

## Evaluation Office of UN Environment

# Terminal Evaluation of the UN Environment Project “Support to Implementation of the Chemicals and Waste Multilateral Environmental Agreements (Basel, Rotterdam and Stockholm Conventions)”

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November 2017



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

For further information on this report, please contact:

Evaluation Office of UN Environment  
P. O. Box 30552-00100 GPO  
Nairobi Kenya  
Tel: (254-20) 762 3389  
Email: [chief.eou@unep.org](mailto:chief.eou@unep.org)

Support to implementation of the chemicals and waste MEAs (Basel, Rotterdam and Stockholm Conventions)

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### **Evaluation consultant**

Teresa Amador

Director

Ecosphere consultants in environment and development - Lisbon, Portugal

[t.amador@ecosphere-consult.com](mailto:t.amador@ecosphere-consult.com)

### **Evaluation Office of UN Environment**

Pauline Marima – Evaluation Manager

Mela Shah – Evaluation Programme Assistant

## ABOUT THE EVALUATION<sup>1</sup>

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**Joint Evaluation:** No

**Report Language(s):** English

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**Brief Description:** This report is a terminal evaluation of a UN Environment project implemented between December 2014 and December 2016. The project was designed to respond to Parties requests for assistance in the implementation of their obligations under the chemicals and waste Multilateral Environment Agreements (MEAs), i.e. the Basel, Rotterdam and Stockholm (BRS) Conventions and to assist the BRS Secretariat in fulfilling its mandate. Its main objective was to increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate.

The evaluation sought to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote learning, feedback, and knowledge sharing through results and lessons learned among UN Environment, the BRS Secretariat, the Stockholm Convention Regional Centre for Capacity-Building and the Transfer of Technology in Asia and the Pacific (SCRCAP) in partnership<sup>9</sup> with China-ASEAN Environmental Cooperation Centre (CAEC).

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

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<sup>1</sup> This data is used to aid the internet search of this report on the Evaluation Office of UN Environment Website

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## List of Abbreviations and Acronyms

ASEAN	Association of Southeast Asian Nations
BAT	Best available techniques
BCRC/SCRCAP	Basel Convention Regional Center/Stockholm Convention Regional Center for Capacity Building and the Transfer of Technology in the Asia-Pacific
BCCC/SCRC	Basel Convention Coordination Centre and Stockholm Convention Regional Centre for Latin America and the Caribbean Region
BEP	Best environmental practices
BRS	Basel, Rotterdam and Stockholm
CEITs	Countries with Economies in Transition
CAEC	China-ASEAN Environmental Cooperation Centre
CoP	Conference of the Parties
C&W	Chemicals and Waste Branch (of UNEP)
DCPI	Division of Communication and Public Information (of UNEP)
DEWA	Division of Early Warning and Assessment (of UNEP)
DTIE	Division of Technology, Industry and Economics (C&W Branch of UNEP)
ESM	Environmentally Sound Management
EOU	Evaluation Office of UN Environment
GEF	Global Environment Facility
GMP	Global Monitoring Plan for POPs
HCB	Hexachlorobenzene
ICA	International Cooperation Agreement
IOMC	Inter-organisation programme for the Sound Management of Chemicals
LDCs	Least Developed Countries
M&E	Monitoring and Evaluation
MEAs	Multilateral Environmental Agreements
MTS	Medium Term Strategy
NIP(s)	National Implementation Plan(s)
OEWOG	Open-Ended Working Group of the Basel Convention
PBBs	Polybrominated biphenyls
PBDE	Polybrominated diphenyl ethers
PCB	Polychlorinated biphenyls
PCDD	Polychlorinated dibenzo-p-dioxins
PCDF	Polychlorinated dibenzofurans
PCTs	Polychlorinated terphenyls
PeCBz	Pentachlorobenzene
PEN	Polychlorinated Biphenyls Elimination Network

PIMS	Programme Information and Management System
POPRC	POPs Review Committee
POPs	Persistent Organic Pollutants
PoW	Programme of Work
ProDoc	Project document
PSC	Programme Support Costs
PUF	Polyurethane foam
QAS	Quality Assurance Section (of UNEP)
RECETOX	Research Centre for Toxic Compounds in the Environment
ROAP	Regional Office for Asia and Pacific
ROTI	Review of Outcomes to Impact
SAICM	Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goals
SIDS	Small Island Developing States
SSFA	Small Scale Funding Agreement
TOC	Theory of Change
UNDP	United Nations Development Programme
UNEA	United Nations Environment Assembly (of UNEP)
UNEP	United Nations Environment Programme
UNIDO	United Nations Industrial Development Organization
UNITAR	United Nations Institute for Training and Research
UNDP	United National Development Programme
WEOG	Western European and Others Group
WHO	World Health Organization



## Project Identification Table

Table 1: Project Summary as updated for the Terminal Evaluation

<b>UNEP Sub-programme</b>	Chemicals and Waste	<b>UNEP Expected Accomplishment(s)</b>	EA b) i
<b>UNEP approval date</b>	22/12/2014	<b>UNEP PoW Output(s)</b>	2014-2015 & 2016-2017
<b>Implementing Agency</b>	UNEP	<b>Project Type:</b>	Global with emphasis on Asia-Pacific region for activity 4.2
<b>Executing Agency</b>	UNEP BCRC/SCRCAP	<b>Countries<sup>2</sup></b>	4.1 Countries updating their NIPs, all expected to use the project tools 4.2 China, Cambodia, Laos, Pakistan, Sri Lanka and Mongolia
<b>Actual start date</b>	22/12/2014	<b>Actual or Expected completion date</b>	31/12/2016
<b>Total Cost</b>	<b>ProDoc in Dec 2014:</b> 2,235,165 USD (inc PSC) <b>Project Revision (reduction) in Jun 2016:</b> 877,639 USD (inc PSC)	<b>Date of financial closure</b>	Project operational closure: 31 Dec 2016. Financial closure (for reconciliation): 30 Jun 2017.
<b>No. of revisions</b>	1	<b>Date of last Revision</b>	06/06/2016
<b>Total co-financing realized</b>	100% salary cost for 17 months (UNEP EF): 323,000 USD	<b>Actual expenditures reported<sup>3</sup></b>	<b>Swiss:</b> 42,173 USD (out of contribution of 48,971 USD) <b>Chinese:</b> 186,000 USD (out of 300,000 USD) <b>Norway:</b> 73,200 USD (fully spent) <b>SIDA:</b> 92,838 USD (fully spent)
<b>First Disbursement</b>	Switzerland contribution of 42,173 USD in Jan 2015, the rest came in Feb 2015.	<b>Actual expenditures entered in UMOJA</b>	<b>Swiss contribution:</b> 42,173 USD (out of contribution of 48,971 USD) <b>Chinese:</b> 186,000 USD (out of 300,000 USD) <b>Norway:</b> 73,200 USD (fully spent) <b>SIDA:</b> 92,838 USD (fully spent)
<b>Mid-term review/ evaluation</b>	N/A	<b>Terminal Evaluation</b>	March 2017

<sup>2</sup> 39 countries are identified as direct beneficiaries for activity 4.1. It should be noted the lack of consistency between the list provided in the ProDoc (which refers to Marshall Islands) and the list under PIMS (which refers to Mongolia).

<sup>3</sup> Actual expenditures are project activity expenditures, without the salary costs. The co-financing in the form of EF funded staff salary costs are not to be mixed with that amount.

## Executive Summary

### A. Introduction

1. The project was designed to respond to Parties requests for assistance in the implementation of their obligations under the chemicals and waste Multilateral Environment Agreements (MEAs), i.e. the Basel, Rotterdam and Stockholm (BRS) Conventions and to assist the BRS Secretariat in fulfilling its mandate. The primary MEA relevant to this project is the Stockholm Convention.
2. The project aims to achieve the following outcomes: *increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate.* An additional outcome was added during the project revision with regard to Stakeholders awareness and training in the use of the technical and scientific tools.
3. The project was approved on 22th of December 2014 and its implementation started in December 2014 to be completed in February 2016 (15 months implementation). In June 2016 the project was extended to December 2016 with no increase in the budget.
4. A terminal evaluation is an important component that takes place after project completion. The major objective of this Terminal Evaluation is to assess project performance, determine its outcomes and impacts as well as their sustainability, and identify valuable lessons learnt through the process of implementing the project.

### B. Evaluation findings

5. The strategic relevance of the project objectives and implementation are consistent with global, regional and national environmental issues and needs. The project is aligned with the UNEP mandate, its Medium Term Strategy (2014-2017) and relevant Program of Work, as well as the Bali Strategic Plan and the Sustainable Development Goals. However the project is not relevant to the overall achievements of the Rotterdam Convention and has a partial relevance to the overall achievements of the Basel Convention Rated as Moderately Satisfactory.
6. The achievement of *project outputs* has been **Satisfactory**. Outputs were achieved, with the exception of some meetings, publication of tools and awareness raising materials /training derived from the new output added in the project revision.
7. *Efficiency*: Considering the limited human and financial resources the project team made a tremendous effort to deliver on their mandate by applying a number of cost effective measures. The main effect of the delay in implementation was the extension of the execution period to complete the project outputs without any budget implication. However at the end of the extension period the project was still failing to achieve all its milestones. Rates as **Moderately Satisfactory**.
8. *Effectiveness - Attainment of Objectives and Planned Results*: for the purpose of the evaluation and the Theory of Change, the original project outcomes were reformulated into the following:
  - Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDEs and their waste.
  - The BRS Secretariat enhances its capacity in fulfilling its mandate.
  - Stakeholders are aware and trained in the use of scientific and technical tools.
9. *The achievement of direct outcomes has been rated Moderately Satisfactory*- the project has generally contributed to increase the capacities of the Parties to the Stockholm Convention and partially to the Basel Convention to meet some of their obligations, namely with regard to unintentional POPs, DDT, PCB and PBDE and their waste and to build their national capacities for planning and execution of their NIPs. The project has also assisted the BRS Secretariat in fulfilling its mandate and raised awareness among stakeholders. However the outcomes have only been partially achieved - the project has not contributed to supporting the

implementation of the Rotterdam Convention neither to assist the BRS Secretariat in fulfilling its mandate with regard to this Convention (and has limited contributions to the Basel Convention).

10. *The likelihood of achievement of project impact* (transition among countries to the sound management of chemicals, with a view to minimizing impacts on the environment and human health) is examined using the Review of Outcomes to Impact (ROtI) analysis and the reconstructed Theory of Change. A summary of the results and ratings of the ROtI can be found in Table 9.

11. *Sustainability and replication*: The beneficiary countries are in their sovereignty all Parties to the Stockholm Convention. The project activities are thus supported by firm political commitment. However the level of ownership by the main beneficiaries identified during the evaluation is not sufficient to allow for the project to be sustained. The continuation of the project outcomes does not seem sustained mostly due to lack of financial resources, by countries themselves or relevant funding institution. No evidence was found that the project has created a foundation towards institutional and legal strengthening. In spite of its substantial potential for replication (example the work undertaken by UNEP in its leading role of the PEN has been used by the Effectiveness Evaluation Committee under the Stockholm Convention) no evidence was found that the project had catalysed behavioural changes by the relevant stakeholders. The overall rating for sustainability and replication is **Moderately Unsatisfactory**.

