The review should also develop a list of options for structures that facilitate collaboration and coordination between the secretariats, other UN agencies, the IOMC and international organisations.

245.   The review should be commissioned by the SAICM Bureau, with the findings reported to OEWG3 in preparation for a decision to be taken at ICCM5 for the beyond-2020 institutional arrangements for the Secretariat.

Communications and knowledge sharing

246.   The absence of a functional information clearing house was indicative of the failure to develop a comprehensive communications strategy (as recommended in the original project document). Therefore, a communications and knowledge sharing strategy should be developed in consultation with SAICM stakeholders to ensure that the types of knowledge and the ways in which it is shared is relevant and accessible to those stakeholders.

247.   Such a communciations strategy should also address engagement with the general public to foster awareness and support for chemcials and waste management. Within the reconstructed theory of change (see Figure 1) general public support was considered an assumption for the success of the SAICM Secretariat's work. Going forward, the support of the general public should be considered a 'driver' that the Secretariat should take proactive steps to influence.

248.   This strategy should be commissioned by the Secretariat and presented to OEWG3 in preparation for a decision to be taken at ICCM5 for the beyond-2020 institutional arrangements for the Secretariat.

The Quick Start programme

249.   Given its experience in managing the Quick Start Programme, the Secretariat is well-placed to manage similar programmes in the future. Future funding programmes managed by the SAICM Secretariat and overseen by UNEP should be designed such that potential recipients of funds are not representatives on the bodies responsible for selection and monitoring of project proposals. If it is unavoidable, in exceptional circumstances, representatives are also potential beneficiaries of funds, such representatives should recuse themselves when proposals and projects that they are involved in are being assessed.

250.   All recipients of funds for such programmes should be subject to a common set of rules. In particular, no recipient of funds should receive all funds on project signing. Proportions of funds should be released in tranches on satisfactory submission of deliverables specified in the project schedule timeline.

251.   All projects within future programmes should be independently evaluated. It is not appropriate for some projects within a programme to be subject to independent external evaluation whilst others are internally evaluated.

Annexes

Annex 1: Evaluation ToRs (without annexes)

Evaluation of the UNEP project
Strategic Approach to International Chemicals Management Secretariat SAICM

PROJECT BACKGROUND AND OVERVIEW
Project General Information[166]

Table 1. Project summary

UNEP PIMS ID:	00127	IMIS number:	
Sub-programme:	Chemicals and Waste	Expected Accomplishment(s):	2010-2013: EA 5-B 2014-2015: EA 5-A
UNEP approval date:	21 December 2006	PoW Output(s):	2010-2013: 521 2014-2015: 5A-1
Expected Start Date:	10 November 2006	Actual start date:	10 November 2006
Planned completion date:	31 December 2009 30 November 2013 30 November 2015	Actual completion date:	31 December 2015
Planned project budget at approval:	$ 12,785,664	Total expenditures reported as of [date]:	
Planned Environment Fund (EF) allocation:	$ 681,055	Actual EF expenditures reported as of [date]:	
Planned Extra-budgetary financing (XBF):	$ 12,104,609	Actual XBF expenditures reported as of [date]:	
XBF secured:		Leveraged financing:	
First Disbursement:		Date of financial closure:	
No. of revisions:	5 (?)	Date of last revision:	?
Date of last Steering Committee meeting:	?		
Mid-term review/ evaluation (planned date):	n/a	Mid-term review/ evaluation (actual date):	n/a
Terminal Evaluation (actual date):			

Project rationale

1.   In 1992 Earth Summit and the follow-up World Summit on Sustainable Development in Johannesburg in 2002, important political commitments on chemicals were generated; namely the chapter 19 of Agenda 21 and the Johannesburg goal that by 2020 chemicals are used and produced in ways that minimize significant adverse impacts on human health and the environment. The Strategic Approach to International Chemicals Management (SAICM) provides a policy framework for the achievement of the Johannesburg 2020 goal.

2.   The development of the Strategic Approach to International Chemicals Management (SAICM) was initiated by the UNEP Governing Council (UNEP GC) in February 2002, following completion of negotiations of the Rotterdam and Stockholm conventions. It built on the work of the Intergovernmental Forum on Chemical Safety and it was developed through a multi-stakeholder and a multi-sectoral consultative process involving representatives from agriculture, development, environmental, health, industry and labour sectors. SAICM was

conceived as a non-binding umbrella to give greater coherence to the many individual agreements and programmes pertaining to the sound management of chemicals and to provide new impetus for international cooperation. In 2006, SAICM was adopted by the International Conference on Chemicals Management (ICCM).

3. SAICM is guided by three key policy documents: (1) The Dubai Declaration on International Chemicals Management (expresses the political commitment to SAICM and its implementation), (2) the Overarching Policy Strategy (sets out SAICM's scope, the need it addresses and its objectives, underlying principles and financial and institutional arrangements, and (3) the Global Plan of Action (which outlines possible activities, responsible actors, targets, timeframes and progress indicators for the achievement of SAICM's objectives, and which the ICCM recommended for use and further development as a working tool and guidance document). In addition the work of SAICM is guided by the resolutions adopted at the meetings of the ICCM.

4. When SAICM was being developed, particular emphasis was given to the need to enhance capacity building for developing countries and countries with economies in transition, and to promote the recognition of chemical safety as a cross-cutting sustainable development issue. A secretariat for SAICM was then established in 2006 to support the implementation of SAICM by stakeholders in governments, intergovernmental organizations and non-governmental organizations in the relevant sectors. When the Secretariat was established within the Chemicals and Waste Branch of DTIE in UNEP. Its functions included facilitation of meetings and intersessional work of the International Conference on Chemicals Management (ICCM), reporting on SAICM implementation, maintaining a network of SAICM stakeholders, facilitating guidance materials, providing guidance in the initiation of project proposals, providing information on clearing-house services, informing relevant global and regional organizations, promoting the exchange of scientific and technical information, maintaining working relations with the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) organizations and facilitating the operation of the SAICM Quick Start Programme (QSP).

5. The SAICM Overarching Policy Strategy states in paragraph 29: The Executive Director of UNEP will be requested to establish the Strategic Approach secretariat. UNEP and the World Health Organization (WHO) will take lead roles in the secretariat in their respective areas of expertise in relation to the Strategic Approach, with UNEP assuming overall administrative responsibility. The Strategic Approach secretariat will be co-located with the UNEP chemicals and waste cluster in Geneva, and take full advantage of existing synergies. In order to reflect the multi-sectoral nature of the Strategic Approach, the secretariat will work in coordination and/or cooperation with the participating organizations of IOMC and UNDP, as well as with other intergovernmental organizations, as appropriate. The secretariat will report to the Conference.

6. The aim of the project *Strategic Approach to International Chemicals Management Secretariat* was to establish a fully operational SAICM Secretariat to support implementation of the SAICM as adopted by the ICCM and endorsed by UNEP GC. The project involves two principal groups of activities, relating to (a) SAICM Secretariat's functions set out in SAICM Overarching Policy Strategy (par. 28), and (b) the responsibilities of the SAICM Secretariat and other UNEP units for administration of the SAICM QSP trust fund as set out in ICCM resolution.