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

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

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

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

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
<b>A. Strategic relevance</b>	The project is aligned with the UNEP mandate, its MTS and relevant PoW, as well as the Bali Strategic Plan and the SDG. The project is consistent with environmental issues and needs and addresses south-south cooperation. It generally reflects gender balance and indigenous peoples concerns. However the project is not relevant to the overall	<b>MS</b>	EOU concurs. The project's objective <i>(to increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate)</i> is considered strategically relevant to UNEP mandate and priorities, as well as to regional/national environmental priorities, however its activities, outputs and outcomes mainly target the Stockholm Convention, with no clear links to the implementation of the Basel and Rotterdam	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	achievements of the Rotterdam Convention and has a partial and indirect relevance to the overall achievements of the Basel Convention (activities 1.2 and 1.3).		conventions	
<b>B. Achievement of outputs</b>	Outputs were achieved with the exception of some meetings, publication of tools and awareness raising materials /training derived from the new output added in the project revision.	<b>S</b>	<p>Outputs deemed most critical to the achievement of expected outcomes have been considered in this rating. It is acknowledged that at the time of the evaluation, output delivery was at varying levels of completion and utility, even following the project's extension. It is also acknowledged that in some cases, planned outputs were eventually completed following the operational closure of the project. Issues of timeliness of outputs may however not have adverse effects on their utility and contribution to the project's overall objective due to the continuous nature of the Convention.</p> <p>The Project team reports that the endorsement of outputs and activities happened during the BRS triple COPs in April-May 2017. As no documented evidence has been made available to the EOU to verify this it is not possible to make any in-depth assessment of their utility to the intended users.</p>	<b>MS</b>
<b>C. Effectiveness: Attainment of project objectives and results</b>		<b>MU</b>	Based on the comments below.	<b>MS</b>
1. Achievement of direct outcomes	The tools and services provided by the project have the potential to increase the capacities of the Parties mainly to the Stockholm Convention and partially to the Basel Convention to meet some of their obligations, namely with regard to: unintentional POPs, DDT, PCB and PBDE and their waste and to build their national capacities for planning and execution of their NIPs (Stockholm Convention); NIP guidance and the	<b>MS</b>	EOU concurs with the evaluator. It is however acknowledged that following the evaluation period there have been additional outputs were delivered post evaluation. It is noted that some of the outputs delivered post evaluation may have a bearing on the expected outcomes related to the Based and the Rotterdam conventions e.g. the chapter on waste management in the NIP guidance and the Dioxin/Furan Toolkit include POPs also listed under the Basel Convention. The outcomes achieved may have only indirect links to the beneficiaries of the Rotterdam Convention. No evidence has been provided to the EOU to suggest otherwise.	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	<p>Dioxin/Furan Toolkit provided a chapter on waste management and the POPs being addresses by this guidance (Basel Convention) The project has also assisted the BRS Secretariat in fulfilling its mandate and raised awareness among stakeholders with regard to these two Conventions. However the outcomes have only been partially achieved - the project has not contributed to enhancing the capacities of the Parties to the Rotterdam Convention neither to directly assist the BRS Secretariat in fulfilling its mandate with regard to this Convention.</p>		<p>As mentioned above, due to the timing of some of the outputs (post project) it is not possible at this time to provide an in-depth assessment of the direct outcomes achieved through their use, or of the level of contribution to the achievement of the project's main objective and intended impact.</p>	
2. Likelihood of impact	<p>The project's intended outcomes were only partially delivered – the long-term impact requires country ownership and a global involvement of countries.</p>	<b>Moderately Unlikely</b>	<p>The intended Impact (long-term) has been formulated as <i>the transition among countries to the sound management of chemicals</i>. For this to occur, certain transitional conditions need to be in place: stakeholders <b>increasingly use the scientific and technical tools/services</b> needed to implement sound POPs management and their waste; and lessons learned and good practices are fostered and replicated to other chemicals/regions.</p> <p>At the time of the evaluation, immediate outcomes were only partially achieved, as were the intermediate states. However, drivers to support transition to impact do hold to some extent, given the continuous nature of the intervention and the Conventions themselves. Some key assumptions needed to transition outcomes to impact (e.g. commitment by Parties, importance of POPS in the international and national agenda) are also likely to hold. With these considerations, EOU considers the project has at the least a moderate likelihood to achieve impact.</p>	<b>ML</b>
3. Achievement of project goal and planned objectives	<p>Several factors have affected the project intervention and its capacity to clearly identify "next steps" for implementation- the</p>	<b>MU</b>	<p>Shortcomings in delivery already mentioned in the findings point to the fact that without follow-on project(s) that build on the achievements of this initiative, achievement of its planned objectives may not materialise. In</p>	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	<p>project had significant shortcomings in design, planning and implementation and did not contribute to overall achievement of the Rotterdam Convention objectives'. Nevertheless the project did deliver the technical and scientific tools to assist Parties to the Stockholm Convention in meeting some of their obligations and the services to assist the BRS Secretariat in fulfilling its mandate with regard to the Stockholm Convention's Parties and to some degree to the Parties to the Basel Convention.</p>		<p>addition, the findings imply that the project fell short delivering on its mandate to support Parties to the Rotterdam and Basel convention.</p> <p>It is expected that with the post-project completion of outputs and related direct outcomes, Parties may eventually benefit from the dissemination and use of the key scientific information to help them achieve sound management of chemicals and waste.</p> <p>EOU concurs with the consultant's assessment on this criterion in as far as what was achieved during the project's lifetime, but because the objective is neither set too high nor very definitively (<i>i.e. increasing capacities</i>), it is probable that the goal will eventually be achieved through use of the technical and scientific tools provided by the project.</p>	
<b>D. Sustainability and replication</b>		<b>MU</b>	<p>Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. It is regarded quite highly and the overall rating will be the lowest rating among the three sub-categories</p>	<b>ML</b>
1. Socio-political	<p>Political sustainability is anchored in the fact that the beneficiary countries are in their sovereignty all Parties to the Stockholm Convention. However the level of ownership by the main beneficiaries identified during the evaluation is not sufficient to allow for the project to be sustained. On the other hand the majority of the key partners showed commitment to continue contributing to some of the outputs of the project.</p>	<b>ML</b>	<p>The sustainability of project outcomes has a high degree of dependency on social/political factors. It may be considered that project participants, being Parties to these Conventions, provide some assurance of country-level ownership, interest and commitment to take the project achievements forwards. It also noted that, during the triple BRS COPS held in April 2017 (post-evaluation), there was an endorsement of the projects outputs by the Parties. This could imply that there is a fairly good level of interest among the beneficiary governments as the key stakeholders.</p>	<b>L</b>
2. Financial	<p>Lack of financial resources by countries themselves or relevant funding institution affect the financial sustainability of the project which to be sustained will require the</p>	<b>ML</b>	<p>The following outcomes identified by the evaluation are considered to be dependent on a continuous flow of resources:</p> <ul style="list-style-type: none"> <li>Parties to the Stockholm Convention increase their capacity to plan and</li> </ul>	<b>ML</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	development of new GEF projects. Implementation of GEF project by countries through UNEP assistance is an important element leveraging funding. UNEP has already submitted a few projects to GEF in support of Basel and Stockholm Conventions.		<p>execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDE and their waste.</p> <ul style="list-style-type: none"> <li>• The BRS Secretariat enhances its capacity in fulfilling its mandate</li> <li>• Stakeholders are aware and trained in the use of scientific and technical tools</li> </ul> <p>Financial sustainability is particularly relevant where the direct outcomes of a project have been extended into a future project phase and this has been implied by the Project team who have indicated that project outcomes can be sustained through the development of new GEF; and that UNEP had already submitted to GEF on reporting and updating of NIPs and POPs in open applications to support Basel and Stockholm Conventions. Unfortunately no supporting data has been made available to the evaluation to verify the likelihood that project outcomes will indeed continue to receive financial inputs. However, given the continuous nature of the intervention, we can speculate that financial sustainability is at least Moderately Likely</p>	
3. Institutional framework	No evidence was found that the project has created a foundation towards institutional and legal strengthening.	<b>MU</b>	The sustainability of project outcomes have a high dependency on institutional support. Here the main consideration is whether institutional aspects e.g. governance structures and processes, policies, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project's outcomes after project closure. In consideration of the project's overall objective ( <i>to increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate</i> ) the question is then to what extent the country-level institutional and policy structures are able to sustain the use of the scientific and technical tools produced by the project in meeting their obligations to the three conventions. Given the apparent endorsement of the project's outputs at the triple BRS COPs in 2017, EOU considers the rating for this	<b>ML</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			criterion to be at Moderately Likely.	
4. Environmental	Generally, there are no project outputs that would have a negative impact on the environment if sustained. Up-scaling of the project can have long-term positive benefits on the environment, especially with the increase of stakeholders' awareness and training. Whether the tools developed by the project have contributed to the NIPs updating process of all the 39 countries identified as direct beneficiaries of activity 4.1 remains to be demonstrated.	<b>ML</b>	The EOU no longer requires a rating for this criterion in the evaluation of projects/programmes.	
5. Catalytic role and replication	The project had a number of strong catalytic elements and potential for replication. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed behavioural changes by the relevant stakeholders.	<b>MU</b>	Catalytic effect and replicability has been demonstrated in the continued use of document, tools and materials developed by the project by some countries in their implementation of the Stockholm Convention. According to the Project team, catalytic role is also evidenced by some follow up projects, such as the Afro II project in SADC countries to find alternatives to DDT implemented by UNEP, based on the roadmap prepared by UNEP and welcomed at Stockholm Convention COP 7 in May 2017 and a project for "Disposal of PCB oils contained in transformers and disposal of capacitors containing PCB in Southern Africa PCB SADC" in 2016. Countries are also expected to continue using the project's "Dioxin/ Furan Toolkit" when updating their NIPS.	<b>S</b>
<b>E. Efficiency</b>	Given the limited human and financial resources available the project has achieved a considerable number of results however at the end of the extension period the project was yet to achieve all its milestones.	<b>MS</b>	EOU concurs with the rating given by the evaluator, while adding some later observations. The project experienced implementation delays and a no-cost extension. Unfortunately not all the tools and materials delivered could be used during the project's lifespan. Output delivery and subsequent outcome achievement was naturally affected during the duration of the project. According to the project manager, the project has since (post evaluation) finalized all the outputs	<b>MS</b>



Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			and deliverables that it was expected to do. This notwithstanding, the outputs remain relevant to continue the work on account of the continuous nature of the intervention. The project team also indicates (as mentioned above) that the project's outputs were endorsed by Parties at the triple BRS COPs held in April 2017. Nevertheless no substantiating evidence has been provided to the EOU in this regard.	
<b>F. Factors affecting project performance</b>				
1. Preparation and readiness	The project was generally well designed with stakeholder identified with their roles but not consulted during the project design. Not enough risk analysis was done at design phase.	<b>MS</b>	EOU concurs. In addition, the greater focus laid on Stockholm Convention as compared to the Basel and Rotterdam conventions in the project's implementation is said to have been influenced by funding. This should have been a sufficient basis for redefining the logical framework (intervention logic) of the project at an earlier stage.	<b>MS</b>
2. Project implementation and management	The project was implemented under a very light management structure defined in the ProDoc. The transition period between Project Managers affected its timeliness but the management was generally adaptive. However the rules on M&E, which are crucial for implementation, were not followed by the project management.	<b>MU</b>	EOU concurs with the rating.  During the evaluation there was a notable difficulty in obtaining documented evidence to support the assessment of this criterion. This may be related to the low human resource allocated to the project. Progress reporting in PIMS mainly comprised of brief entries on project highlights. There is limited documented evidence on results based project monitoring, adaptive management, how the project has dealt with known problems, risks or challenges, etc. That being said however, the evaluation findings do indicate that there were efforts made by the Project Team to promote stakeholder ownership and engage them in the project process, and that the Project Manager promoted information exchange and through varied channels.	<b>MU</b>
3. Stakeholders participation, cooperation and partnership	A multi-stakeholders approach has been used in the development of some of the project outputs. Not all the partners were aware of the project and their involvement during the implementation phase	<b>MS</b>	EOU concurs with the rating.  The assessment considers the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	was less active then envisaged in the ProDoc (see Table 5).		exchanging learning and expertise	
4. Communication and public awareness	Communication and awareness rising was a major objective of the project strengthened during its review. The project made use of pre-existing networks in developing awareness raising materials.	<b>MS</b>	EOU notes that during implementation, communication was augmented by informal correspondences by means of email and telephone, to interested Parties seeking support in the project activities and processes. Unfortunately this is not easily verified but it can be assumed that communication has been an ongoing activity.  The Project team has also informed the EOU following the evaluation period, its website has since updated scientific information on relevant chemicals (as well as SDGs) in line with the project's objective.	<b>S</b>
5. Country ownership and driven-ness	The geographical scope of the project is global. Except for activity 4.2 which has the direct involvement of the beneficiary countries (developing countries and CEITs) ownership was not evident.	<b>U</b>	From the findings presented, it is not evident that the beneficiary countries took a leadership role in strategic guidance of project delivery, advocating for change to achieve higher level results. The evaluator observes (in section No. 3 above) that "not all the partners were aware of the project and their involvement during the implementation phase was less active then envisaged in the Project Document". It must also be reiterated that the results were concentrated more on the Stockholm Convention than the Basel and Rotterdam conventions - though these were included in the project's objective statement.  It is indicated however that Parties endorsed project outputs at the triple BRS convention in 2017 (post-evaluation) and the level of ownership for these outputs is likely to be varied across different countries. One can also presume that there is a <b>general</b> commitment by Parties towards meeting their obligations by using the scientific and technical tools and services provided by the project.	<b>MU</b>
6. Financial planning and management	No financial reports were elaborated during the project implementation (Annex V).	<b>HU</b>	EOU concurs. Lack of access to detailed financial information was a major hindrance to the assessment of this criterion. Based on the evaluation findings no explicit financial expenditure reports were produced during the project implementation. Entries in PIMS (Project	<b>HU</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			Implementation Management System) were insufficient for conducting a suitable assessment.	
7. UNEP supervision and backstopping	Key stakeholders were very satisfied with the level of technical guidance and supervision by Project Manager and in some activities by consultants and partners. Technical expertise was considered one of the main comparative advantages of UNEP. However the lack of project monitoring during its implementation affected the level of project performance and its supervision.	<b>MS</b>	The evaluation considers the supervision and guidance provided by UN Environment to implementing partners and national governments and this has been indicated as having been satisfactory. EOU notes the limitation of human resources and commends the project team for efforts made to provide technical support to Parties during the project's lifespan.  That being said, this criterion goes further to assess the effectiveness of project management with regard to achieving the planned outcomes, supervision by steering group(s), risk management, problem-solving / project adaptation and overall project execution. There was no steering body established or even envisaged to provide leadership towards achieving the planned outcomes. It is not evident what mechanism was in place to support the project team with problem-solving, risk management or adaptive management.	<b>MU</b>
8. Monitoring and evaluation	The rules on Monitoring and Evaluation under Section 6 of the ProDoc were not implemented.	<b>U</b>	At evaluation, no monitoring plan or system was available aside from the Logframe. Although progress/ implementation reports were captured in the Project Implementation Management System (PIMS) every 6 months, the data available is comprised of project highlights and clearly insufficient to make an assessment on how the project tracked its results against the verifiable indicators, or how it responded to risks and challenges (adaptive management). There is no indication that there was a designated officer responsible for results based monitoring, aside from the entries made in PIMS. There were no detailed progress reports made available to the evaluation.	<b>HU</b>
a. M&E Design	A general M&E was designed which included a very general Monitoring Plan, which does not constitute a comprehensive monitoring instrument. A general reference is made to the Evaluation Plan.	<b>MU</b>		
b. Budgeting and funding for M&E activities	Terminal Evaluation clearly costed. No budget for monitoring which is crucial for project implementation.	<b>U</b>		
c. M&E Plan Implementation	The M&E Plan was not implemented. Except for the general reporting under PIMS there was no evidence of any reporting including lack of the mandatory six-monthly reporting. Under PIMS reporting was done by	<b>HU</b>		

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	project outcome and output, which are presented as general descriptions of what was done and which lack analytical value. The information under PIMS was last updated in 31/12/2016.			
<b>Overall project rating</b>		<b>MU</b>	A weighted scheme has been applied to determine an overall score of 3.68 / 6.00 points, which falls under "Moderately Satisfactory" (i.e. between $\geq 3.5 \leq 4.33$ )	<b>MS</b>

### C. Main Conclusions

15. **Given the limited human and financial resources available the project has achieved a considerable number of results.** To this success many factors have contributed including: the level of technical expertise and commitment of the staff involved; the partnership agreements (for instance on PCBs, UNEP W&C does not have the capacity to go into "open application" but partners are assisting in screening analysis in PCBs open applications); the fact that the project built upon pre-existing networks (the Global Alliance on DDT and PEN); and the synergies with the Basel Convention (the "Factsheets for POPs Waste Destruction Technology" and the "Technical Guidelines for Unintentional POPs"). The trust of technical/financial partners such as Biovision, a foundation that works towards DDT phase out and alternatives has to be stressed. They have provided funds to work and are willing to continue doing so for the development of national roadmaps in Uganda and Zambia, using the global roadmap development by this project as the model.

16. **The collaboration with the BRS Secretariat** has been reported by the BRS Secretariat as very positive based on the increasing level of cooperation to which the project has contributed, and the quality of the work produced by UNEP/DTIE (paragraph 96 and 100). In spite of the challenges with the transition of the leadership and administrative support from the BRS Secretariat to UNEP/DTIE on the Global Alliance on DDT and on PEN the partners contacted during the evaluation are presently satisfied with the leadership of UNEP/DTIE and its modus operandi.

17. **Some activities are already being replicated** – for example the DDT strategic multi-stakeholders approach has been very useful to PCBs and can be replicated to other chemicals. There is also clear evidence of the potential for scaling-up of the Environmental Sound Management on PBDE to other countries within the Asia and Pacific region and beyond (paragraphs 127, 127 and 128). Though no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed changes by the relevant stakeholders of capacities developed, it needs to be recognized that this changes take time and imply long internal processes at national level.

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

19. **The main challenges in the project performance are:** the nature of the project itself - implementing a global project is very demanding and using a multi-stakeholders approach requires involvement of many partners; the time required to involve the primary beneficiaries (Parties to the Stockholm Convention); the

cumbersome procurement procedures which resulted in lack of sufficient human resources; the long transition period between the project managers and changes in staff composition which affected the institutional memory; the transition to new management software UMOJA which caused several delays in particular with regard to payment to third Parties.

20. **Another shortcoming was the effective level of involvement of key stakeholders.** The project design puts a strong emphasis on adopting a multi-stakeholder approach, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them (Table 5). Though stakeholders were not involved in the conceptualization and design of the project, some reported having been consulted during the implementation phase mainly with regard to information gathering and communication. It should be noted that during the evaluation several of the key stakeholders identified by the project team were either unaware of the project or expressly indicated not having been involved. Stakeholders, such as IGOs and industry have indicated their willingness to be part of the PEN or the DDT Global Alliance. A continuous increased in memberships of these two networks has happened in the last years.

21. **UNEP Regional Office for Asia and Pacific (ROAP)** was identified in the ProDoc as being involved in the project mainly to serve as a strategic and local partner in the region to feed country needs into the project and beyond and to diffuse results as appropriate. However ROAP was not involved in the design, planning, decision-making implementation of the project (paragraph 209).

22. Due to the nature and dimension of the project and the fact that it included different activities each component of the project involved different external partners. **This constitutes a challenge requiring partnership agreements** (e.g. paragraphs 111 and 118) throughout the project implementation, which take time to process and implement. Moreover many changes occurred during the project implementation including on procurement, reporting through the new system (UMOJA), and donors priorities which have shifted from POPs to mercury with the developments under the Minamata Convention. Time was required to adjust and adapt.