Project objectives and components

7. The main objective of the project as stated in the original project document was *to maximize the number of countries and stakeholders participating in the implementation of SAICM by providing the necessary secretariat services called for in paragraph 28 of the SAICM Overarching Policy Strategy and ICCM Resolution I/4*. For the 2010-2011 and 2012-2013 PoW

periods the objective of the secretariat was slightly reformulated as *to facilitate the process of implementation of SAICM by providing the necessary secretariat services called for in paragraph 28 of the SAICM Overarching Policy Strategy and ICCM resolution I/4.* The purpose of providing these secretariat services was to facilitate implementation of SAICM in support of the achievement of the goal agreed at the 2002 Johannesburg World Summit on Sustainable Development that, *by the year 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment.*

8.   The project was retrofitted to the 2010-2011 and 2012-2013 UNEP Programme of Work (PoW) and it was placed under the Harmful Substances and Hazardous Wastes (HSHW) Sub-programme. During this period (2010-2013 UNEP's Medium Terms Strategy), the project was designed to contribute towards the Expected Accomplishment (b) *Coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices.* The project was designed to contribute towards the PoW Output 521 *The SAICM process receives adequate secretariat support, administration of the Quick Start Programme and support to regional networks.*

9.   The project was again retrofitted to the 2014-2015 UNEP PoW, under the Chemicals and Waste Sub-programme (former HSHW). The project contributed towards the Expected Accomplishment (A) *Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related to provisions in the MEAs.* The project was designed to contribute towards the PoW Output 5A-1 *Secretariat services to the Strategic Approach to International Chemicals Management (SAICM) and its financial mechanism.*

10.   Table 2. The Project outcome and outputs as stated in the Project Document Supplementary under the 2014-2015 UNEP Programme of Work.

PoWs 2010-2011; 2012-2013		PoW 2014-2015	
Outcome	Outputs	Outcome	Outputs
Coherent international policy and technical expertise is provided to States and other SAICM stakeholders for managing harmful chemicals and hazardous wastes in a more environmentally sound manner, including through better technology and best practices.	1. The ICCM and subsidiary bodies receive adequate secretariat support services.	SAICM stakeholders are increasingly implementing sound management of chemicals throughout their life cycle, at all levels.	A) The ICCM and subsidiary bodies receive secretariat support services and report on the implementation of the Strategic Approach
	2. The Quick Start Programme is efficiently managed		B) The Quick Start Programme supports initial enabling capacity building and implementation activities in developing countries, least developed countries, small island developing States and countries with economies in transition

	3. Regional networks receive support for the implementation of SAICM by facilitating regional meetings, and strengthening the scientific base of regional networks		C) Adequate policy discussions facilitated with support from the secretariat to regional stakeholders and sectoral groupings
			D) Evaluation process established on the implementation of SAICM project for 2006-2015 with a view to reviewing progress against the 2020 target and taking strategic decisions, programming, prioritizing and updating the approach as necessary.

11.   The project revision documents only include a revised logical framework for the defined periods of time, but they do not include a project work plan, which would spell out the planned activities. According to the original project document dating 2006, the main activities include facilitation of meetings and intersessional work of ICCM, facilitation of regional meetings, disseminating reports and recommendations of the Conference, reporting to ICCM on implementation of SAICM, promoting the establishment and maintenance of SAICM stakeholders, facilitating development and dissemination of guidance material on implementation of SAICM, providing guidance to stakeholders in initiation of project proposals, providing information on clearing-house services, promoting exchange of scientific and technical information, establishing and maintaining working relationships with IOMC participating organizations, providing administrative support to QSP Trust Fund and facilitating meetings of its implementation Committee and QSP Executive Board, receiving and screening QSP proposals, administering INFOCAP, and fundraising.

Executing Arrangements

12.   The Secretariat to support the implementation phase of SAICM was established by UNEP DTIE, Chemicals Branch in Geneva following a request by ICCM and UNEP Governing Council. According to the original project document, the World Health Organisation (WHO) was to join UNEP in the Secretariat. WHO has for a limited period of time provided a staff member to the SAICM secretariat. According to the Project Document Supplement of the project for the 2010-2011 and 2012-2013 PoW indicated that the Division of Regional Coordination was also to be involved in the project. The Project Document Supplement extending the project to the 2014-2015 PoW indicated that Regional Offices, DELC and DCPI will also be involved in the project and indicates that external executing partners include UN agencies and bodies including IOMC, the UN Environment Management Group (EMG), and the Basel, Rotterdam and Stockholm Convention Secretariats, Governments and Non-Governmental Organizations.

13.   UNEP has a dual role in SAICM; in addition to hosting the SAICM Secretariat and administering the SAICM QSP trust fund, UNEP is also a stakeholder in SAICM both as a stand-alone organization and through the IOMC thereby contributing to the implementation of SAICM, particularly by the implementation of related activities in UNEP's Programme of Work and by contributing to the efforts of the IOMC. This project only included UNEP's role in terms of (a) SAICM Secretariat's functions set out in SAICM Overarching Policy Strategy (par. 28), and (b) the responsibilities of the SAICM Secretariat and other UNEP units for administration

of the SAICM QSP trust fund as set out in ICCM resolution. The stakeholder role of UNEP in SAICM is covered in other projects of the Chemicals and Waste Branch.

Project Cost and Financing

14.   The initial project budget as expressed in the original project document from November 2006 to December 2009 was US$ 12,785,664, from which US$ 681,055 was from the Environment Fund. The project document supplement for the Programme of Work biennium 2014-2015 states that the revised total planned budget of the project (from 2006 to 2015) is US$ 39, 452,588, from which US$ 35,527,408 had been secured at the time of project revision approval.

15.   According to the original project document, the Coordinator of the secretariat was funded from the Environment Fund (EF), while resources for other staff and activities rely on extra-budgetary contributions. According to the project document supplement extending the project to the 2010-2011 and 2012-2013 Programme of Work periods, additional resources were derived from Sweden, the EC and various earmarked contributions to the SAICM Secretariat and the QSPs (without specification). According to the project document supplement extending the project to the 2014-2015 biennium, added contributions were all extra-budgetary from Austria, Benin, Belgium, Denmark, EC, Finland, Germany, Guyana, ICCA, Norway, Slovenia, Sweden, Switzerland and USA.

16.   Table 2. Summary of the project overall planned budget and funding sources as presented in the project document supplement extending the project to the 2014-2015 Programme of Work period.

Overall Budget	Amount
A: Previously approved planned budget (from the last revision)	35,527,408
B: Previously secured budget (from IMIS)	35,527,408
C: Total change of budget [sum of (i)+(ii)+(iii)]	1,187,223
Contributions already received in 2015 (as of 14.10.2015) i) Austria ii) Benin iii) Belgium iv) Denmark v) European Commission vi) Finland vii) Germany viii) Guyana ix) ICCA x) Norway xi) Slovenia xii) Sweden xiii) Switzerland xiv) USA xv) UNEP	10,893 602 21,786 62,792 544,622 40,305 216,775 1,000 135,000 76,424 3,267 76,408 359,906 370,000 450,000 2015 TOTAL: 2,369,780
D: Total revised secured budget (B+C)	USD 36,714,631
E: Unsecured budget (F-D) – Approved budget by ICCM3	USD 2,737,957
F: New total for proposed planned budget	USD 39,452,588

Implementation Issues

17.   The timeframe for the implementation of SAICM is 2006 to 2020. This project to support the implementation of SAICM was initiated in 2006. The original project document was approved for the duration of 10 November 2006-31 December 2009. The project was brought to the 2010-2011 and 2012-2013 UNEP's Programme of Works (PoW) with one project

document supplement (approved 10.2.2012) and three revisions (approved 22.5.2008, 12.12.2008 and 31.10.2009) to include additional resources. The project was further brought to the 2014-2015 UNEP PoW with another project document revision for which the technical content has been approved but the budget is pending approval. The revisions included a revision of the project's logframe, but no revision to the project workplan.

18. The project has not undergone a mid-term evaluation or review. However, the project was included as a case study in the Evaluation of UNEP's Sub-programme on Chemicals and Waste in 2015. In addition, the SAICM commissioned an impact evaluation of the QSP, which was completed in 2015 and submitted to ICCM-4.

19. As mandated by the International Conference on Chemicals Management at its fourth session, the SAICM secretariat is also launching an evaluation of the SAICM focused on the period from 2006 to 2015, managed by the SAICM secretariat but conducted by an independent consultant. The purpose of the evaluation is to provide information to enable the intersessional process to consider SAICM and the sound management of chemicals and waste beyond 2020 to develop recommendations to enable SAICM stakeholders to take informed decision at ICCM5, in 2020, on future arrangements beyond 2020.

20. To the extent possible, the evaluation of the project on SAICM which is defined in this ToR will be conducted in a coordinated manner with the evaluation of SAICM, mandated by the ICCM4 and managed by the SAICM Secretariat. The UNEP evaluation defined in this ToR will need to be completed by June 2016 in order to inform the development of the project document for secretariat services to SAICM that is under development for the period from 1 October 2016 to 31 December 2020. The mandated evaluation for the ICCM beyond 2020 intersessional process will be undertaken in line with the terms of reference adopted at ICCM4. The first interim report will be made available at the first meeting of the intersessional process scheduled for early 2017.

21. According to reporting in the UNEP's Project Implementation Management System (PIMS), the main challenge of the project has been its funding situation, particularly in terms of shortage of funding and turnover and delays in staff recruitments. Recent challenges relate to the introduction of the Umoja – system in UNEP which has caused delays in administrative processes, including processing contracts and payments as well as organization of meetings. The QSP has experienced challenges in implementation due to the insufficient administrative support provided to the management of the QSP.

22. Other challenges include: lack of multi-sectoral secretariat support, with WHO withdrawing its staff member in 2012; staffing turnover in the secretariat; limited administrative capacity to support the growing demands of the Quick Start Programme; lack of investment in outreach and communications; the challenge in quantifying results in relation to involving all relevant sectors in SAICM implementation.

TERMS OF REFERENCE FOR THE EVALUATION
Objective and Scope of the Evaluation

23. In line with the UNEP Evaluation Policy[167] and the UNEP Programme Manual[168], 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

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

requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and SAICM stakeholders. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.

24.   The evaluation will cover the implementation of the SAICM project from the project start in 2006 to the end of the implementation of the 2014-2015 project document extension. The evaluation will focus on assessing the project's performance in servicing the implementation of the SAICM towards the 2020 target but also provide recommendations on strategic decisions, programming, prioritizing and updating UNEP's SAICM project approach as necessary in order to improve its processes to reach the 2020 target.

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

(f)   How effective was the project in servicing the implementation of SAICM? How effective was the project in providing adequate secretariat support to the ICCM and subsidiary bodies as well as to SAICM stakeholders to increasingly implement sound management of chemicals?

(g)   How effective has the project been in increasing knowledge and awareness of sound management of chemicals, including actions on emerging policy issues and other issues of concern?

(h)   How effective were the regional policy discussions facilitated by the project in supporting implementation of the SAICM?

(i)   Based on the mandate of the SAICM secretariat, what are the strengths, weaknesses and gaps of the secretariat function in supporting the implementation of SAICM? What more could / should the secretariat do to service the implementation of SAICM?

(j)   Has the process of management of the Quick Start Programme by the project been effective in advancing enabling capacity building and implementation of activities for the implementation of SAICM objectives? How?

(k)   What are the achievements and the challenges regarding SAICM institutional arrangements in terms of the secretariat function within the voluntary multi-sectoral and multi-stakeholder approach?

Overall Approach and Methods

26.   The Terminal Evaluation of the Project will be conducted by independent consultants under the overall responsibility and management of the UNEP Evaluation Office in consultation with the UNEP Project Manager and the Sub-programme Coordinator of the Chemicals and Waste Sub-programme.

27.   The Terminal Evaluation will be an in-depth evaluation using a participatory approach whereby key stakeholders are kept informed and consulted throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used to determine project achievements against the expected outputs, outcomes and impacts. It is highly recommended that the consultant(s) maintains close communication with the project team and promotes information exchange throughout the evaluation implementation phase in order to increase their (and other stakeholder) ownership of the evaluation findings.

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

(a)   A **desk review** of (but not limited to):

- Relevant background documentation, inter alia UNEP Medium-Term Strategies 2010-2013 and 2014-2017 and the respective Programmes of Work, the relevant UNEP Governing Council decisions related to SAICM, SAICM Preparatory Committee reports and other background documentation on SAICM preparation, relevant ICCM resolutions and other documentation, SAICM texts, SAICM progress reports as presented to the ICCMs, ICCM meeting reports;
- Background Documentation for the Overall Orientation and Guidance (SAICM/OEWG.2/INF/2) and the QSP Impact Evaluation (SAICM/ICCM.4/INF/5);
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplement), the logical framework, revisions and their budgets;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, reports of the QSPs, meeting minutes, relevant correspondence etc.;
- The Impact Evaluation of the QSP, Evaluation of the UNEP Sub-programme on Chemicals and Waste;
- Evaluations/reviews of similar projects

(b)   **Interviews (individual or in group) with (but not limited to)**:
- UNEP Project Manager;
- Project management team;
- UNEP Fund Management Officer;
- Relevant staff in the Chemicals and Waste Branch, Secretariats of the Rotterdam, Stockholm and Basel Conventions;
- Bureau of the ICCM;
- SAICM Regional Focal Points;
- Selected representatives of member Governments;
- Relevant staff of other UN agencies, in particular the IOMC organizations, and other intergovernmental and non-governmental organizations involved in SAICM, in particular, WHO and OECD;
- The QSP Executive Board, and individuals related to the selected QSP projects.

(c)   The evaluation will apply appropriate tools to support interviews, such as online surveys. The application of data collection tools shall be defined in the Evaluation Inception Report. The evaluation consultant will visit Geneva to meet with the project implementation team, Secretariats of the Rotterdam, Basel and Stockholm Conventions and other relevant project stakeholders.

Key Evaluation principles

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

30.   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; and (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 consultants can propose other evaluation criteria as deemed appropriate.

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

32.   **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.

33.   **Theory of Change (ToC)**. UNEP project evaluations make use of ToC analysis to help assess several evaluation criteria. The ToC of a project describes 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 human living conditions). The ToC also presents any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC further describes the external factors that influence change along the major impact 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.

34.   A ToC is best presented as a narrative accompanied by a diagram. A diagram is often useful to show an overview of the causal pathways, the cause-to-effect relationship between different results / changes, and where the drivers and assumption intervene along the results pathways. It is also a great tool for discussing the ToC with project stakeholders. The narrative, however, will explain how or why one result is expected to lead to another, and should also present the roles of the main stakeholders in the change processes and how they can be affected by the changes resulting from the project intervention.