23. With the strengthening of the overarching component of the project on **stakeholder's awareness raising and training** (paragraphs 129- 133) Parties have increased their capacity to meet their obligations under the Stockholm Convention by using the scientific and technical knowledge, tools and services provided by the project. There is however no evidence that the project results and being utilised by policy makers to transition to sound chemicals management nor that the project is contributing to behaviour change within governments, industries and general public in the targeted countries, which is likely to affect the achievement of the project's overall objective.

24. The project is based on indirect assistance to the beneficiary countries with the ultimate goal of improving the NIPs update and promoting a transition to sound chemicals management at the global level. Some of the primary beneficiaries of the project have been engaged in workshops but except for the *Final Inventory Report for Unintentional Produced POPs* in Cambodia (paragraph 123) no evidence was found of **direct technical assistance being provided matching the countries' needs.**

25. The Report of 2<sup>nd</sup> and last meetings of the Effectiveness Evaluation Committee (paragraph 120) held in October 2016 in Geneva concludes that "measures to control PCB are lacking in a number of countries, in particular in developing country Parties and Parties with economies in transition" and urges Parties to "developing, enforcing and/or strengthening national legislation and/or regulations implementing the Convention that are appropriate for both industrial chemicals and pesticide". **Developing country Parties and Parties with economies in transition need assistance in this process.**

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

#### D. Lessons learned

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

28. **The geographical scope of the project is global and evidence of its results might not be seen during its but the coverage should be better linked with the activities developed:** the global nature of the project is evident from the type of tools and services provided in accordance with the mandate of UNEP's C&W of providing tools that all countries, including developed countries, could use when addressing priority chemicals. In assisting developing countries and CEITs more emphasis should be given by UNEP's C&W Branch on networking with UNEP Regional Offices and its crescent expertise on chemicals and waste and the technical knowledge and experience of the Regional Centres of Basel and Stockholm Conventions which have already been used in delivering some components of the project.
29. **The full engagement of key stakeholders is crucial during the design of projects and throughout their implementation:** in order to facilitate the implementation of projects that use a multi-stakeholders approach and involve external partners it is important to ensure that resources allocation and expectations are defined at the project design phase and with the engagement of the stakeholders.
30. **The ownership of primary beneficiaries is required to ensure sustainability of the project outcomes and impacts:** in order to promote a transition to sound chemicals management, and besides the fact that the chemicals agenda is part of the Sustainable Development Goals, activities developed at national level need to be anchored in national priorities, namely poverty reduction and sustainable development
31. **Monitoring is crucial for implementation and supervision of project performance:** in order to improve implementation it is essential that its progress towards projects objectives throughout the project implementation period, and quality are regularly monitored including the identification of any difficulties encountered and actions taken to overcome them.

#### E. Recommendations

32. **Key stakeholders should be appropriately involved since the conceptualization of the project:** UNEP's C&W Branch in designing its project based on a multi-stakeholder approach that rely on external partners to implement many of its outputs should actively promote the involvement of stakeholders in the design and implementation phase.
33. **Balance between international, regional and national implementation:** UNEP's C&W Branch should explore and used the technical knowledge and experience of the Regional Centres since the project design. Within the Regional Offices the dedicated Chemicals and Waste Officers could play an active role not only in identifying the needs and priorities of the countries in their regions (which would require effective involvement in the design phase) but also in disseminating and up scaling the project to other countries within the region. Both entities could play a role in increasing the countries ownership.
34. **Institutional memory is key to sustainability:** UNEP's C&W Branch needs to rely on permanent staff to implement multi-stakeholders projects with a global scope - consultants and trainees regardless of their commitment affect the Branch's institutional memory and its capacity to face the lobbies from strategical industrial actors.
35. **Though future priorities should be focused on implementation, UNEP's role in this area remains at the level of development of tools and now more on GEF projects implementation:** the project has developed and updated technical and scientific tools, which are now available and should be used by the primary beneficiaries. In order to promote a sound transition to sound management of chemicals at the global level countries and the BRS Secretariat need to focus on implementation – information should be conveyed in a more clear/understandable way with a good scientific basis. The "PCBs forgotten legacy" constitutes a good example of such efforts.
36. **Policy development and guidance:** considering the competitive advantages of UNEP and the work being developed by the UNEP's C&W Branch it should focus its future work on policy development and guidance at global (through pre-existing networks) and regional level (through regional centres and regional offices) rather than country interventions (where UNEP does not have representation).

## I. Introduction

### A. Project Summary

1. The project was designed to respond to Parties requests for assistance in the implementation of their obligations under the chemicals and waste Multilateral Environment Agreements (MEAs), i.e. the *Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal* (Basel Convention)<sup>4</sup>, the *Rotterdam on the Prior Informed Consent Procedure for Certain Hazardous Chemicals and Pesticides in International Trade* (Rotterdam Convention)<sup>5</sup> and the *Stockholm on Persistent Organic Pollutants* (Stockholm Convention)<sup>6</sup> – the BRS Conventions. However the main target of the project is the implementation of the Stockholm Convention. The project also aimed at assisting the BRS Secretariat in fulfilling its mandate.
2. The project was designed to focus on developing countries and countries with economies in transition (CEITs), to include Small Island Developing States (SIDS), Least Developed Countries (LDCs), and Industrialising developing countries (including medium- and larger-sized).
3. The total budget of the project is 2,235,165.00 USD with UNEP in-kind contribution of 172,740.00 USD. The Project was approved on 22th of December 2014 and its implementation started in December 2014 to be completed in February 2016 (15 months implementation).
4. In June 2016 the project was extended to December 2016 with no increase in the budget (25 months total implementation). The justification for the extension was the need to disseminate and train the key stakeholders in the various scientific and technical tools and services developed by the project (Part II Section G).
5. The project is implemented by UNEP in collaboration with the BRS Secretariat, UN Agencies, NGOs and Civil Society. One regional component of the project has been largely executed by the Basel Convention Regional Centre (BCRC)<sup>7</sup> and the Stockholm Convention Regional Centre for Capacity-Building and the Transfer of Technology in Asia and the Pacific (SCRCAP)<sup>8</sup> in partnership<sup>9</sup> with China-ASEAN Environmental Cooperation Centre (CAEC)<sup>10</sup> (see Figure 1 in section II.E below).

### B. The Terminal Evaluation

#### 1. Objectives and Scope of the Evaluation

6. In line with the UNEP Evaluation Policy<sup>11</sup>, the UNEP Programme Manual<sup>12</sup> and the UNEP Evaluation Manual<sup>13</sup>, the Terminal Evaluation is a vital element that needs to be undertaken after project completion to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. More detail of the evaluation principles and criteria can be found in the Evaluation Terms of Reference (ToR) under Annex I.
7. The present Terminal Evaluation has two main purposes:
  - a) To provide evidence of results to meet accountability requirements, and
  - b) To promote learning, feedback, and knowledge sharing through results and lessons learned among UNEP and its main project partners, namely the BRS Secretariat, the Basel Convention and Stockholm Convention Regional Centres, UNEP Regional Offices, National Governments, UNITAR, WHO and UNIDO. In this regard, this evaluation will identify lessons of operational relevance for future project development and implementation.
8. The Terminal Evaluation focuses on a set of key questions, based on the project's intended outcomes:

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<sup>4</sup><http://www.basel.int/Portals/4/Basel%20Convention/docs/text/BaselConventionText-e.pdf>

<sup>5</sup><http://www.pic.int/TheConvention/Overview/TextoftheConvention/tabid/1048/language/en-US/Default.aspx>

<sup>6</sup><http://chm.pops.int/TheConvention/Overview/TextoftheConvention/tabid/2232/Default.aspx>

<sup>7</sup><http://www.bcrc.cn/>

<sup>8</sup><http://sc.bcrc.cn/>

<sup>9</sup> The Project was designed to be implemented in partnership also with the UNEP Regional Office for Asia and Pacific (ROAP) but this did not materialize during its execution.

<sup>10</sup><http://chinaaseanenv.org/english/>

<sup>11</sup><http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>12</sup>[http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf)

<sup>13</sup><http://web.unep.org/evaluation/unep-evaluation-manual-1>

- a) To what extent is there evidence emerging of target countries having increased their **awareness and capacity** to meet their obligations by using the scientific and technical knowledge, tools and services provided by the project?
- b) To what extent are the project results/products (e.g. technical expertise and support, PCDD/PCDF toolkits, fact sheets, sustainable alternatives to DDT, strategies for PCBs elimination/disposal, implementation plans, etc.) being **utilised by policy makers** to transition to sound chemicals management and related MEAs? Is there any emerging evidence that the project is contributing to **behaviour change** within governments, industries and general public in the target countries, which is likely to lead to the achievement of the project's overall objective?
- c) How successful has the project been in fostering **replication and scaling up** of its activities through lessons learned, good practices and innovations? Is information on best practices visible and accessible? Is there evidence emerging of good cooperation and communication within global networks?
- d) To what extent is the project **support provided to target countries matching their needs** (technical capacities, infrastructure, institutional, etc.), and what lessons can be learned from implementation?
- e) To what extent have the current **partnership and collaborations been effective** (primarily with BRS Secretariat, major groups and strategic stakeholders) in supporting the delivery of the project's planned results?

9. These key questions have been further developed in the Inception Report<sup>14</sup> and have constituted the basis of the interviews undertaken during the implementation phase.

10. The project period under evaluation period was from December 2014 up to 31 September 2016. However information collected from 31 September to 31 December was also used as evidence of the work undertaken to meet the projects outputs.

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

## 2. Overall Approach of Evaluation

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

13. In accordance with the ToR the project was assessed with respect to a minimum set of evaluation criteria grouped into six categories, described below. As per UNEP guidance, the evaluation ratings for the criteria are on six-point scale.<sup>15</sup> Evaluation ratings are shown at the end of each section of the findings and a complete evaluation ratings table is presented in the Conclusions section of this report.

14. **Strategic Relevance:** focuses on whether the project objectives and implementation strategies are consistent with global, regional and national environmental issues and needs. The evaluation also briefly describes the project's relevance in relation to UNEP's mandate and its alignment with UNEP policies and

<sup>14</sup> Inception Report from 12 October 2016

See Annex III - Matrix of Project Evaluation Framework

<sup>15</sup> Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability is rated from Highly Likely (HL) down to Highly Unlikely (HU). Please refer to the Inception Report which under Table 6 on the UNEP assessment ratings provided an interpretation of each of the six point-scale.



strategies at the time of the project approval including on human rights and gender equality and integration of social and environmental safeguards.

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

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

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

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

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

20. In addition, the quality of the project design was assessed in the Inception Report<sup>16</sup> (Table 10 for the summarised highlights).

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

22. **Desk review:** a detailed review of the relevant background documentations, project documentation supplied by the UNEP Project Manager and collected during the interviews of key stakeholders as well as publications, websites, decisions of the Conference of the Parties (CoP) - a list of documents reviewed is provided in Annex II. It should be noted that all the references to the website of UNEP W&C Branch are made to the version that was online during the course of the evaluation. A new website was launched on 5 January 2017 when the evaluation findings had already been concluded (paragraph 19) and therefore it was not considered.

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

24. **Remote interviews:** contacts were made with all the key stakeholders identified by the project manager and interviews requested. The list of interviewees, including the former Project Manager, can be found in Annex III.

25. During the implementation phase and in view of the reduced number of key stakeholders identified by the Project Manager, the Evaluator proposed to replace the initial foreseen **questionnaire for targeted countries and key stakeholders** with interviews, which was accepted by the Evaluation Office of UN Environment (EOU). A total of 18 people were interviewed for this project (which included the Project Managers - previous and present - and project staff).

26. Due to the nature of the project that covers many different activities it was also decided during the implementation phase to replace the country visit initially foreseen to China (which would only cover activity 4.2) by a mission to UNEP Geneva to cover all the activities through interviews with the project team and staff from the BRS Secretariat.

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

### 3. Limitations to the Evaluation

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<sup>16</sup> Inception Report from 12 October 2016  
See Annex II – Assessment of Project Design Quality

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

29. **Lack of monitoring data.** This evaluation did not have the benefit of up-to-date and complete monitoring data or regular project reporting, which undermined the efficiency and scope of the evaluation exercise. For progress on the activities developed the Evaluator had to rely exclusively in the information provided in the Programme Information and Management System (PIMS), which was out-dated- for progress on the activities developed the last update was from 31 December 2016 and on financial matters the last update was from 30 May 2015 when UMOJA<sup>17</sup> was launched.

30. **Poor response rate from stakeholders.** The list of key stakeholders and their respective contacts was requested at the kick of meeting (27 July 2016) but only provided late in the implementation phase. From the 23 key stakeholders identified as relevant by the project manager a selection was made based on geographical and institutional criteria and a total of 21 key stakeholders were contacted (i.e. introduction letters were sent by EOU and UNEP/DTIE) but only 12 were available to contribute to the evaluation – many did not reply and from those who did several indicated lack of information or no involvement in the project. Another factor that may have affected the poor response rate is the fact that due to the delays mentioned above, many of the contacts that were only made later in the year overlapped in some cases with the 2016 Christmas break. As a result, the findings of this evaluation are based on only a small sample of respondents beyond the project team itself. However, primary data was triangulated across all sources to arrive at reliable conclusions.

## II. The Project

### A. Context

31. The project seeks to assist Parties in implementing their obligations under the BRS Conventions especially obligations arising from decisions of the CoP to the Stockholm Convention in relation to updating information on initial POPs or first assessments of new POPs. However the main target of the project is the implementation of the Stockholm Convention, which is the only one with a financial mechanism - no direct links were found with the Rotterdam Convention and the Basel Convention is indirectly targeted mainly through output 1 (activities 1.2 and 1.3).

32. The Stockholm Convention was adopted on 22 May 2001 and entered into force on 17 May 2004 to “protect human health and the environment from persistent organic pollutants by reducing or eliminating releases to the environment”. It presently has 181 Parties in all UN regions<sup>18</sup>.

33. The Convention is based on the precautionary principle<sup>19</sup> and its main purpose is to establish accurate measures to reduce or even eradicate POPs dissemination. Since 1995 the Governing Council of UNEP has been engaged in launching the adoption of such measures to reduce or even eradicate POPs dissemination. The list that started with 12 POPs (considered the most dangerous) at the time of the Convention’s adoption has now more than doubled (26 in 2015)<sup>20</sup> which strengthens the idea that international action is vital.

34. Listed below are the key obligations derived from the Stockholm Convention that the project seeks to assist Parties to implement. It should be mentioned that no reference is made under the ProDoc to any

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<sup>17</sup> <https://umoja.un.org/> - Umoja is not an acronym – it means “unity” in Swahili and was designed to streamline administrative processes through the implementation of an Enterprise Resource Planning System.

<sup>18</sup> <http://chm.pops.int/Countries/StatusofRatifications/PartiesandSignatoires/tabid/4500/Default.aspx>

<sup>19</sup> Defined under Article 15 of the Rio Declaration (1992) as: Where there are threats of serious or irreversible damage, lack of full scientific certainty shall not be used as a reason for postponing cost-effective measures to prevent environmental degradation. [http://www.unesco.org/education/pdf/RIO\\_E.PDF](http://www.unesco.org/education/pdf/RIO_E.PDF)

<sup>20</sup> At CoP4 (May, 2009) the following 9 new chemicals were added to POPs list by Decisions SC-4/10, 4/11, 4/12, 4/13, 4/14, 4/15, 4/16, 4/17 and 4/18 respectively: alpha hexachlorocyclohexane; beta hexachlorocyclohexane; chlordecone; hexabromobiphenyl; octabromodiphenyl ether; lindane; pentachlorobenzene; perfluorooctane sulfonate and pentabromodiphenyl ether.

At CoP 5 (April, 2011) endosulfan was added by Decision SC-5/3.

At CoP 6 (May 2013) hexabromocyclododecane was added by Decision SC-6/13

At CoP 7 (May 2015) the following 3 new chemicals were added to the POPs list by Decisions SC-7/12, 7/13 and 7/14 respectively: hexachlorobutadiene; pentachlorophenol and its salts and esters and chlorinated naphthalenes

provisions of the Basel and Rotterdam Conventions. The main relevant CoP Decisions are listed in Annex IV to the present report:

**Table 3: Main relevant obligations from the Stockholm Convention**

Main Relevant Obligations		Legal Basis
<b>Related to DDT and other POPs</b>	Prohibit and/or eliminate the production and use, as well as the import and export, of the intentionally produced POPs that are listed in Annex A to the Convention; Restrict the production and use, as well as the import and export, of the intentionally produced POPs that are listed in Annex B to the Convention.	Article 3 Annex A Annex B
<b>Unintentional POPs</b>	Reduce or eliminate releases from unintentionally produced POPs that are listed in Annex C to the Convention (using Best Available Techniques (BAT) and Best Environmental Practices (BEP)).	Article 5 Annex C
<b>Stockpiles and wastes</b>	Ensure that stockpiles and wastes consisting of, containing or contaminated with POPs are managed safely and in an environmentally sound manner; Ensure that wastes containing POPs are transported across international boundaries taking into account relevant international rules, standards and guidelines.	Article 6
<b>NIPS</b>	Develop and implement a NIP conducive to the adoption of the Convention obligations; Transmit the NIP to the CoP; Review and update the NIP in the terms defined.	Article 7
<b>Public information, awareness and education</b>	Promote and facilitate the access to information and awareness regarding POPs and the development of education and training programs.	Article 10
<b>Reporting</b>	Report the measures taken to implement the provisions of the Convention; Report the effectiveness of such measures on meeting the objectives of the Convention; Provide statistical data on the quantities of production, import and export of the chemicals listed on the Annexes A and B of the Convention; Provide, when possible, the list of the States from which the substances were imported and to which the substances were exported.	Article 15

## B. Objectives and Outputs

35. The project aims to achieve the following main outcomes<sup>21</sup>: ***increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate.***

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

**Table 4: Expected project outputs, related activities and sources of funding**

Expected Outputs <sup>22</sup>	Activities	Funding Sources
<b>1. Updated “Dioxin/Furan Toolkit”, new “Factsheets for</b>	Activity 1.1: Review and update the Standardized Toolkit for	No specific source of funding was found expect for a reference to

<sup>21</sup> The Project “outcomes” are the direct intended results stemming from the outputs.

<sup>22</sup> The Project “outputs” are the actual products/services delivered by the project. The outputs of the project have been rephrased in line with this definition.

<b>POPs Waste Destruction Technology” updated “Technical Guidelines for unintentional POPs” developed</b>	Identification and Quantification of Dioxin and Furan Releases.	6,000 USD from the BRS Secretariat under the ProDoc. Staff time from project manager was allocated to this activity.
	Activity 1.2: Provide advisory and scientific review services to the BRS Secretariat in the update of the Fact Sheets for POPs Waste Destruction Technologies.	ICA from 2012 between the BRS Secretariat and UNEP/DTIE Total of 26,000 USD (paragraph 64)
	Activity 1.3: Author the updated Technical Guidelines (TG) for unintentional POPs Waste in consultation with stakeholders and assist the BRS Secretariat until approval of the updated TG	ICA from 2013 between the BRS Secretariat and UNEP/DTEI Total of 20,000 USD (paragraph 64)
<b>2. Affordable, effective and sustainable alternatives to DDT under development</b>	Activity 2.1: Provide leadership and administrative support for the Global Alliance for the development and deployment of products, methods and strategies as alternatives to DDT for disease vector control (Global Alliance on DDT).	Switzerland: 50,000 CHF Biovision Foundation: 20,000 USD  (paragraph 65)
	Activity 2.2: Prepare a roadmap for the implementation of alternatives to DDT <sup>23</sup> .	
<b>3. Elimination of the use and disposal of PCB facilitated</b>	Activity 3.1: Provide leadership and administrative support for the PCB Elimination Network (PEN).	BRS Secretariat: 32,402 USD Sweden: 28,653 USD
	Activity 3.2: Provide technical expertise on PCB.	(paragraph 66)
<b>4. Technical and scientific support provided to Parties to the Stockholm Convention to build their national capacities</b>	Activity 4.1: Provide technical expertise on initial and new POPs to developing countries and CEITs.	No specific sources of funding identified
	Activity 4.2: Provide capacity-building for Environmentally Sound Management (ESM) of PBDE and their waste in selected Asia-Pacific countries <sup>24</sup> .	Chinese Trust Fund: 186,000 USD. (paragraph 66)
<b>5. Awareness and training in the use of the scientific and technical tools and services provided to stakeholders</b>	<i>This is an overarching output added in the Project Revision and without specific activities deigned</i>	<i>No additional sources of funding required under the Project Revision</i>

37. One of the major goals of the Stockholm Convention is the continuing minimization and, where feasible, ultimate elimination of unintentionally produced POPs<sup>25</sup>. According to its Article 5, Parties are required to identify, characterize, quantify and prioritize sources of releases of unintentional POPs, and develop strategies with concrete measures, timelines and goals to minimize or eliminate these releases.

#### **Output 1**

38. The **Toolkit for Identification and Quantification of Releases of Dioxins, Furans and Other Unintentional POPs (Toolkit)**<sup>26</sup> is a guidance document to ensure that source inventories and release estimates

<sup>23</sup> The reference if the ProDoc is to a roadmap for the implementation of alternatives to DDT.

<sup>24</sup> This activity is funded by the China Trust Fund

<sup>25</sup> Annex C, Part I: Hexachlorobenzene (HCB); pentachlorobenzene (PeCBz); polychlorinated biphenyls (PCB); and polychlorinated dibenzo-p-dioxins and dibenzofurans (PCDD/PCDF)

<sup>26</sup> <http://toolkit.pops.int/>

are complete, transparent, as well as consistent in format and content. It allows Parties to compare results, identify priorities, mark progress and follow changes over time at the national, regional and global levels. Its main audience are developing countries in their efforts to verify their emission factors.

39. The Toolkit was developed by UNEP and first published in 2003, prior to the entry into force of the Convention and subsequently periodically revised. Until the present it was revised in CoP2, CoP3, CoP4, CoP5 and CoP 6, by Decisions SC-2/5, SC-3/6, SC-4/7, SC-5/13 and SC-6/9, respectively and it was endorsed at CoP 7 by Decision SC-7/7.

40. “The Toolkit is particularly useful in guiding parties to assess the progress made in the implementation of Article 5 of the Convention, namely determining whether the measures taken to reduce and ultimately eliminate releases of Annex C POPs are successful in meeting their objectives. Being based on systematic expert consultation, the Toolkit can be considered as the most advanced and comprehensive compilation of emission factors for unintentional POPs”<sup>27</sup>. This **activity 1.1** is described in the ProDoc but not included in the project logframe.

41. The Fact Sheets on technologies that are recommended for the destruction of waste consisting of, containing or contaminated with POPs (**activity 1.2**) are being updated and completed by the BRS Secretariat. These **Factsheets for POPs Waste Destruction Technology** consist of two sets of factsheets describing the technologies recommended for the destruction or irreversible transformation of waste consisting of, containing or contaminated with POPs. One set provides a general description of each of the generic technologies; the other contains information obtained from specific technology providers or companies. Some factsheets are new from scratch, and some were updated from earlier information contained in the Basel Convention training guide<sup>28</sup>.

42. The BRS Secretariats are updating the Basel Convention **Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with POPs**<sup>29</sup> (PCDD/PCDF, HCB or PCB), as mandated by Decision BC-11/3. The Parties of the Basel Convention have required the Stockholm’s Convention’s technical and scientific expertise (**activity 1.3**) to amend and update the Technical Guidelines by including the newly listed POPs (e.g. PeCBz), in accordance with the programme of work of the 8th meeting of the of the Open-Ended Working Group of the Basel Convention (OEWOG)<sup>30</sup>.

43. The Technical Guidelines are updated through a consultative process, which involved the establishment in 2005 of a *Small Intersessional Working Group on Technical Guidelines on POPs*<sup>31</sup> mandated to monitor and assist in the preparation of revised draft technical guidelines, working in particular with electronic means<sup>32</sup>.

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<sup>27</sup> Analysis of the information on releases of unintentional persistent organic pollutants under Article 5 of the Stockholm Convention conducted by the Toolkit Experts. UNEP/POPS/TOOLKIT/BATBEP/2016/2 (October, 2016).

<sup>28</sup> Destruction and Decontamination Technologies for PCBs and Other POPs Wastes under the Basel Convention, A Training Manual for Hazardous Waste Project Managers, Volume C, Secretariat of the Basel Convention. <http://chm.pops.int/Implementation/PCBs/Guidance/tabid/665/ctl/Download/mid/4241/Default.aspx?id=3&ObjID=9465>

<sup>29</sup> Adopted Technical Guidelines: <http://www.basel.int/Implementation/Publications/TechnicalGuidelines/tabid/2362/Default.aspx>

<sup>30</sup> UNEP/CHW/OEWG.8/15, annex <http://basel.int/Implementation/POPsWastes/TechnicalGuidelines/tabid/5052/Default.aspx>

<sup>32</sup> OEWG-I/4 Decision VI/23

## Output 2

44. The DDT component of the project included two activities: provide leadership and administrative support of the Global Alliance for the development and deployment of products, methods and strategies as alternatives to DDT for disease vector control (**Global Alliance**)<sup>33</sup> and prepare a **roadmap for the development of alternatives to DDT**.

45. The Global Alliance was established in 2009 by Decision SC-4/2 and is governed by an **Alliance Assembly and a Steering Committee and implements its strategy through Thematic Groups**. The Steering Committee is in charge of providing strategic direction and setting priorities for the Global Alliance while the Thematic Groups are meant to address a specific goal or challenge towards achieving the long-term objectives of the Global Alliance.

46. The main goals of the Global Alliance are to: strengthen the base of knowledge available to inform policy formulation and decision making; overcome the complexity and cost of deploying alternatives to DDT; make available new alternative vector control chemicals; develop non-chemical products and approaches for vector control. The Parties that need to continue to use or produce DDT, mainly for reasons of malaria control programs, should register specific exemptions. A Register of Acceptable Purposes is available for consultation, pursuant to paragraph 1 or part II of Annex B of the Stockholm Convention<sup>34</sup>.

47. At CoP 5 by Decision SC-5/6 the Parties to the Stockholm Convention invited UNEP to take over the administration and implementation of the Global Alliance and collaborate with the World Health Organization (WHO) and requested the Secretariat to facilitate a transition. Accordingly, the **leadership of the Global Alliance for alternatives to DDT is presently under UNEP Sub-programme for Chemicals & Waste**.

48. In 2013 by Decision 6/1 the CoP invited UNEP in consultation with the WHO, the DDT expert group on the assessment of the production and use of DDT and its alternatives for disease vector control (DDT Expert Group)<sup>35</sup> and the BRS Secretariat, to prepare a **road map for the development of alternatives to DDT**, and to present it to CoP7.

## Output 3

49. The PCB component of the project included two activities: provide leadership and administrative support of PCB Elimination Network (**PEN**)<sup>36</sup> and technical expertise on PCB.

50. The **PEN** was established in 2009, by Decision SC-4/9, as a multi-stakeholders mechanism to promote and encourage the Environmental Sound Management (ESM) of PCBs with a view to attaining the 2025<sup>37</sup> and 2028<sup>38</sup> goals of the Stockholm Convention with respect to PCBs<sup>39</sup>. The PEN operates through its **Advisory Committee, Thematic Groups** therein and a **secretariat** provided by the C&W Branch of UNEP.

51. At CoP 5 by Decision SC-5/7, the Parties to the Stockholm Convention **invited UNEP/DTIE**, together with the relevant member organizations of the Inter-Organization Programme for the Sound Management of Chemicals, and the regional centres of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal and the Stockholm Convention, **“to consider taking over the administration and implementation of the network”**

52. In 2013 by Decision 6/6 **the CoP welcomed the decision by the UNEP to accept the leadership of the PEN** and expressed its appreciation for the collaboration extended in aid of the sustainable transition of the leadership and requested UNEP/DTIE to report the activities of the PEN to CoP 7.

## Output 4

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<sup>33</sup> <http://chm.pops.int/Implementation/DDT/GlobalAlliance/tabid/621/mct/ViewDetails/EventModID/1421/EventID/136/xmid/6821/Default.aspx>

<sup>34</sup> <http://chm.pops.int/Implementation/Exemptionsandacceptablepurposes/AcceptablePurposes/AcceptablePurposesDDT/tabid/456/Default.aspx>

<sup>35</sup> Established in 2005 (at CoP 1) their ToR were adopted in 2007 (at CoP3).

<sup>36</sup> <http://chm.pops.int/Implementation/PCBs/PCBEliminationNetwork/PENOverview/tabid/438/Default.aspx>

<sup>37</sup> In the annex A, part II, (a) is established a goal regarding to the elimination of the use of polychlorinated biphenyls in equipment (e.g. transformers, capacitors or other receptacles containing liquid stocks) by 2025.

<sup>38</sup> In the annex A, part II, (e) is established a goal to achieve a polychlorinated biphenyls content above 0.005 in the liquids containing polychlorinated biphenyls and equipment contaminated with polychlorinated biphenyls “as soon as possible but no later than 2028.

<sup>39</sup> The PCBs are a group of chemicals that were included in the twelve original POPs covered by the Stockholm Convention but their use is still needed for electrical and industrial applications, so part of the PEN’s work is to encourage research and development on suitable alternatives to PCBs.

53. **Output 4** of the project comprised two different activities: **technical expertise** on initial and new POPs to developing countries and CEITs; and **capacity-building for Environmental Sound Management of PBDE and their wastes in selected Asia-Pacific countries** (Cambodia, Laos, Pakistan, Sri Lanka and Mongolia) which was implemented by SCRAP and funded by the China Trust Fund<sup>40</sup>.

#### **Output 5**

54. **Output 5** was added in June 2016 as a result of the project revision according to which it was expected to lead to an increased number and percentage of Governments addressing priority chemical issues, towards the objectives and obligations of the Strategic Approach to International Chemicals Management (SAICM)<sup>41</sup> under the chemicals MEAs, through the use of risk assessment and management tools provided by UNEP (Part II Section G below).

#### **C. Target areas/ groups and Project Partners**

55. The project was targeted at the chemicals and waste MEAs- Stockholm, Rotterdam and Basel Conventions. However the main target of the project is the implementation of the Stockholm Convention which is the only one with a financial mechanism - no direct links were found with the Rotterdam Convention<sup>42</sup> and the Basel Convention is indirectly targeted mainly through output 1 (activities 1.2 and 1.3). It should be mentioned that no reference is made under the ProDoc to any provisions of the Basel and Rotterdam Conventions.

56. The project was designed to focus on developing countries and countries with economies in transition (CEITs), to include Small Island Developing States (SIDS), Least Developed Countries (LDCs), and Industrialising developing countries (including medium- and larger-sized). The Toolkit's main audience are developing countries in their efforts to verify their emission factors. This focus was however not evident from other activities implemented by the project.