35.   The evaluation will reconstruct the ToC of the project at design and at evaluation, based on a review of project documentation and stakeholder interviews. Verifying, amending and updating the problem analysis at the origin of the project will be an essential first step in reconstructing the ToC. The evaluator is expected to discuss the problem analysis and reconstructed ToC with key stakeholders during evaluation missions and/or interviews in order to ascertain his/her understanding of the project context, the impact pathways, the roles of various stakeholders and the validity of drivers and assumptions described in the ToC.

36.   Theory of Change analysis is used to assess an intervention's causal logic, effectiveness and likelihood of impact, but also to help assess many other evaluation criteria. For example, it can help to verify alignment of the project with UNEP's Programme of Work and the Sub-programme's Theory of Change, and help to assess the extent to which the project intervention responds to stakeholder priorities and needs. In addition, ToC analysis can support the assessment of sustainability and up-scaling by providing better understanding of the relative importance of outputs, outcomes, drivers and assumptions, along with the role of stakeholders, in sustaining and up-scaling higher level results. ToC analysis is also useful to assess adaptive management undertaken by the project to respond to changes in context and deal with false assumptions.

37.   **The "Why?" Question.** As this is a terminal evaluation but a follow-up project is likely, particular attention should be given to learning from the experience. Therefore, the "*Why?*" question should be at the front of the consultants' minds all through the evaluation exercise. This means that the consultants need to go beyond the assessment of "*what*" the project performance was, and make a serious effort to provide a deeper understanding of "*why*" the performance was as it was. This would include reviewing the Theory of Change of the project and the processes affecting attainment of project results (criteria under category F – see below). This should provide the basis for the lessons that can be drawn from the project. In fact, the usefulness of the evaluation will be determined to a large extent by the capacity of the consultants to explain "*why things happened*" as they happened and are likely to evolve in this or that direction, which goes well beyond the mere review of "*where things stand*" at the time of evaluation.

38.   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.

39.   Communicating evaluation results. Once the consultant(s) has obtained evaluation findings, lessons and results, the Evaluation Office will share the findings and lessons with the key stakeholders. Evaluation results should be communicated to the key stakeholders in a brief and concise manner that encapsulates the evaluation exercise in its entirety. There may, however, be several intended audiences, each with different interests and preferences regarding the report. The Evaluation Manager will plan with the consultant(s) which audiences to target and the easiest and clearest way to communicate the key evaluation findings and lessons to them. This may include some or all of the following; a webinar, conference calls with relevant stakeholders, the preparation of an evaluation brief or interactive presentation.

Evaluation criteria
Strategic relevance

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

41.   The evaluation will also assess the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval using the Theory of Change. 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 Sub-programmes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS (2010-2013, 2014-2017). The magnitude and extent of any contributions and the causal linkages should be fully described.

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

1.   *Alignment with the Bali Strategic Plan (BSP)*[169]. The outcomes and achievements of the project should be briefly discussed in relation to the objectives of the UNEP *Bali Strategic Plan.*
2.   *Gender balance.* Ascertain to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental

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

degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation. Are the project intended results contributing to the realization of international GE (Gender Equality) norms and agreements as reflected in the UNEP Gender Policy and Strategy, as well as to regional, national and local strategies to advance human rights and gender equity?

3. *Human rights based approach (HRBA) and inclusion of indigenous peoples issues, needs and concerns.* Ascertain to what extent the project has applied the UN Common Understanding on HRBA. Ascertain if the project is in line with the UN Declaration on the Rights of Indigenous People, and pursued the concept of free, prior and informed consent.

4. *South-South Cooperation.* This is regarded as the exchange of resources, technology, and knowledge between developing countries. Briefly describe any aspects of the project that could be considered as examples of South-South Cooperation.

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

Achievement of Outputs

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

44. While the assessment of achievement of outputs should cover all programmed outputs at design and those outputs added by possible project revisions, it is often impossible to assess all project outputs with the same level of detail. The reconstructed ToC can be used to determine what project outputs are most essential for achieving the project outcomes, and also to establish the minimum characteristics and quality requirements for the project outputs so that they can provide their expected contribution to the project outcomes. The assessment of achievement of outputs can then focus on the most critical outputs, and verify whether these meet the requisite characteristics and quality.

45. The evaluation should briefly explain the reasons behind the success (or shortcomings) 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). Were key stakeholders appropriately involved in producing the programmed outputs to promote their ownership and use?

Effectiveness: Attainment of Objectives and Planned Results

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

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

(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. Outcomes are often changes in capacity at the individual and institutional level. For this project, the main question will be to what extent the project has contributed to the achievement of the immediate outcomes.

For many projects, outcomes have not been defined at an appropriate results level. For others, no outcomes have been defined at all, but rather a project "goal", "purpose" or "objectives". The reconstructed ToC should have redefined the intended changes at the outcome level, to make sure that the effectiveness of the project is assessed at the outcome level, and not at the output level (which is assessed under achievement of

outputs) or any level above the outcome level (which would be too far beyond the project's accountability[170]).

(b) Assessment of the **likelihood of impact.** Impact in UNEP is defined as intended and unintended long term changes in environmental benefits and human living conditions resulting directly or indirectly from UNEP interventions. Often, impact takes more than the lifetime of a project to occur, and depends on the presence of several external conditions over which the project has limited or no control. Besides, projects seldom dispose of accurate baseline information and rarely monitor progress at the impact level during their lifetime. Reliable information on a counterfactual (a comparable situation without the project) at the time of design and at the time of evaluation is usually missing as well. For these reasons, it is often not possible to measure actual impact of a project, but only to estimate the likelihood or potential for impact using a theoretical approach based on the intervention's ToC. In UNEP, this approach is called the "Likelihood of Impact Assessment (LIA)". The evaluation team will go through the following steps:

1 **Assessment of the internal logic of the project.** The evaluators will verify whether project outputs are logically connected (from cause-to-effect) to intended outcomes, and whether intended outcomes are logically connected to expected impact. They will check whether all essential outputs and outcomes have been taken into account in project design, and whether all necessary drivers and critical assumptions have been adequately considered. This is explained in more detail under the assessment of preparation and readiness. It is also important here to determine the relative importance of the different causal pathways within the ToC, as this might require the evaluators to allocate more weight to some changes along the results chains compared to others.

2 **Assessment of effectiveness**. The evaluation team will assess the extent to which outcomes (as per the reconstructed ToC) have been achieved. This is described in more detail under the assessment of **achievement of outcomes** above.

3 **Verification of drivers and assumptions**. The evaluators will review the actual presence of the necessary drivers and validity of assumptions presented in the reconstructed ToC and assess whether the project has made all possible efforts to ensure the presence of drivers, and made the necessary adjustments (adaptive management) in case certain critical assumptions proved to be invalid.

4 **Progress on intermediate states and early sign of impact**. The evaluators will actively search for evidence of changes happening at the intermediate state level and possible early indications that impact is happening at a smaller scale (e.g. within the confines of a project demonstration site).

5 **Assessment of the likelihood of impact.** Based on the previous steps, the evaluation team will be able to conclude how likely it is that the project is contributing or will contribute to impact. If the internal logic of the project is strong, outcomes have been achieved, all drivers and assumptions are in place, and progress on intermediate state and possibly impact at a smaller scale have been demonstrated, it is highly likely that the intervention will contribute to impact. On the other hand, if there are shortcomings in the internal logic of the project, some key outcomes have not been achieved, certain drivers or assumptions are not in place, or there is very little evidence of any progress on intermediate states and impact at small scales, the likelihood that the intervention will contribute to impact will be much lower.