57. Due to the project's focus on the Stockholm Convention, the main beneficiaries of the project are governments that are Parties to it and who are to be assisted and advised on the fulfilment of their obligations under this treaty through the tools delivered by the project.

58. The project stakeholders include the project beneficiaries and the partners. In comparing the level of stakeholders participation and engagement during the project implementation as to what was envisaged during the project design and review, the following three related and often overlapping processes were considered: (i) information dissemination to and between stakeholders (ii) consultation with and between stakeholders, and (iii) active engagement of stakeholders in project decision-making and activities. The table below summarises this information. It should be noted that during the evaluation several of the key stakeholders identified by the project team were either unaware of the project or expressly indicated not having been involved.

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<sup>40</sup><http://www.unep.org/chemicalsandwaste/POPsandScience/ChemicalsManagementandReduction/PBDEManagementinAsia/tabid/1059968/Default.aspx>

<sup>41</sup><http://www.saicm.org/>

<sup>42</sup> The PD specifically states that: "The project focuses on the Parties to the Stockholm and the Basel Conventions" (see page 7), adding in footnote 6 that: So far, requests for support to implementation of the Rotterdam Convention have not arrived at the same level; however, it is expected that such requests might come up in the future when synergies between the existing and new MEAs will arise

Table 5: Stakeholders – project design versus implementation

Stakeholders	ProDoc and Project Revision	Evaluation Findings
Beneficiaries	Direct: <b>Governments</b> that are Parties to the BRS Conventions as well as their <b>ministries, agencies and related research institutions.</b>	Four countries requested direct assistance from UNEP/DTIE.
	39 countries are identified as direct beneficiaries for activity 4.1	Tools developed by the project are expected to contribute to the NIPs updating process. No direct evidence of such contribution to the 39 countries was however found.
	6 countries are identified as direct beneficiaries for activity 4.2	China, Cambodia, Laos, Pakistan, Sri Lanka and Mongolia have directly benefited from activity 4.2.
	Indirect: <b>BRS Secretariat; Subsidiary Bodies under the MEAs</b> (the Persistent Organic Pollutants Review Committee (POPRC) <sup>43</sup> of the Stockholm Convention and the OEWOG <sup>44</sup> of the Basel Convention); <b>relevant expert groups</b> (Toolkit and BAT/BEP) or Global and Regional Coordination Groups for the Global Monitoring Plan (GMP) <sup>45</sup> ; <b>BCRC/SCRCAP; Industries; Provincial, local governments, communities and civil society.</b>	The following stakeholders were both beneficiaries and partners in the project implementation: BRS Secretariat; BCRC/SCARP; BCCC/SCRC; RECETOX.  Expert Groups, PEN and the Global Alliance on DDT benefited from the project.  No evidence was found of the involvement of provincial, local governments and communities.
Partners	UN Agencies such as WHO, UNIDO, UNITAR, UNDP, World Bank and other IOMC members <sup>46</sup>	UNITAR directly involved as an external partner for DDT and PCBs. WHO (DDT) and UNIDO (as a member of PEN)
	UNEP Regional Offices – identified as strategic and local partners in the regions to feed country needs into the project and beyond; diffuse results and beyond.	No evidence was found of the involvement of the Regional Offices and their dedicated officers on Chemicals and Waste (paragraph 206)  ROAP in particular was identified as a partner in charge of regional and national backing up and diffusion mechanisms of activity 4.2 (see table 1 of the ProDoc) No evidence of such involvement was found (paragraph 209)
	Customs offices <sup>47</sup>	No evidence was found

#### D. Milestones/key dates in project design and implementation

<sup>43</sup> <http://chm.pops.int/Default.aspx?tabid=2806>

<sup>44</sup> [http://www.basel.int/TheConvention/OpenedWorkingGroup\(OEWG\)/OverviewandMandate/tabid/2295/Default.aspx](http://www.basel.int/TheConvention/OpenedWorkingGroup(OEWG)/OverviewandMandate/tabid/2295/Default.aspx)

<sup>45</sup> <http://chm.pops.int/Implementation/GlobalMonitoringPlan/Overview/tabid/83/Default.aspx>

<sup>46</sup> Inter-organization Program for the Sound Management of Chemicals <http://www.who.int/iomc/en/>

<sup>47</sup> In accordance with the PRC Report by adding “custom officers” as important stakeholders as recommended by the PRC, the issue of transboundary movement of chemicals and the relevance of the Rotterdam Convention has emerged and this is the rationale used by the Project managers to include the reference to the Rotterdam Convention in the project’s title..



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

Date	Milestone
22/12/2014	Approval date
December 2014	Actual start date
February 2016	Intended completion date
15 months	Planned duration
06/06/2016	Project Revision
December 2016	Completion date
25 months	Effective total duration
30/06/2017	Financial closure (for reconciliation)
March 2017	Terminal Evaluation (Completion)

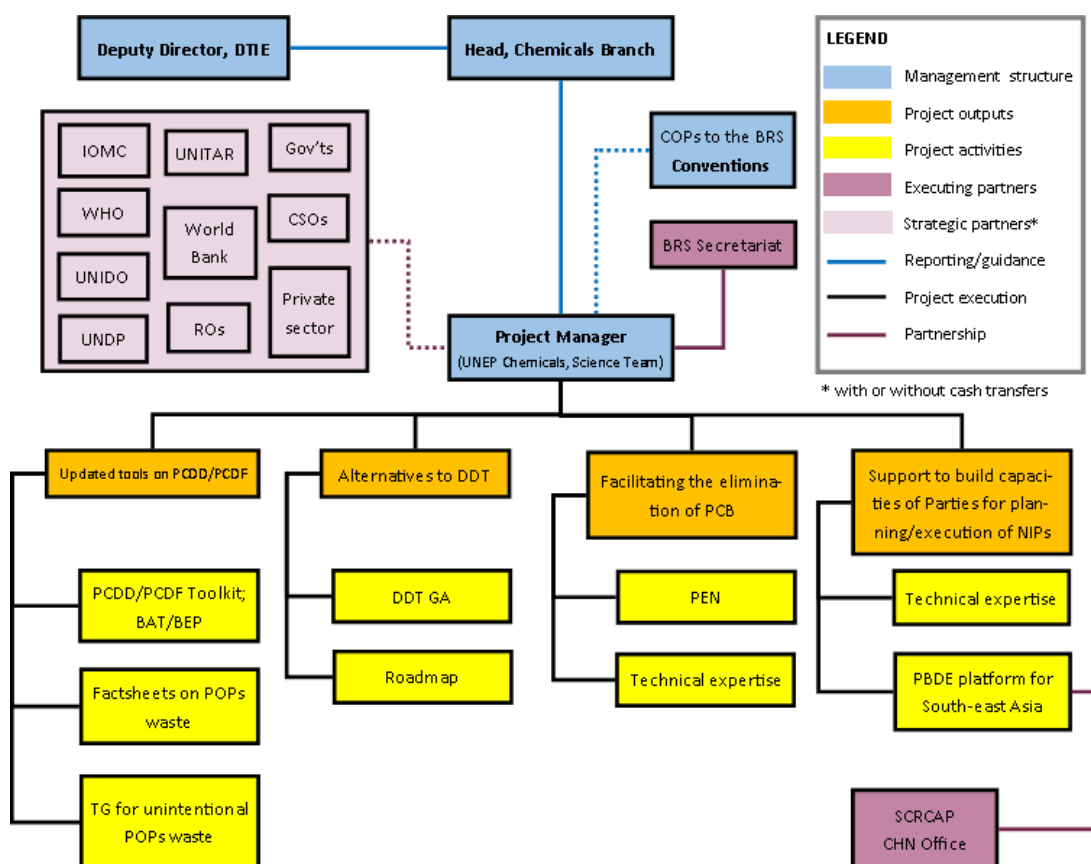
### E. Implementation arrangements

59. The project was implemented by UNEP/DTIE (now called the Economy Division) and managed by a Project Manager reporting to the Head of the C&W Branch in Geneva which is the UN’s catalysing body, and UNEP’s focal point for addressing chemicals and waste reflecting global priorities shared by many stakeholders and involving many sectors<sup>48</sup>. No Steering Committee was either planned or constituted due to the nature and dimension of the project- see Figure 1 below.

60. Each component of the project involved different external partners (Part III Section B below) and with regard to activities 1.2, 1.3, 2 and 3, included reporting to the CoP of the Stockholm Convention.

61. Activity 4.2 was jointly implemented with BCRC/SCRCAP as External Executing Partner. A part-time technical expertise position was held in the UNEP China Office in Beijing to facilitate the implementation of this activity.

**Figure 1: Project Implementation Structure (as per the ProDoc)**



<sup>48</sup> <http://www.unep.org/dtie/Branches/ChemicalsandWaste/tabid/29687/Default.aspx>

## F. Project Financing

62. Lack of access to detailed financial information has been a major hindrance of this evaluation (section I.B.3). The figures provided in this section are based on the project budget, information provided in the ProDoc and Project Revision, and some financial data provided by email by the Administrative Officer of UNEP/DTIE C&W Branch. Based on the evaluation findings, no financial expenditure reports were produced during the project implementation.

63. The estimated cost of the project in the ProDoc (December 2014) was 2,235,165 USD and in the Project Revisions (June 2016) it was substantially reduced to 877,639 USD. As of December 2016 the estimated overall cost of the project was given as 824,031 USD, in accordance with information provided by e-mail by Administrative Officer of UNEP/DTIE C&W Branch. In the Project Revision (June 2016) two additional sources of funding were added: the Norway Trust Fund and the Swedish International Cooperation Agency whose grants were allocated to consultancy fees, meeting participants' and staff travel, and agreements with external implementing partners.

64. For **activity 1.1 (Tookit)** no specific source of funding was found expect for a reference to 6,000 USD from the BRS Secretariat under the ProDoc. For **activity 1.2 (Factsheets)** an International Cooperation Agreement (ICA) was signed between the BRS Secretariat and UNEP/DTIE on September 2012 to be completed by 31 December 2012 in the total amount of 26,000 USD. For **output 1.3 (Technical Guidelines)** an ICA was signed between the BRS Secretariat and UNEP/DTIE on November 2013 to be completed by 13 December 2015 in the total amount of 20,000 USD.

65. For **activity 2.2 (Roadmap on alternatives to DDT)** UNEP/DTIE developed, in close cooperation with the BRS Secretariat, a concept note laying down activities for road map implementation, which was used to fundraise. Financial contributions were received from Switzerland (50,000 CHF) and the Biovision Foundation<sup>49</sup> (20,000 USD) directly to UNEP/DTIE for the implementation of Decision SC-6/1 and development of the road map on alternatives to DDT. A consultant was hired between September 2014 and January 2015 to prepare a detailed and consolidated draft roadmap before CoP 7, including a status report and a plan of time-bound global and national actions and recommendations to strengthen the development and implementation of alternatives to DDT in vector control. UNEP/DTIE established a working group to provide information and substantive input to the road map and comment on the drafts. The members of the working group were selected on the basis of the following considerations: (i) Comprehensive coverage of the various thematic areas related to the use of DDT for disease vector control, (ii) representation of the major actors and institutions, and (iii) synergies with the Global Alliance.

66. The sources of funding for **activity 3.1 (PEN)** were the BRS Secretariat (32,402 USD) and Sweden contributions (28,653 USD). The source of funding for **activity 4.2 (ESM of PBDE in Asia-Pacific countries)** was the Chinese Trust Fund (186,000 USD).

## G. Changes in design during implementation

67. The project planned completion date was February 2016 however in June 2016 the project was extended 10 more months to December 2016 (25 months total implementation). The new timeframe was estimated to be sufficient to use the remaining funds in order to "extend the outcome"<sup>50</sup>, add indicators and milestones within existing outputs and deliver an additional output<sup>51</sup>.

68. The rationale for the extension was to "build on the success achieved so far and extend the outcome target" through dissemination and training of the key stakeholders in the various scientific and technical tools and services developed by the project.

69. A new output 5 was added with new indicators, targets and milestones, "so as to allow the undertaking of dissemination and awareness raising activities that will enhance Parties' capacities to implement their

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<sup>49</sup>Biovision Foundation <http://www.biovision.ch/en/home/>

<sup>50</sup> It should be noted that the outcome remained the same: *Parties to the chemicals and waste MEAs increase their capacities to meet their obligations by using scientific and technical tools and services provided by the Project.* Two milestones have however been added- **M4:** *Two additional Governments use the risk assessment and management tools to address priority chemicals issues by 30 June 2016;* **M5:** *Two additional Governments use the risk assessment and management tools to address priority chemicals issues by 31 December 2016.* The following indicator was also added: # of additional Governments addressing priority chemical issues, towards SAICM objectives and their obligations under the chemicals MEAs, through the use of risk assessment and management tools provided by UNEP.

<sup>51</sup> The additional output was: training in the use of the scientific and technical tools and services provided to stakeholder.

obligations related to PCB, DDT and PBDE.” During the project revision new indicators and milestones were also added to the existing outputs reflecting the fact that the Stockholm Convention is a living document requiring follow up on new decisions adopted by CoP 7 (May, 2015) namely with regard to: endorsement of the Roadmap on alternatives to DDT and invitation of UNEP to lead its implementation (Decision SC-7/2); renewed mandate for the PEN and DDT Global Alliance(Decision SC-5/6); invitation to develop a consolidated assessment of efforts made towards the elimination of PCB (Decision SC-7/3).

#### H. Reconstructed Theory of Change of the project

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

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

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

ProDoc TOC		Reconstructed TOC	
Objective	Increasing the capacities of Parties to the chemicals and waste MEAs, <i>i.e.</i> , Basel, Rotterdam and Stockholm Conventions, to meet their obligations by using the scientific and technical tools and services provided by the project, and at assisting the secretariat of these MEAs in fulfilling its mandate.	Long Term Impact	<i>Transition among countries to the sound management of chemicals</i>
		Intermediate States	- Stakeholders increasingly use the scientific and technical tools/services needed to implement sound POPs management and their waste. - Lessons learned and good practices are fostered and replicated to other chemicals/regions.
Outcomes	Parties to the chemicals and waste MEAs increase their capacities to meet their obligations by using the scientific and technical tools and services provided by the project.	Outcomes	- Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDEs and their waste. - The BRS Secretariat enhances its capacity in fulfilling its mandate. - Stakeholders are aware and trained in the use of scientific and technical tools.
Outputs	<ol style="list-style-type: none"> <li>Updated “Dioxin/Furan Toolkit”, new “Factsheets for POPs Waste Destruction Technology” updated “Technical Guidelines for unintentional POPs” developed</li> <li>Affordable, effective and sustainable alternatives to DDT under development</li> <li>Elimination of the use and disposal of PCB facilitated</li> <li>Technical and scientific support provided</li> </ol>	Outputs	<ol style="list-style-type: none"> <li>Updated “Dioxin/Furan Toolkit”, new “Factsheets for POPs Waste Destruction Technology” updated “Technical Guidelines for unintentional POPs” develop</li> <li>2. Affordable, effective and sustainable alternatives to DDT under development</li> <li>3. Elimination of the use and disposal of PCB facilitated</li> <li>4. Technical and scientific support</li> </ol>

ProDoc TOC		Reconstructed TOC	
	to Parties to the Stockholm Convention to build their national capacities		provided to Parties to the Stockholm Convention to build their national capacities. 5. Awareness and training in the use of the scientific and technical tools and services provided to stakeholders

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

73. The project has **three direct outcomes** that were paraphrased slightly to more clearly illustrate the TOC and its route to impact: 1) Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDEs and their waste; 2) The BRS Secretariat enhances its capacity in fulfilling its mandate; 3) Stakeholders are aware and trained in the use of scientific and technical tools.