The evaluator will derive a **rating for the likelihood of impact** on a six-point scale (from 1=highly unlikely to 6=highly likely) by rating the elements 1) to 5) above on a 6-point scale (from 1=very low/weak to 6=very high/strong). The rating for likelihood of impact would then be the lowest rating given to these elements, but possibly adding one bonus

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[170] Intermediate states of an intervention are expected to result from its outcomes, with the support of certain drivers and assumptions. They are usually changes in capacity at the societal level or changes in individual, group or organizational *behavior* resulting from the application of capacities acquired at the individual and institutional level. Because achievement of intermediate states depends a lot on the presence of favorable external conditions, an intervention cannot be held accountable to the same extent for the achievement of intermediate states as it would be held accountable for the achievement of its outputs and outcomes.

point in case there is solid evidence of progress on intermediate states or impact (element 4) above). For instance, a project with a robust ToC at evaluation (rating of 6) with satisfactory effectiveness (rating of 5) and presence of most but not all drivers and assumptions (rating of 4), that shows some clear progress on intermediate states at the scale of its demonstrations sites, would be rated "likely" to achieve impact (4+1=5). In contrast, a project with serious logic shortfalls in the ToC (rating of 2), but very high effectiveness (rating of 6) and presence of the essential drivers and assumptions (rating of 5) and no signs of progress on intermediate states or impact (no bonus point) would be rated "unlikely" to achieve impact (2).

The evaluation will also consider the likelihood that the intervention may lead to unintended negative effects.

(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[171]. 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 **<u>contribution</u>** 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 and gender equity were integrated in the Theory of Change and results framework of the intervention and to what degree participating institutions/organizations changed their policies or practices thereby leading to the fulfilment of human rights and gender equity (e.g. new services, greater responsiveness, resource re-allocation, etc.)

Sustainability and replication

48.   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 will ascertain that the project has put in place an appropriate exit strategy and measures to mitigate risks to sustainability or alternatively the evaluation should ascertain to what extent follow-up work has been initiated and how project results will be sustained and enhanced over time.

49.   The evaluation team can use the ToC to see whether sustainability has been built into the impact pathways and whether the necessary drivers and assumptions (external factors and conditions) affecting sustainability have been adequately considered in the project's intervention logic. The evaluator should assess how likely the sustainability of direct outcomes is, and what the relative importance is of the direct outcomes to sustain higher level changes. Indeed, as outcomes relate most often to individual and institutional capacity building, they are often by themselves expected to ensure sustainability. For instance, a set of new regulations could be at the basis of a lasting change in how a natural resource is being managed. In addition to looking at the direct outcomes, the evaluation team will further assess sustainability of changes at intermediate state and impact levels by verifying the

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[171]   Or any subsequent **formally approved** revision of the project document or logical framework.

presence of drivers and validity of assumptions that affect sustainability of higher level results, considering their relative importance. Many drivers and assumptions required for progressing along the causal pathways from outputs to impact are also required for sustaining positive changes. Those external factors affecting sustainability are categorized in socio-political factors, financial factors, institutional factors and environmental factors:

50.   Four aspects of sustainability will be addressed:

(e)   *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 sustain project results? Did the project conduct 'succession planning' and implement this during the life of the project? Was capacity building conducted for key stakeholders? Did the intervention activities aim to promote (and did they promote) positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders?

(f)   *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[172] 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?

(g)   *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services?

(h)   *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?

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

(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*, for instance institutional uptake of project-demonstrated technologies, practices or management approaches;

(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.;

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

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

52. *Replication* is defined as the repetition of project approaches or application of project lessons in different geographic locations, while *up-scaling* is defined as the repetition of project approaches or application of project lessons in the same area, but on a much larger scale. Both replication and up-scaling should be undertaken by other actors and be funded by other sources than the project itself.

53. ToC analysis can help with the assessment of replication and up-scaling potential of an intervention in a similar way it can help with the assessment of sustainability, except that here, the evaluator should focus on those direct outcomes, drivers and assumptions that are most necessary for replication and up-scaling of project results. The evaluation team can thus use the ToC to see whether replication and up-scaling have been built into the causal pathways and whether the necessary drivers and assumptions (external factors and conditions) promoting replication and up-scaling have been adequately considered in the project's intervention logic. To assess the likelihood of replication and up-scaling, the evaluators will assess the relative importance of direct outcomes, drivers and assumptions for enabling replication and up-scaling, and verify to what extent the most influential ones have been achieved or are present. The reliability of this assessment can be enhanced by looking for early evidence of replication or up-scaling during the project lifetime.

Efficiency

54. 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. The evaluation will also assess the extent to which human rights and gender equity were allocated specific and adequate budget in relation to the results achieved.

55. 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.

Factors and processes affecting project performance

56. **Preparation and readiness**. This criterion focuses on the quality of project design and preparation. Were project stakeholders[173] adequately identified and were they sufficiently involved in project development and ground-truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Were the capacities of executing agencies properly considered when the project was designed? Was the project document clear and realistic to enable effective and efficient implementation? Were the partnership arrangements properly identified and the roles and responsibilities negotiated prior to project implementation? Were counterpart resources (funding, staff, and facilities) and enabling legislation assured? Were adequate project management arrangements in place? Were lessons from other relevant projects properly incorporated in the project design? What factors influenced the quality-at-entry of the project design, choice of partners, allocation of financial resources etc.? Were any design weaknesses mentioned in the Project Review Committee minutes at the time of project approval adequately addressed?

57. The ToC of a project can be used to assess several aspects of project design, and, as a result, for assessing how well stakeholders were likely involved during project design

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[173] 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.

processes. The UNEP Programme Manual recommends that all projects are designed on the basis of a thorough situation analysis with the development of a problem tree. This problem tree should then be used by the designers to develop the ToC of the project, by inverting problems into positive changes and conditions, and determining which changes and conditions the project will focus on. The necessary changes and conditions that are not part of the project's focus, should then be considered as external factors affecting impact (either drivers or assumptions).

58. The evaluators can assess the quality of the project's ToC and determine, among other things, whether project outputs are logically connected (from cause-to-effect) to intended outcomes, and whether intended outcomes are logically connected to expected impact. They will check whether all essential outputs and outcomes have been taken into account in project design, and whether all necessary drivers and critical assumptions have been adequately considered. An important aspect here is to assess whether the project's focus is appropriate vis-à-vis: i) UNEP's mandate, programme of work and comparative advantages; ii) government and other stakeholder priorities; iii) what causal pathways are expected to most strongly contribute to impact; iv) resources available (including time); and v) what is being addressed by other actors (to find complementarities and synergies, and avoid duplication). Also, the evaluators should verify whether appropriate strategies have been built into project design to promote the drivers and manage the risks of possibly invalid assumptions. As noted above, drivers and assumptions cannot only affect the likelihood of impact, but may also play a major role in sustainability and replication and up-scaling.

59. The evaluators can also use the ToC to assess the quality of the stakeholder analysis in the Project Document, by verifying whether key stakeholders have been properly identified. With the help of the ToC, they can also assess whether sufficient analysis is provided on how different stakeholders can affect or be affected by project results; the nature of relationships that exist among stakeholders; and how they should be incorporated into project design (as partners, beneficiaries, champions, victims, resistors etc.). On the basis of the assessment of the project focus and the stakeholder analysis, the evaluation team could also draw some conclusions on how well stakeholders were likely involved during project design.

60. **Project implementation and management**. This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions, the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

(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 the project steering bodies.

(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.

61. The ToC can help understand the exact role of the project management team in delivering the project outputs and pushing change along the different causal pathways. The evaluation team can further assess whether the project team has put sufficient effort in

promoting the drivers presented in the ToC. Also, a comparison of the original ToC at design and the reconstructed ToC at evaluation can help assess adaptive management by the project to respond to a changing context and react to invalid assumptions.

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

(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? 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 with other organizations and networks? 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? Which benefits stemmed from their involvement for project performance, for UNEP and for the stakeholders and partners themselves? Do the results of the project (strategic programmes and plans, monitoring and management systems, sub-regional agreements etc.) promote participation of stakeholders, including users, in environmental decision making?

63.   The evaluation team can refer to the ToC to verify whether it includes an approach for sharing information and cooperation with partners, national/local project stakeholders and other UNEP units, projects and programmes. Also, the ToC, stakeholder analysis and partner analysis should assist the evaluator 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, and should help to answer many of the questions asked above.

64.   **Communication and public awareness**. The evaluation will assess the effectiveness of any public awareness activities that were undertaken during the course of implementation of the project to communicate the project's objective, progress, outcomes and lessons. This should be disaggregated for the main stakeholder groups identified in the inception report.

Did the project identify and make us of existing communication channels and networks used by key stakeholders? Did the project provide feedback channels?

65. **Country ownership and driven-ness.** The evaluation will assess the degree and effectiveness of involvement of government / public sector agencies in the project, in particular those involved in project execution.

    (a) To what extent have Governments assumed responsibility for the project and provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project?

    (b) How and how well did the project stimulate country ownership of project outputs and outcomes?

66. **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 (see Table 1). Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components (see tables in Annex 4).

    (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective. Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGO's, foundations, governments, communities or the private sector.

67. 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.

68. **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.

69. 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?

70.   **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 two levels:

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

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

(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 were complete and accurate;
- The information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

71.   The ToC of the project can help with assessing the quality of project monitoring and evaluation plans and tools, and how information gathered by the M&E system was used to adapt and improve project execution, achievement of outcomes and ensuring sustainability, replication and up-scaling. More specifically, the assessment of the ToC based on the project LogFrame at design and evaluation, respectively, can help with the assessment of the quality of the LogFrame (original and possible updates) as a planning and monitoring instrument. The quality of the ToC based on the project logframe can also be very telling about the adequacy

of baseline information, for instance on the problem context, lessons learned from previous experience on what works and doesn't work, the capacity of partners etc.

72.   The evaluators can compare the ToC based on the project logframe and the reconstructed ToC to verify whether monitoring and mid-term evaluation findings have been used to bring possible adjustments to the project focus, increase attention on key drivers and put in place measures to deal with possible false assumptions, in other words whether the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

The Consultant

73.   This evaluation will be conducted by an independent evaluation consultant. The consultant should have ten years of technical / evaluation experience, including of evaluation large, regional or global programmes and using a Theory of Change approach; and a broad understanding of large-scale, consultative assessment processes and factors influencing use of assessments and/or scientific research for decision-making. The consultant should have a good understanding of the SAICM.

74.   The consultant will be responsible of data collection and analysis, and the preparation of the main report for the evaluation, ensuring that all evaluation criteria and questions are adequately covered.

75.   By undersigning the service contract with UNEP/UNON, the consultant certifies that she/he has not been associated with the design and implementation of the project in any way which may jeopardize her/his independence and impartiality towards project achievements and project partner performance. In addition, the consultant will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

Evaluation Deliverables and Review Procedures

76.   The evaluation consultant will prepare an **inception report** (see Annex 2(a) of ToR for Inception Report outline) containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule.

77.   It is expected that a large portion of the desk review will be conducted during the inception phase. It will be important to acquire a good understanding of the project context, design and process at this stage. The review of design quality will cover the following aspects (see Annex 7 for the detailed project design assessment matrix):

- Strategic relevance of the project;
- Preparation and readiness;
- Financial planning;
- M&E design;
- Complementarity with UNEP strategies and programmes;
- Sustainability considerations and measures planned to promote replication and up-scaling.

78.   The inception report will present a draft, desk-based reconstructed Theory of Change of the project. It is vital to reconstruct the ToC *before* most of the data collection (review of progress reports, in-depth interviews, surveys etc.) is done, because the ToC will define which direct outcomes, drivers and assumptions of the project need to be assessed and measured – based on which indicators – to allow adequate data collection for the evaluation of project effectiveness, likelihood of impact and sustainability.

79. The inception report will also include a stakeholder analysis identifying key stakeholders, networks and channels of communication. This information should be gathered from the project document and discussion with the project team. See annex 2 for template.

80. The evaluation framework will present in further detail the overall evaluation approach. It will specify for each evaluation question under the various criteria what the respective indicators and data sources will be. The evaluation framework should summarize the information available from project documentation against each of the main evaluation parameters. Any gaps in information should be identified and methods for additional data collection, verification and analysis should be specified. Evaluations/reviews of other large assessments can provide ideas about the most appropriate evaluation methods to be used.

81. Effective communication strategies help stakeholders understand the results and use the information for organisational learning and improvement. While the evaluation is expected to result in a comprehensive document, content is not always best shared in a long and detailed report; this is best presented in a synthesised form using any of a variety of creative and innovative methods. The evaluator is encouraged to make use of multimedia formats in the gathering of information e.g. video, photos, sound recordings. Together with the full report, the evaluator will be expected to produce a 2-page summary of key findings and lessons.

82. The inception report will also present a tentative schedule for the overall evaluation process, including a draft programme for the country visit and tentative list of people/institutions to be interviewed.

83. The inception report will be submitted for review and approval by the Evaluation Office before the any further data collection and analysis is undertaken.

84. **The main evaluation report** should be brief (no longer than 40 pages – excluding the executive summary and annexes), to the point and written in plain English. The report will follow the annotated Table of Contents outlined in Annex 2. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

85. **Review of the draft evaluation report**. The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the Project Manager, who will alert the EO in case the report would contain any factual errors. The Evaluation Office will then forward the first draft report to the other project stakeholders for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. 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.

86. The evaluation team will submit the final draft report no later than two weeks after reception of stakeholder comments. The team will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only

partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

87. **Submission of the final evaluation report.** The final report shall be submitted by e-mail to the evaluation manager who will share the report with the Director of the Evaluation Office. The Evaluation Office 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 Evaluation Office web-site (www.unep.org/eou).

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

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

90. At the end of the evaluation process, the Evaluation Office will prepare a Recommendations Implementation Plan in the format of a table to be completed and updated at regular intervals by the Project Manager. After reception of the Recommendations Implementation Plan, the Project Manager is expected to complete it and return it to the EO within one month. (S)he is expected to update the plan every six month until the end of the tracking period. As this is a terminal evaluation, the tracking period for implementation of recommendations will be 18 months, unless it is agreed to make this period shorter or longer as required for realistic implementation of all evaluation recommendations. Tracking points will be every six months after completion of the implementation plan.