74. Two **intermediate states** i.e transitional conditions have been identified between these direct outcomes and the above mentioned intended impact: 1) Stakeholders increasingly use the scientific and technical tools/services needed to implement sound POPs management and their waste; 2) Lessons learned and good practices are fostered and replicated to other chemicals/regions.

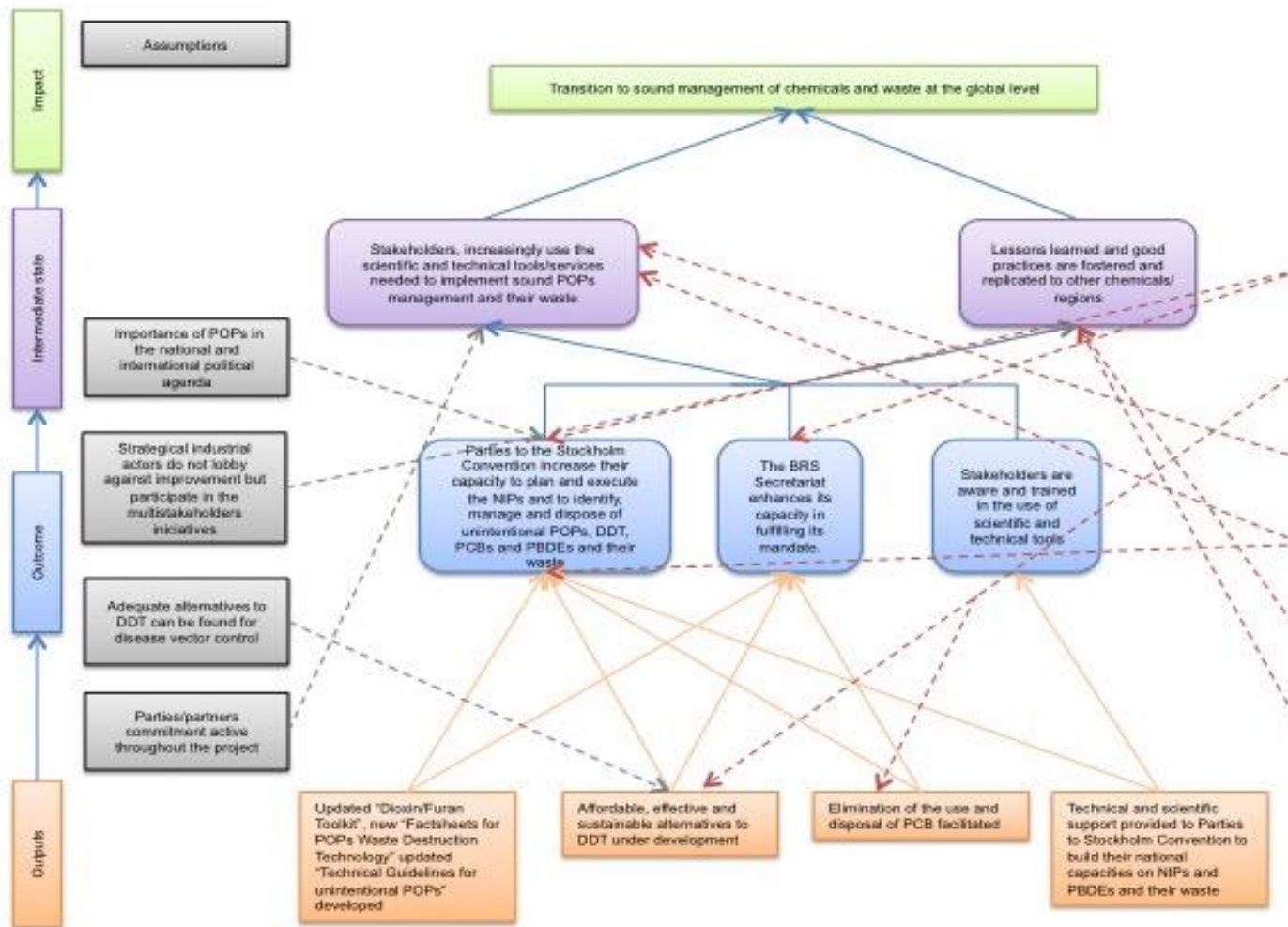
75. The following main factors are expected to contribute to the realisation of the intended impacts and **can be influenced by the project (drivers)**: Active scientific and technical role of UNEP C&W Sub-programme in POPs and their waste; Synergies with other initiatives, programmes and projects; Ownership by targeted countries and partners; Stakeholders/Partners actively engaged and use the tools/services provided by the project.

76. The other **drivers** are that: Information on best technologies/practices at international levels is visible and accessible; Dissemination of lessons and good practices to countries in other regions.

77. Four **key assumptions** that are expected to contribute to the realisation of the intended impacts are that: Importance of POPs in the international and national political agenda; Adequate alternatives to DDT can be found for disease vector control; Strategic industrial actors do not lobby against improvement but participate actively in the multi-stakeholders initiatives; Commitment of Parties/partners remain active throughout the project.

78. The Review of Outcomes to Impact (ROtI) analysis is detailed under *Effectiveness: Attainment of Objectives and Planned Results* under Part III, Section 0.

**FIGURE 1: RECONSTRUCTED THEORY OF CHANGE**



### III. Evaluation Findings

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

#### A. Strategic Relevance

80. The **UNEP Medium-term Strategy 2014-2017**<sup>52</sup> identifies seven cross-cutting thematic priorities as climate change, disasters and conflicts, ecosystem management, environmental governance, chemicals and waste, resource efficiency and environment under review. This project falls under sub-programme five on chemicals and waste which aims to promote a transition among countries to the sound management of chemicals and waste, with a view to minimizing impacts on the environment and human health.

81. Within sub-programme five the project is aligned with the Biennial Programme of Work (PoW) and budget for 2014–2015<sup>53</sup> and for 2016-2017<sup>54</sup> Expected Accomplishment (EA) b) *Countries, including major groups and stakeholders, make increasing use of the scientific and technical knowledge and tools needed to implement sound chemicals management and the MEAs.*

82. The specialist technical services provided by UNEP's C&W Branch in this project to the BRS Secretariat and the Parties to the Stockholm Convention respond to **UNEP's Governing Council Decision 19/13**<sup>55</sup> (to initiate international action to protect human health and the environment through measures which will reduce and/or eliminate emissions and discharges of POPs) and **Decision 23/9**<sup>56</sup> (encouraging cooperation and synergies between UNEP's Chemicals Branch and the Stockholm Convention Secretariat).

83. These services fulfil UNEP's mandate within the **Bali Strategic Plan**<sup>57</sup>, which has a strong focus on capacity building in supporting the implementation of environmental conventions, to continue its technology support and capacity building. The project is relevant to the Sustainable Development Goals (SDG).<sup>58</sup>

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

85. **Gender equality and human rights**<sup>59</sup>. Since the project has a scientific nature it does not directly impact on people's productive activities. Therefore the gender balance issue addressed in the project design takes a different dimension. The reduction of POPs releases from using the tools updated/revised through this project as well as from implementing the NIPs has the potential to improve maternal health through identification of highly exposed mothers (at national scale) and promoting counter-measures. Moreover through the data generated by the project although not gender disaggregated is possible to have a more accurate knowledge of human exposure and environmental concentration of POPs at the national, sub-regional and global levels. In the project implementation women have been involved in project management, scientific research and workshops attendance<sup>60</sup>.

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<sup>52</sup> The project was designed during UNEP' MTS 2010-2013) <http://www.unep.org/PDF/FinalMTSGCSS-X-8.pdf> and implemented during UNEP MTS (2014-2017) [http://www.unep.org/pdf/MTS\\_2014-2017\\_Final.pdf](http://www.unep.org/pdf/MTS_2014-2017_Final.pdf)

<sup>53</sup> UNEP/GC.27/10 <http://www.unep.org/gc/gc27/download.asp?ID=3971>

<sup>54</sup> UNEP/EA.1/7\* [http://www.unep.org/about/sgb/cpr\\_portal/Portals/50152/PoW%202016-2017\\_4%20April%202014\\_track%20changes%20with%20Cuban%20comments.pdf](http://www.unep.org/about/sgb/cpr_portal/Portals/50152/PoW%202016-2017_4%20April%202014_track%20changes%20with%20Cuban%20comments.pdf)

<sup>55</sup> UNEP/GC.19/34 (1997)

<sup>56</sup> UNEP/GC.23/11 (2005)

<sup>57</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

<sup>58</sup> <https://sustainabledevelopment.un.org/?menu=1300>

<sup>59</sup> "Integrating human rights and gender equality issues in Evaluations" <http://drustage.unep.org/evaluation/working-us/human-rights-and-gender-equality>

<sup>60</sup> See, for instance, list of participants to the *Global Workshops on developing, revising and updating NIPs* that took place in Fiji in April 2016. Lists of participants have not been found to all the workshops mentioned under paragraph 120.

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

87. **South-South cooperation.** Capacity building on Environmentally Sound Management of PBDES and their waste is provided by China to Cambodia, Lao, Mongolia, Pakistan and Sri-Lanka through China Trust Fund, under the project activity 4.2 (see section below).

88. The project is however not relevant to the overall achievements of the Rotterdam Convention and has a partial and indirect relevance to the Basel Convention (activities 1.2 and 1.3). No reference is made in the project to the provisions of these Conventions (see Table 3 above which only related to the obligations under the Stockholm Convention).

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

## B. Achievement of Outputs

89. This section describes the results achieved for each activity with a cross reference to the contextual paragraphs under Part II Section B of the present report. The funding sources are indicated under Part II Section F.

### OUTPUT 1: Updated “Dioxin and Furan Toolkit”, New Factsheets and Updated Technical Guidelines

#### ACTIVITY 1.1: Updated “Dioxin and Furan Toolkit”

90. UNEP’s C&W Branch received the mandate from the CoP of the Stockholm Convention (decisions SC-2/5, SC-3/6, SC-4/7, and SC-5/13) to review and update, in cooperation with the BRS Secretariat, the *Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases* (paragraphs 38 - 40).

91. Expert meetings on *BAT and BEP and the Toolkit for Identification and Quantification of Releases of Dioxins, Furans and Other Unintentional Persistent Organic Pollutants under the Stockholm Convention (Toolkit)* are held annually by the BRS Secretariat<sup>61</sup> in accordance with the procedures for review and update adopted by decision SC-5/12. The former Project Manager in her quality as Senior Scientific Affairs Officer attended these meetings<sup>62</sup>. UNEP/DTIE has ceased participating in these meetings for the last two years<sup>63</sup>.

92. **The latest version of the Toolkit was endorsed by CoP 7 of the Stockholm Convention** by Decision SC-7/7<sup>64</sup> and **published in the webpage of the BRS Secretariat**. They are used in the Global Workshops on NIPs (activity 4.1 below) and according to information provided by the Project Manager and confirmed in the respective NIPs the following countries have reported their use in the NIPs update: Brazil, Cambodia, Nigeria and Senegal. However **no information was found** on the pilot testing of the Toolkit in developing and CEIT from different regions (who are the main target of the toolkit) nor in the assessment reports on the usefulness of the Toolkit and impact to MEAs to be prepared by the project at appropriate intervals, as foreseen in the ProDoc.

#### ACTIVITY 1.2: New factsheets for POPs Waste Destructions Technology

93. To develop the work described under paragraph 41 above, the BRS Secretariat has hired a consultant who developed the factsheets and requested UNEP/DTIE to provide advisory technical-scientific services, monitor the progress of the update, review the output of the consultant, organize an external review on the

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[http://www.unitar.org/cwm/sites/unitar.org.cwm/files/uploads/2.\\_list\\_of\\_participants\\_gmp2\\_fiji.pdf](http://www.unitar.org/cwm/sites/unitar.org.cwm/files/uploads/2._list_of_participants_gmp2_fiji.pdf)

<sup>61</sup> <http://chm.pops.int/Implementation/BATandBEP/Meetings/tabid/120/Default.aspx>

<sup>62</sup> Report of the Experts Meeting in November 2014 (Geneva) UNEP/POPS/TOOLKIT-BATBEP/1 which quotes the former PM who is included in the list of participants.

<sup>63</sup> See Reports of the Experts Meetings in September 2015 and October 2016 (Bratislava) respectively:

UNEP/POPS/TOOLKIT/BATBEP/2015/1

UNEP/POPS/TOOLKIT/BATBEP/2016/1

<sup>64</sup> SC-7/7: Toolkit for Identification and Quantification of Releases of Dioxins, Furans and Other Unintentional Persistent Organic Pollutants

draft fact sheets, and report back to the BRS Secretariat. This assistance was required through an ICA from September 2012- the Factsheets were finalized and delivered to the BRS Secretariat in December 2014, prior to the start of the project.

94. The whole project was delayed and some factsheets could not be developed mainly due to lack of information from industries, but also due to internal issues within the BRS Secretariat including lack of staff to overlook the project.

95. According to UNEP/DTIE from the total 31 factsheets, 15 are finalized, 14 need editing and formatting, and 3 need final technical review. This is a work in progress that has not yet been published.<sup>65</sup> Overall the BRS Secretariat has indicated that UNEP/DTIE “has delivered what was agreed upon and the quality seems good”.

96. BRS Secretariat will now start an internal review of the quality of the factsheets and will additionally try to engage other experts to validate if what is out-dated can be easily fixed and if not will try to engage a consultant again to update what is needed and to finalize them.

97. **The project has failed to achieve the following milestones:** final editing and layout of the second set of factsheets on POPs Destruction Technologies (set on “Technology Providers”); publication of these factsheets on the webpage of the BRS Secretariat.

### ACTIVITY 1.3: Updated and published “Technical Guidelines for Unintentional POPs”

98. The BRS Secretariats had requested the technical and scientific expertise of UNEP/DTIE to update the Technical Guidelines (paragraph 42 and 43), to include PeCBz. This assistance was required through an ICA implemented between November 2013 and December 2015.

99. The draft Technical Guidelines were made available by UNEP/DTIE to the BRS Secretariat in January 2015, updated in April 2015 and finalised in May 2015. The *Technical guidelines on the environmentally sound management of wastes containing or contaminated with unintentionally produced PCDD, PCDF, HCB, PCB or PeCB* were adopted at CoP 12 of the Basel Convention in May 2015 by Decision BC-12/3 which was welcomed at CoP 7 of the Stockholm Convention by Decision SC-7/9. The Technical Guidelines cover all the POPs that are formed and released unintentionally from anthropogenic sources as listed in Annex C of the Stockholm Convention

100. The Guidelines are available at the BRS Secretariat webpage<sup>66</sup> and **expressly refer to the Chemicals Branch of UNEP/DTIE as the lead organisation for this work** in close consultation with the small intersessional working group on the development of technical guidelines on POPs wastes and taking into account comments received from parties and others and comments provided at the 9th meeting of the OEWOOG.

### OUTPUT 2: Affordable, effective and sustainable alternatives to DDT under development

#### ACTIVITY 2.1: Products, methods and strategies as alternatives to DDT developed

101. Pursuant to Decision SC-5/6 (paragraph 47 and Annex IV) the BRS Secretariat was requested to facilitate a sustainable transition of the leadership of the Global Alliance to UNEP/DTIE, which was initially challenging with regard to the administrative and technical capacities of UNEP to undertake the role of the BRS Secretariat. Some stakeholders argued that it was a premature decision and its rationale was unclear but that in the end UNEP/DTIE managed to make progress and things are presently on track.