Logistical arrangements

91. This Terminal Evaluation will be undertaken by an 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 plan and schedule meetings with stakeholders, organize accommodation and visa for travel, obtain documentary evidence, organize online surveys, and any other logistical matters related to the assignment. The UNEP Project Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultant to conduct the evaluation independently and as efficiently as possible.

Schedule of the evaluation

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

Table 7. Tentative schedule for the evaluation

Milestone	Deadline
Consultant contracted	21 March 2016
Inception Report	15 October
Evaluation Mission – 1 week in Geneva	25-29 April

Zero draft report	20 May 10 December
Draft Report shared with UNEP Project Manager	27 May end of December
Draft Report shared with stakeholders	15 January
Face-to-face in Geneva	
Final Report	24 June – end of January -

Annex 2: Evaluation program

One-to-One interviews

Name	Location	Role	Email
Muhammed Omtola	Environment House, Geneva	Project Officer, SAICM Secretariat	muhammed.omotola@unep.org
Achim Halpaap	Environment House, Geneva	Head of Branch, Chemicals and Health	Achim.HALPAAP@unep.org
Carolyn Vickers	WHO, Geneva	Team Leader, Chemical Safety, WHO	vickersc@who.int
Fatou Keita-Ouane	BRS COPs, Geneva	Former Head of Branch, Chemicals and Health	foufakeita1@gmail.com
Aitziber Echeverria	Environment House, Geneva	QSP Officer, SAICM Secretariat	Aitziber.ECHEVERRIA@unep.org
Brenda Koekkoek	Environment House, Geneva	Project Officer, SAICM Secretariat	Brenda.koekkoek@unep.org
Jacob Duer	Environment House, Geneva	Project Coordinator, SAICM Secretariat	Jacob.DUER@unep.org
Lena Perenius	Environment House, Geneva	Consultant, SAICM Secretariat	
Tatiana Terekhova	BRS COPs, Geneva	Former QSP Officer	tatiana.terekhova@brsmeas.org
Tim Kasten	Skype	Former Head of Branch, Chemicals and Health	Tim.kasten@unep.org
Erika Mattsson	Skype	Finance Officer Chemicals and Health Branch, UNEP	Erika.mattsson@unep.org

On-line Survey

Response rate: 40% (16 of 40)

Name	Role	Email
Mr David Kapindula	Vice-President, SAICM Bureau	dkapindula@zema.org.zm, dkapindula@yahoo.com
Mr Bishwanath Sinh	Vice-President, SAICM Bureau	bsinha92@gmail.com
Mr Szymon Domagalski	Vice-President, SAICM Bureau	sdomagalski@chemikalia.gov.pl
Ms Leticia Carvalho	Vice-President, SAICM Bureau	eticia.carvalho@mma.gov.br
Ms Gertrud Sahle	President, SAICM Bureau	gertrud.sahler@bmub.bund.de
Mr Kouame Kouadio	Regional Focal Point	adrohpango@gmail.com
Mr Heidar Ali Balouji	Regional Focal Point	balouji@yahoo.com
Mr Vladmir Lenev	Regional Focal Point	vladimirlenev@mail.ru
Ms Suzanne Leppinen	Regional Focal Point	suzanne.leppinen@hc-sc.gc.ca
Mr Brian Kohler	International Trade Union Confederation	bkohler@industrial-union.org
Ms Susan Wilburn	Health Care Without Harm	swiburn@hcwh.org
Mr Greg Skelton	International Council of Chemicals Associations	greg_skelton@americanchemistry.com
Mr Joe DeGangi	International POPs Elimination Network	joe@ipen.org
Mr Baogen Gu	FAO, IOMC rep	baogen.gu@fao.org
Mr Pavan Baichoo	ILO, IOMC rep	baichoo@ilo.org
Mr Ajiniyaz Reimov	UNDP, IOMS rep	ajiniyaz.reimov@undp.org
Ms Nalini Sharma	UNEP, IOMS rep	alini.sharma@unep.org
Ms Elsemeike Deboer	UNEP, IOMS rep	science.chemicals@unep.org
Mr Jorge Ocana	UNITAR, IOMS rep	jorge.ocana@unitar.org
Mr Jost Dittkrist	UNITAR, IOMS rep	jost.dittkrist@unitar.org
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Ms Marylene Beau	BRS Secretariat	marylene.beau@brsmeas.org
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Mr David Piper	Former Deputy Head of Chemicals Branch	dp1218@icloud.com
Mr Oliver Wootton	Former consultant, SAICM Secretariat	Oliver.WOOTTON@unitar.org
Mr Cameron Allen	Former QSP Officer, SAICm Secretariat	cameron.allen@abs.gov.au
Mr Ardeshir Zamani	Former finance officer, Chemicals Branch	Ardeshir.Zamani@unep.org
Mr Kaj Madsen	Former UNEP staff engaged in SAICM implementation	kjm@mst.dk
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Mr Marcus Richards	Former Regional Focal Point	mlrids@yahoo.com
Mr Nassereddin Heidari	Former Regional Focal Point	nheidari63@gmail.com
Ms Gabi Eigenmann	Former Regional Focal Point	g.eigenmann@unido.org
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Mr Vilma Morales Quillama	Former Regional Focal Point	vmorales@minam.gob.pe

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Annex 4: Evaluation findings and lessons

Evaluation of the UNEP project Strategic Approach to International Chemicals Management Secretariat SAICM

Results and Lessons Learned *(Sub-title)*

About the Project *(approx. 150 words)*

1.   The SAICM Secretariat was established in 2006 with the primary aim of supporting and facilitating the stakeholders of the voluntary international multi-stakeholder agreement (SAICM) in their mission to implement the goals of SAICM as laid out in the Dubai Declaration. This mandate comprised two distinct functions. Firstly, to facilitate and coordinate engagement between the stakeholders and to enable them to have access to information relevant to delivering on the SAICM agenda. Secondly, to manage the QSP projects aimed at building capacity and enabling countries to take forward the SAICM agenda.

2.   The SAICM Secretariat was initially designed to run from 2006-2009. The implementation period was extended in 2009 to run until 2013 and extended again to run until 2015. The primary stakeholders during 2006-2015 were government representatives tasked with the responsibility for implementation in their countries. In keeping with its multi-stakeholder mandate, NGOs represented another stakeholder group – civil society organisations, labour (trade unions) and health groups. Other stakeholder groups were UN agencies, donor governments and the chemical producing industry.

3.   The Secretariat was located within the Chemicals and Health Branch of UNEP, based in Geneva and subject to the financial and management systems of UNEP and the Branch.

4.   The scope of work of the Secretariat covered all five regions – Africa, the Asia-Pacific, Latin America and the Caribbean, Central and Eastern Europe and Western Europe and Others.

5.   The agreed budget allocated to the Secretariat to deliver on its mandated functions amounted to US 58,479,038 over the 10 year period (2006-2015).

6.   The evaluation was carried out over March to October 2017.

Relevance *(approx. 100 words)*

7.   The creation of SAICM and the Secretariat and its goal of promoting the sound management of chemicals and hazardous wastes through their lifecycle emerged directly from the Agenda 21 and the Johannesburg Plan of Implementation.

8.   The Dubai Declaration on International Chemicals Management, made by representative from 125 countries and a wide-range of intergovernmental, non-government and industry representatives, launched SAICM with a focus on five internationally agreed priority areas for the sound management of chemicals: risk reduction knowledge and information; governance; capacity-building and technical cooperation illegal international traffic.