102. At CoP 6, through Decision SC-6/1 the Parties invited UNEP to report on progress in the implementation of the Global Alliance to CoP 7. **UNEP’s C&W Branch, in its function as the Secretariat of the Global Alliance,** has worked in close consultation with the BRS Secretariat and the WHO to facilitate the work of the Global Alliance.

103. UNEP/DTIE reported on the progress on implementation of the Global Alliance to CoP 7<sup>67</sup> and stated that the financial contributions received were insufficient to coordinate the Global Alliance effectively and to

<sup>65</sup> <http://www.unep.org/chemicalsandwaste/POPs/ChemicalsManagementandReduction/FactsheetsonPOPsDestructionTechnologies/tabid/1059966/Default.aspx>

<sup>66</sup> Adopted Technical Guidelines. <http://www.basel.int/Implementation/Publications/TechnicalGuidelines/tabid/2362/Default.aspx> UNEP/CHW.12/5/Add.4/Rev.1 (14/07/2015).

<sup>67</sup> Report by the United Nations Environment Programme on progress in the implementation of the Global Alliance for the Development and Deployment of Products, Methods and Strategies as Alternatives to DDT for Disease Vector Control



implement its workplan. As mentioned above, the Global Alliance is governed by an Alliance Assembly and a Steering Committee (paragraph 45). The Steering Committee has a term of two years and was expected to meet every year. The first and last meeting was in Nairobi (Kenya) in August 2012<sup>68</sup>. At the 2<sup>nd</sup> and last Alliance Assembly (May, 2013) the former project manager informed that the second and third meetings of the Steering Committee should take place in 2013 and 2014 respectively and suggested the annual meeting of the Committee to take place back-to-back with the biannual meeting of the Alliance Assembly<sup>69</sup>.

104. **One milestone that the project failed to achieve** was the organisation of 2<sup>nd</sup> meeting of the Global Alliance Steering Committee to review the implementation of the roadmap and elaborate next steps. This meeting is now expected to take place in early 2017 under an SSFA between UNEP/DTIE and the Stockholm Convention Regional Centre for Latin America and the Caribbean Region (BCCC-SCRC-Uruguay), a GEF Executing Agency<sup>70</sup>, signed in June 2016 to be implemented until 31 May 2017<sup>71</sup>. Under this SSFA the BCCC-SCRC-Uruguay is expected to provide logistical and substantive support, including preparation of relevant presentations, materials and the meeting's report. Due to delays in its implementation a no cost extension of this SSFA is being negotiated until end of 2017.

105. **Another project output milestone that has not been achieved** is the updating of the Global Alliance webpage. This webpage has been placed under the website of UNEP's C&W Branch<sup>72</sup> but has not been updated as envisaged by the project<sup>73</sup> - for example, during the project implementation the list of members of the Global Alliance has not been updated (there are two lists available one from June 2014 where UNEP/DTIE is still represented by the former Project Manager<sup>74</sup> and the other one from March 2011 when the leadership was still under the BRS Secretariat).

## ACTIVITY 2.2: Roadmap for implementation of alternatives to DDT prepared

106. In line with Decision SC-6/1 (paragraph 48 and Annex IV) UNEP in consultation with WHO, the DDT expert group, and the BRS Secretariat should **prepare a road map for the development of alternatives to DDT and present it to CoP 7**. The ultimate objective of the roadmap is to "make locally safe, effective, affordable and environmentally sound alternatives available for a sustainable transition away from DDT".

107. The key elements of the Road Map for the Development of Alternatives to DDT<sup>75</sup> were included in Working Document UNEP/POPS/COP.7/5<sup>76</sup> for CoP 7 to the Stockholm Convention; the full Road Map was included in Information Document UNEP/POPS/COP.7/INF/6<sup>77</sup>. **At CoP 7, by Decision SC-7/2, the Parties endorsed the key elements of the Road Map and invited UNEP to lead its implementation and to report progress to CoP 8**. The DDT experts last met in Geneva in November 2016. The report of the meeting and its recommendations will be submitted to CoP 8.<sup>78</sup>

108. A Flyer containing an overview of the Roadmap was developed together with a poster and other **awareness-raising materials on the Road Map** by UNEP/DTIE in cooperation with the Global Alliance; these have been disseminated at regional workshops organized by the BRS Secretariat, at COP7, at the Science Fair, as well as at a side event on "Towards Alternatives to DDT", organized in cooperation with the Global Alliance.

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UNEP/POPS/COP.7/INF/7

<sup>68</sup><http://chm.pops.int/Implementation/DDT/Meetings/GlobalAllianceSC12012/tabid/3141/mctl/ViewDetails/EventModID/1421/EventID/354/xmid/9811/Default.aspx>

<sup>69</sup> Meeting Report 2<sup>nd</sup> Assembly of the Global Alliance (Geneva, 7 May 2013)

<http://chm.pops.int/Portals/0/unepchemicals/Final%20Report%20DDT%20Global%20Alliance%20Second%20Assembly%202013.pdf>

<sup>70</sup><http://www.ccbasilea-crestocolmo.org.uy/en>

<sup>71</sup> It should be noted that the reference under the SSFA is to "the organization of the first meeting of the *DDT Road Map Task Force*". Since this Task Force does not exist clarifications were requested to both UNEP/DTIE and the BCCC-SCRC-Uruguay who indicated that it should be understood as the meeting of Global Alliance Steering Committee.

<sup>72</sup><http://www.unep.org/chemicalsandwaste/POPs/ChemicalsManagementandReduction/PhasingoutDDT/GlobalAllianceforAlternativestoDDT/tabid/1061158/Default.aspx>

<sup>73</sup><http://chm.pops.int/Implementation/PesticidePOPs/DDT/GlobalAlliance/tabid/621/mctl/ViewDetails/EventModID/1421/EventID/136/xmid/6821/Default.aspx>

<sup>74</sup>[http://chm.pops.int/Portals/0/unepchemicals/Members%20of%20the%20Global%20Alliance\\_16.07.14.pdf](http://chm.pops.int/Portals/0/unepchemicals/Members%20of%20the%20Global%20Alliance_16.07.14.pdf)

<sup>75</sup>[http://www.unep.org/chemicalsandwaste/Portals/9/POPs/DDT/DDT%20Road%20Map\\_UNEP%20Chemicals%20Branch\\_2015.pdf](http://www.unep.org/chemicalsandwaste/Portals/9/POPs/DDT/DDT%20Road%20Map_UNEP%20Chemicals%20Branch_2015.pdf)

<sup>76</sup><http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP7/tabid/4251/mctl/ViewDetails/EventModID/870/EventID/543/xmid/13075/Default.aspx>

<sup>77</sup><http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP7/tabid/4251/mctl/ViewDetails/EventModID/870/EventID/543/xmid/13075/Default.aspx>

<sup>78</sup> INF docs for CoP 8 will be submitted to the Secretariat for editing and formatting by mid January to be made available to the Parties six weeks prior to the CoP.

109. To implement this component of the project UNEP/DTIE celebrated in July 2016 a Contribution Agreement with UNITAR which includes the following **activities that are still being implemented**: (1) At least 10 government stakeholders from at least 5 countries informed about experiences and lessons learned in the use of non-chemical vector control options; (2) At least 10 government stakeholders from at least 5 countries trained in the basic principles of integrated vector management; (3) A brochure showcasing DDT phase-out case studies is developed and published online; and (4) 1 flash infographic developed for the webpage of the DDT Global Alliance. The estimated cost is 11,000 USD. Due to delays in implementation the Agreement is being extended.

110. As a follow up to this component of the project a new concept note was developed by UNEP/DTIE in close collaboration with the BRS Secretariat for implementing Decision SC-7/1 laying down activities for the road map implementation. To fund part of this implementation program on *strengthening capacity for the assessment of continued need of and Implementation of the Road Map for the development of Alternatives to DDT* a donor agreement was celebrated between the German Government and the BRS Secretariat (July 2016-December 2016) in the amount of 25.000 USD to make a global inventory of stockpiles and contaminated sites with DDT and to undertake a case study in Sri-Lanka. These activities were not included in the Project Revision because the financial contributions were only received after the revision. Biovision has also confirmed availability to support this implementation program with 40.000 USD to translate the general roadmap into national actions through case studies in Africa where countries are relying on DDT to combat malaria and are dealing with resistance issues.

111. UNEP/DTIE and the BRS Secretariat are jointly implementing this program. As of December 2016 UNEP/DTIE had collected information on stockpiles of DDT in the UN-regions based mostly in information from the NIPs which was crossed referred with data from other documents - since some of the information in the NIPs is out-dated (2006-2015). This is baseline information for the consultant that is being hired by the BRS Secretariat to compile the global inventory of DDT stockpiles and contaminated sites, which is expected to be published in 2017

### OUTPUT 3: Elimination of the use and disposal of PCB facilitated

#### ACTIVITY 3.1: Leadership and administrative support to PEN

112. The transition of the PEN's leadership from the BRS Secretariat to UNEP/DTIE, pursuant to Decisions SC-5/7 was, according to some interviewees, premature and not well founded - Parties requested the Secretariat to facilitate a transition of the leadership of the network "in a sustainable manner" which was difficult to implement since UNEP did not seem ready to take that leadership role and there were, arguably, some conflict of interest. These challenges seem meanwhile to have been overtaken and UNEP/DTIE, in its function as the secretariat of the PEN, is working in close collaboration with the BRS Secretariat to facilitate PEN's work (paragraphs 51, 52 and Annex IV). At the last CoP (2015) UNEP/DTIE **reported on the progresses made and Parties by Decision SC-7/3 took note of the work and invited UNEP to inform of the activities of the PEN at CoP8.**

113. During the project implementation expert meetings of PCBs were organized in some cases back-to-back with the PEN Advisory Group meetings. A total of two meetings of the PEN Advisory Group were organized: the 6<sup>th</sup> meeting which took place in Brno (Czech Republic)<sup>79</sup> from 14 to 16 December 2015, co-organized by SCRC-Czech Republic, Research Centre for Toxic Compounds in the Environment (RECETOX) under a SSFA between the BRS Secretariat and RECETOX; the 7<sup>th</sup> and last meeting which took place in Asuncion (Paraguay) from 30 November to 1 December 2016<sup>80</sup>, co-organized by the BCCC-SCRC-Uruguay under the SSFA referred above (paragraph 104) which provided logistical and substantive support, including preparation of relevant presentations, materials and the meeting's report. PEN progress reports are to be submitted by UNEP to CoP 8<sup>81</sup>.

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<sup>79</sup> 6<sup>th</sup> Meeting of the Advisory Committee of PEN:

<http://chm.pops.int/Implementation/PCBs/PEN/6thmeetingPENAdvisoryCommittee/tabid/4779/Default.aspx>

<sup>80</sup> 7<sup>th</sup> Meeting of the Advisory Committee of PEN:

<http://chm.pops.int/Implementation/IndustrialPOPs/PCBs/Meetings/7thmeetingPENAdvisoryCommittee/tabid/5405/Default.aspx>

<sup>81</sup> INF docs for CoP 8 will be submitted to the Secretariat for editing and formatting by mid January to be made available to the Parties six weeks prior to the CoP.

114. The PEN webpage is presently in the website of the BRS Secretariat<sup>82</sup> and in the UNEP/DTIR website<sup>83</sup>. However **the project has failed** to keep it up-to-date (example the reports of the 5<sup>th</sup> and 6<sup>th</sup> PEN Advisory Group Meetings were not available on line as of on 22 December and the list of members to the Advisory Committee is out-dated<sup>84</sup>).

115. **Awareness raising materials** developed by UNEP/DTIE in cooperation with PEN Advisory Group include: a brochure and a poster with the highlights of the Preliminary Assessment of Efforts made towards the elimination of PCB<sup>85</sup>. These materials have been disseminated at regional workshops organized by the BRS Secretariat as well as the CoP 7, including at the Science Fair as well as a side event on “Progress in Eliminating PCB”, organized in cooperation with the PEN. Also three easy-to-understand guidance documents were developed:(1) Photo booklet on “PCB – Open Applications – Identification and Environmentally Sound Management”; (2) Information sheet “PCB in open applications: Residential and public buildings”; (3) Information sheet “PCB in open applications: Machinery and installations”.

### ACTIVITY 3.2: Technical expertise on PCBs provided

116. At CoP 6 Parties requested the Secretariat to prepare a report on progress towards the elimination of PCB pursuant to Decision SC-6/6. In its leadership role within the PEN, UNEP/DTIE, in cooperation with the BRS Secretariat and in consultation with the PEN advisory committee, developed a *Preliminary Assessment of efforts made toward the elimination of PCBs*, taking into account national reports submitted by parties pursuant to Article 15 of the Convention and other relevant sources of information. The objective of this preliminary assessment is to summarize available information on the amounts of PCB produced, the amounts that have been eliminated and the amounts that still need to be eliminated, in order to determine how much progress has been made towards the elimination of PCB. **At CoP 7 Parties took note, by Decision SC-7/3 of the preliminary assessment developed by the UNEP/DTIE<sup>86</sup>.**

117. A *Consolidated Assessment of the efforts made towards the elimination of PCBs* was prepared under the leadership of UNEP DTIE and published in January 2016<sup>87</sup> and will be submitted to CoP 8. The report summarizes information on the amount of PCB produced, eliminated and to be eliminated. Among others, the report addresses several challenges and limitations, including on inventories, measurement, cross contamination, open applications.

118. To **implement this component of the project** UNEP/DTIE celebrated in July 2016 a Contribution Agreement with UNITAR which includes the following **activities that are still being implemented**: (1) PCB ‘stories’ or other awareness raising materials developed, shared with the PEN members and online; (2) 2 brochures showcasing PCB inventory and disposal case studies is developed and published online; (3) At least 10 government stakeholders from at least 5 countries trained in the use of the PEN guidance documents; (4) 1 flash infographic developed for the webpage of the PEN; (5) Technical expertise is provided for the development of a GEF project proposal on PCB in open applications – “PCB in open applications”. The estimated cost is 32,000 USD. Due to delays in implementation the Agreement is being extended.

119. Under the heading of “PCB - The Forgotten Legacy”, PEN is currently developing and implementing an awareness-raising strategy to bring PCBs back on the international agenda conveying the scientific information in a more clear and easy to understand manner with a good scientific basis. A webinar as recently been organized by UNEP/UNITAR on this regard<sup>88</sup>.

120. The Report of 2<sup>nd</sup> and last meeting of the Effectiveness Evaluation Committee held in October 2016 in Geneva is available in the BRS webpage<sup>89</sup>. One of its main findings is that “measures to control pesticides are

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<sup>82</sup> <http://chm.pops.int/Implementation/IndustrialPOPs/PCBs/PCBEliminationNetwork/PENOverview/tabid/438/Default.aspx>

<sup>83</sup> <http://www.unep.org/chemicalsandwaste/POPs/ChemicalsManagementandReduction/PhasingoutPCB/PCBEliminationNetwork/tabid/1061160/Default.aspx>

<sup>84</sup> UNIDO, for instance, is represented by another officer who participated in the evaluation.