9.   The aims of the Secretariat are well aligned with the Bali Strategic Plan to strengthen capacities of governments through its mandate to manage the QSP projects.

Performance *(approx. 150 words)*

10.   The most visible success that the Secretariat has had over the ten year period was the effective delivery of Conference – in 2009 (ICCM2), 2012 (ICCM3) and 2015 (ICCM4). These were highly successful international conferences with several hundred participants from many countries and organisations. The role of the Secretariat in organising these meetings, preparing documents, responsible for the logistics and sharing outputs with participants post-conference, was central to their success. The outcome of these efforts has been to provide technical and policy expertise to national delegations participating in these events. However, what is less clear is the success in sharing this expertise and knowledge at the national level.

11.   Performance in managing the QSP programme was mixed. Whilst most approved projects were implemented, there were delays in issuing contracts and funds, and delays in completion of many. Nevertheless, the QSP outcome of capacity-building was realised in many projects.

Factors Effecting Performance *(approx. 100 words)*

12.   The most significant factor was the chronic shortfall in funding from the Secretariat staff posts and related activities over the entire period. For some years this shortfall amounted to close to 50% of agreed budgets. Transfers from donors of committed funds for the QSP projects delayed implementation of QSP projects.

13.   Administrative and management systems within UNEP delayed issuing of contracts for staff and projects. The limited capacity of the Chemicals and Health Branch finance office to manage such significant flows of funds contributed to delays in disbursement of funds.

14.   HR issues within the Chemicals and Health Branch together with the withdrawal of the WHO-funded Secretariat staff position also affected the performance of the Secretariat.

Key Lessons Learned *(approx. 150 words)*
15.   Human rights and gender equity will not be adequately addressed without a high political priority to address these issues. In terms of programme design human rights and gender-equity based organisations need to be included in steering groups, decision-making and oversight bodies of such programmes.

16.   If resources are not forthcoming for budgeted activities the programme is unlikely to deliver on its objectives. A shortfall in budgeted resources requires adaptive management, scaling back project objectives and/ or redesigning the programme, to ensure objectives are realistic and feasible given reduced budget.

17.   Institutions responsible for hosting complex international programmes need to undertake comprehensive reviews of management, contracting, financial and human resources systems, identifying and addressing capacity constraints before embarking on such programmes

18.   Bodies responsible for oversight and selection of project proposals, review of progress and financial accountability should not be beneficiaries of project funds.

19.   Programmes with capacity building and catalytic enabling roles as objectives need to have clearly articulated post-project pathways in project design.

20.   Generating research, information and guidelines alone will not lead to effective uptake by stakeholders. As equally important to the production of knowledge is the strategies for enabling the uptake of such knowledge.

Annex 5: CV of Consultant

Robert Nurick

Experience: 25 years experience in international development with a central focus on impact evaluation, training and capacity building; research management.

1995   PhD, Imperial College, University of London
1987   MSc with Distinction, Imperial College, University of London
1986   BSc, Kings College, University of London

Countries of Work Experience:
Australia, Bangladesh, Botswana, Cambodia, Ethiopia, Ghana, Honduras, India, Indonesia, Kenya, Nepal, Russia, South Africa, Thailand, Turkey, Uganda, UK, Vietnam, Zambia

Employment:

2013-present: Executive Director, Migrating out of Poverty Research Consortium, University of Sussex (migratingoutofpoverty.dfid.gov.uk)

1997-2016: Director, Development Focus, Brighton UK

2010-2012:   Director of Teaching and Alumni Relations, Institute of Development Studies, University of Sussex, Falmer, Brighton (ids.ac.uk)

2008-2010   Senior lecturer, Coordinator of Teaching, Institute of Environmental Studies, University of New South Wales, Sydney, Australia

1991-1997   Lecturer in Development and Environmental Economics, University of Sussex

Annex 6: Online survey and one-to-one interview guide

Online survey

See accompanying file: onlinesurvey.pdf

One-to-one interview guide

- How effective was the project in servicing the implementation of SAICM?

- How effective was the project in providing adequate secretariat support to the ICCM and subsidiary bodies as well as to SAICM stakeholders to increasingly implement sound management of chemicals?

- How effective has the project been in increasing knowledge and awareness of sound management of chemicals including actions on emerging policy issues and other issues of concern?

- How effective were the regional policy discussions facilitated by the project in supporting implementation of SAICM?

- Based on the mandate of the SAICM secretariat, what are the strengths and weaknesses and gaps of the secretariat function in supporting the implementation of SAICM?

- What more could/ should the secretariat do to service the implementation of SAICM?

- Has the process of management of the QSP by the project been effective in advancing enabling capacity building and implementation of activities for the implementation of SAICM objectives? How?

- What are the achievements and the challenges regarding SAICM institutional arrangements in terms of the secretariat function within the voluntary multi-sectoral and multi-stakeholder approach?

Annex 7: Stakeholder Analysis

1. This Annex presents the stakeholder analysis presented in the Inception Report. It has been modified in the light of the learning from this evaluation.[174]

2. To date, no documentary evidence has been provided of stakeholder analysis and mapping in the design stage of the project. The following analysis has been inferred from the documentation available to the consultant and interviews with stakeholders.

Table 2. Project stakeholder analysis

	UN agencies: Chemicals & Health Branch/ BRS Secretariat/ IOMC	WEOG	SAICM Bureau	SAICM Regional & National Focal points	Civil Society	Chemical producing industry
Expectations of project	To contribute to reputation of UNEP; to support the BRS Secretariat; a conduit for accessing funding for chemical-related projects	To provide support and information to developing countries to deliver on SAICM	Facilitate implementation of SAICM	Support regions and nations to facilitate implementation of SAICM	To facilitate civil society inclusion into SAICM agenda	Facilitate implementation of SAICM
Weaknesses	Lack of capacity & resources; Lack of authority; competing priorities	Shortfalls in disbursement of committed funding for Secretariat ; lack of consistency of support across WEOG countries.	Lack of political will Lack of resources & capacity Conflicting agendas Unequal voices	Differing levels of capacity/ resources to engage with Secretariat organized events and to promote SAICM implementation in country.	Lack of capacity to engage fully in SAICM	Competing priorities
Potential	Role of honest broker Enable multi-stakeholder communication & collaboration ; strengthen capacity of Secretariat	Champion for SAICM in WEOG and IGOs	Political buy in for Secretariat	Oversee and promote SAICM implementation in country and region	To enable countries to deliver on SAICM agenda for marginalised and vulnerable groups	Provide expertise and funding
Positive impact	Facilitate delivery of SAICM agenda ; strengthen capacity in developing countries for SAICM implementation	Provide reliable and adequate funding stream; shape international agenda on chemicals management	Provide funding Host meetings; provide strategic advice and guidance	Mentors and champions for SAICM implementation in country; provide relevant information at national level.	To provide civil society perspectives to stakeholders	Chemicals produced are safe
Negative impact	Lack of effective support for Secretariat; withdrawal of support; delays in SAICM implementation	Competing agendas; inability to deliver on committments	Excess demands on Secretariat given existing staffing levels and resources	Emphasis on environment sector	Potential to create divison between stakeholders	Potential to create divison between stakeholders

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[174] Approach taken from UNEP's Programme Manual (2013), p. 29