<http://chm.pops.int/Implementation/IndustrialPOPs/PCBs/PCBEliminationNetwork/AdvisoryCommittee/tabid/664/Default.aspx>

<sup>85</sup> Available in hard copy and electronic but not on-line

<sup>86</sup> Preliminary assessment of efforts made toward the elimination of PCBs  
UNEP/POPS/COP.7/INF/9

<sup>87</sup> Consolidated assessment of efforts made toward the elimination of PCBs  
[http://www.unep.org/chemicalsandwaste/Portals/9/POPs/PCB/Consolidated%20PCB%20Assessment\\_2016\\_Final.pdf](http://www.unep.org/chemicalsandwaste/Portals/9/POPs/PCB/Consolidated%20PCB%20Assessment_2016_Final.pdf)

<sup>88</sup> <http://www.unep.org/chemicalsandwaste/Portals/9/Notes%20Webinar%20PCB%2025%20October%202016.pdf>

<sup>89</sup> The objective of the effectiveness evaluation is assessing whether the Stockholm Convention is an effective tool to protect human health and the environment from persistent organic pollutants <http://chm.pops.int/Default.aspx?tabid=5323>

more widespread than for industrial chemicals. In particular, measures to control PCB are lacking in a number of countries, in particular in developing country Parties and Parties with economies in transition” urging Parties to “developing, enforcing and/or strengthening national legislation and/or regulations implementing the Convention that are appropriate for both industrial chemicals and pesticide”.

#### OUTPUT 4: Technical and scientific support provided to Parties to the Stockholm Convention

##### ACTIVITY 4.1: Provide technical expertise on initial and new POPs to developing countries and CIETs

121. Specific request for assistance have been received from Afghanistan, Uruguay, Paraguay and Argentina<sup>90</sup>. Besides the BRS Secretariat, in collaboration with UNEP C&W Branch and the respective Stockholm Convention Regional Centres, has conducted *Global Workshops on developing, revising and updating NIPs*. During the period of the project implementation the following workshops were conducted: **Indonesia** (8-10 December, 2015)<sup>91</sup> was attended by representatives from 17 countries of which 5 are beneficiary countries<sup>92</sup>; **Panama** (20-22 April, 2016)<sup>93</sup> was attended by representatives from 19 countries of which 9<sup>94</sup> are beneficiary countries; **Fiji** (April, 2016)<sup>95</sup> was attended by representatives from 12 countries of which 7<sup>96</sup> are beneficiary countries - the report of the Fiji workshop was not available during the evaluation.

122. NIPs are available in the BRS Secretariat<sup>97</sup> which in some cases have a direct reference to UNEP assistance- e.g: Brazil in its NIP update from April, 2015, Cambodia in its NIP update from January 2016 and Nigeria in its NIP update from August 2016 **make express reference to the Toolkit**.

123. The only milestone for this output was **one national report demonstrating the request to UNEP for technical services**. The *Final Inventory Report for Unintentional Produced POPs* in Cambodia makes express reference to the assistance received from UNEP’s C&W and provided by the former project manager. This report is however from September 2014, prior to the project implementation.

##### ACTIVITY 4.2: Capacity-building for ESM of PBDE and their wastes in selected Asia-Pacific countries (Cambodia, Laos, Pakistan, Sri Lanka and Mongolia)<sup>98</sup>.

124. This output was implemented by BCRC/SCARP as external executing partner and co-executed by CEAN the focal point or environmental cooperation between China and the Association of Southeast Asian Nations (ASEAN), which is under the Chinese Ministry of Environment<sup>99</sup>.

125. The project was initially scheduled to commence in March 2014. However due to administrative delays the project approval was only finalised in December 2014 with funding made available in February 2015. The project delivery has been accomplished within the 21 months envisaged in the ProDoc.

126. **All the expected outputs were accomplished:**

- a) The PBDE regional information platform is accessible and operational<sup>100</sup> which includes an overview of the issues of PBDEs; Regional PBDEs inventories; Laws and Regulations from China, Korean and Sri Lanka; overview of research on PBDEs and alternatives to PBDEs;
- b) Awareness raising materials have been produced based on information collected by CEAN which includes a video<sup>101</sup> and a brochure<sup>102</sup>;

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<sup>90</sup>For reasons of geographical balance representatives from Afghanistan and Paraguay were contacted but only the first was available for the interview. These requests were made by email to the Project Manager.

<sup>91</sup><http://chm.pops.int/Implementation/TechnicalAssistance/Workshops/GlobalworkshopondevelopingNIPsunderSC/tabid/4780/Default.aspx>

<sup>92</sup> Benin; Burundi; Cameroon; Madagascar; and Sri Lanka.

<sup>93</sup><http://chm.pops.int/Implementation/TechnicalAssistance/Workshops/NIPWorkshopPanamaApr2016/tabid/5060/Default.aspx>

<sup>94</sup> Argentina; Cambodia; Gambia; Georgia; Ghana; Pakistan; Paraguay; Sierra Leone; and Uruguay.

<sup>95</sup><http://www.unitar.org/cwm/implementation-pops-monitoring-plan-pacific-region-under-stockholm-convention>

<sup>96</sup> Cook Islands; Marshall Islands; Nauru; Papua New Guinea; Samoa; Solomon Islands; and Tonga.

<sup>97</sup> <http://chm.pops.int/Implementation/NationalImplementationPlans/NIPTransmission/tabid/253/Default.aspx>

<sup>98</sup> This activity was standing as a separate PoW Project but was later incorporated in Project 524.2 as required by the Quality Assurance Service.

<sup>99</sup> <http://chinaaseanenv.org/english/>

<sup>100</sup> <http://sc.bcrc.cn/col/1432867363459/2015/05/29/1432867539922.html>

<sup>101</sup> The video is available in English in the PBDE platform: *Guidance for the inventory of PBDEs listed under the Stockholm Convention - a tiered approach - Dr. Roland Weber* (POPs Environmental Consulting)

- c) A survey on the present rate of PBDEs waste generation, recycling and disposal practices was undertaken from September to November 2015 in each of the participating countries and are available in the PBDE platform- Cambodia<sup>103</sup>; Laos<sup>104</sup>; Mongolia<sup>105</sup>; Sri Lanka<sup>106</sup> and Pakistan<sup>107</sup>. These surveys were consolidated in *A Feasibility Study on Separation of PBDEs containing waste from the general waste stream - Case Study in China* that has been submitted to UNEP's C&W Branch and approved in December 2016;
- d) A "Regional Workshop on Chemicals" was held in October 2015<sup>108</sup>;
- e) A draft proposal for a regional strategy for PBDE management was submitted to UNEP/DTIE in March 2016 which identified the following four pillars to the regional approach on PBDE management: clear designation of competent authorities; establishment and improvement of the legal framework; capacity building for ESM of PBDE; awareness raising among the governments, industries and general public. These approach could be replicated to other countries within the Asia and Pacific region and beyond.

127. All the representatives from the beneficiary countries were contacted but the only ones available to participate in the evaluation were the representatives from Cambodia and Pakistan who strengthen the potential for replication of the PBDE regional information platform and strategy

#### OUTPUT 5: Training and awareness in the use of the scientific and technical tools and services provided to stakeholders

128. As sated under Part II Section G, this output was added during the project revision and included various awareness raising materials mentioned in each of the respective sections above (paragraphs 108, 115, 118 and 126).

129. Three webinars were organised by PEN in collaboration with UNEP's C&W Branch and UNITAR entitled – PCB a forgotten legacy- the first was held on 25 October 2016 in which PCB elimination efforts were discussed and no list of attendees is available. A second and third webinar were held on 1 November and 8 November and attended by representatives of 9 and 8 countries respectively.<sup>109</sup> The training workshop on Environmentally Sound Management of PBDEs was undertaken in China and was attended representatives of six countries. A video and brochure were produced and are available in the PBDE regional information platform (paragraph 126).

130. **The project has however failed to achieve the following milestones:** publication of at least one map on either past/present DDT consumption/production/stockpiles; one brochure on chemical and non-chemical alternatives to DDT; webinars on DDT; and, except for a success story on PCB Elimination in Egypt shared during one webinars by the Stockholm Convention focal point in that country, no specific success stories were found and two were expected to have been delivered by the project.

131. **The project has however failed to achieve the following milestones:** publication of at least one map on either past/present DDT consumption/production/stockpiles; one brochure on chemical and non-chemical alternatives to DDT; webinars on DDT; and, except for a successful story on PCB Elimination in Egypt shared

<sup>102</sup> The brochure is available in English and Chinese in the PBDE platform: *The Application and Processing Technology of PBDEs* which contains information on inter alia: Basic property of PBDEs, the Purposes of PBDEs, Environment and health risks, the PBDEs trend in environment, the ways and methods of PBDEs entering human body and the domestic and international policies as well as laws and regulations related to PBDEs.

<sup>103</sup> [Cambodia Situation Report on PBDE-VER-02](#) Cambodia Situation Report on PBDE in E-waste Sector (August 2015)

<sup>104</sup> [National Summary Report on Present Status of PBDEs-Lao P](#) National Summary Report on Present Status of PBDEs Management Lao People's Democratic Republic (September 2015)

<sup>105</sup> [Situation Analyse Of PBDE in Mongolia](#); *Situation Analyses of PBDE in Mongolia*

<sup>106</sup> [Draft Report on PBDEs-Sri Lanka](#) National Summary Report On Present Status of PBDEs Management, Sri-Lanka (August 2015)

<sup>107</sup> [REPORT ON PBDEs Management and Reduction- Pakistan](#) National Consultant Report under the Project "Subregional Action Plan (Asia) for PBDEs Management and Reduction"

<sup>108</sup> The workshop was held from 28th-29th Oct, 2015 in Taohuadiao (China), back-to-back the 10th International Conference on Waste Management and Technology (ICWMT 10). The meeting was organized by SCRCAP/BCRC China) and attended by 16 experts from Basel, Rotterdam and Stockholm Conventions Secretariat (BRS Secretariat), UNEP, Swedish Chemical Agency, SCRCAP/BCRC China, and national delegates from the beneficiary countries Mongolia, Pakistan, Sri Lanka, Cambodia and Laos.

<sup>109</sup> Information made available includes notes, Power Point Presentations and recordings of the webinar series: <http://www.unep.org/chemicalsandwaste/POPs/ChemicalsManagementandReduction/PhasingoutPCB/tabid/1061106/Default.aspx>

during one webinar by the Stockholm Convention focal point in that country, no specific success stories were found and two were expected to have been delivered.

132. In the revised ToC output 5 has been considered one of the three project outcomes due to its overreaching nature with regard to the project outputs.

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

### C. Effectiveness: Attainment of project objectives and results

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

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

#### Achievement of Direct Outcomes

134. Assessment of the achievement of outcomes was based on the objectively verifiable indicators described in the project logframe as reformulated under the project revision, using various project documentation and interviews with stakeholders and project staff. As stated in the ProDoc and Project Revision **the project’s overall expected outcome is: Parties to the chemicals and waste MEAs increase their capacities to meet their obligations by using the scientific and technical tools and services provided by the project.** This has been reformulated in the reconstructed TOC above (Part II Section H) in accordance with the effective scope of the project which is directly related with the implementation of the Stockholm Convention and in particular to increase the capacities of the Convention’s Parties to identify, manage and dispose of DDT, PCBs and PBDEs and their waste and to update their NIPs.

#### **Outcome 1: Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDE and their waste.**

135. Parties have been provided with the “**Dioxin and Furan Toolkit**” which are available at the BRS website which increases their capacity to plan and execute their NIPs and with the “**Technical Guidelines for unintentional POPs**” which have been updated, presented and adopted and are published in the website of the BRS Secretariat. The “**Factsheets for POPs Waste Destruction Technology**” are a work in progress.

136. Parties have also been provided with the following tools to increase their capacity to identify, manage and dispose of DDT and PCBs: a *roadmap for implementation of alternatives to DDT* which was endorsed by CoP 7 (paragraphs 106) and with a *preliminary assessment of the efforts made towards the elimination of PCBs*, which was presented to CoP7, and a consolidated assessment of the *efforts made towards the elimination of PCBs* which was published in January 2016 (paragraph 117).

137. Capacity building has been provided to China, Cambodia, Laos, Pakistan, Sri Lanka and Mongolia which, as beneficiary countries of activity 4.1 and in accordance with evidence provided above (paragraph 126 and 127) and information collected during the interviews have increased their capacity for Environmentally Sound Management of PBDE and their waste.

138. The target indicator was six countries supported with tools and services provided by the project. Four countries have referred to the “Dioxin and Furan Toolkit” in their NIPs update and 21 of the 29 countries identified as beneficiaries of activity 4.1 have attended the *Global Workshops on developing, revising and updating NIPs*.

#### **Outcome 2: The BRS Secretariat enhances its capacity in fulfilling its mandate**

139. Some of the project tools are directed towards *assisting the BRS Secretariat in fulfilling its mandate* which was added as **outcome 2** of the project. A task force was established in early 2014<sup>110</sup> to assess possible areas of cooperation and coordination between the BRS and UNEP/DTIE C&W Branch. The overall aim of such collaborative efforts is to improve the services provided to Parties, observers and other stakeholders to the three conventions as well as to the Strategic Approach to International Chemicals Management (SAICM), the Minamata Convention and others programmatic work of the C&W Branch. Areas of cooperation include the Toolkit, DDT and PCBs.

140. The BRS Secretariat has enhanced its capacity in fulfilling its mandate under the Stockholm Convention namely with regard to: DDT and PEN. UNEP's C&W Branch has worked in close cooperation with the BRS Secretariat to coordinate and facilitate the work of the Global Alliance on DDT (activity 2.1) and PEN (activity 3.1) which were both also funded by the BRS Secretariat.

141. As a result of limited human and financial resources the project has failed to assist in the organisation of the 2<sup>nd</sup> meeting of the Global Alliance Steering Committee and in updating the Global Alliance Webpage. The project has also failed to keep the PEN webpage up-to-date.

142. The capacity of the BRS Secretariat has also partially been enhanced with regard to the Basel Convention through the "Factsheets for POPs destruction technology" (activity 1.2) and the "Technical guidelines for unintentional POPs (activity 1.3).

143. No direct link has been found between the project and the enhancement of the BRS Secretariat's mandate with regard to the Rotterdam Convention.

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<sup>110</sup> Report on cooperation and coordination between the Secretariat of the Basel, Rotterdam and Stockholm conventions and the Chemicals Branch of the United Nations Environment Programme - SAICM/OEWG.2/INF/8 (20/11/2014) [www.saicm.org/images/saicm\\_documents/OEWG2/.../K1403745-EOWG2-INF8.pdf](http://www.saicm.org/images/saicm_documents/OEWG2/.../K1403745-EOWG2-INF8.pdf)

### Outcome 3: Stakeholders are aware and trained in the use of scientific and technical tools

144. Awareness raising and training was added during the project revision as output 5 to enhance Parties capacities to implement their obligations related to PCB, DDT and PBDE. Due to its overreaching nature with regard to the project outputs it was, in the reconstructed TOC, reformulated as a third project outcome.

145. Awareness raising materials were developed during the implementation of the project outputs: on the roadmap on alternatives to DDT (output 2) in collaboration with the PEN Advisory Group (output 3) and on the ESM of PBDE (output 4).

146. *Global Workshops on developing, revising and updating NIPs* were promoted by the BRS Secretariat, in collaboration with UNEP's C&W Branch and the respective Stockholm Convention Regional Centres (paragraph 121), which included a module on the toolkit. No evidence was however found of training with regard to the other scientific and technical tools developed by the project.

147. The project has also failed to achieve the milestones identified under paragraph 130 above with regard to DDT map, brochure, and webinars and two success stories on PCB elimination.

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

### Likelihood of impact

148. The Review of Outcomes to Impact (ROtI) approach is used to assess the likelihood of impact by building upon the concepts of reconstructed TOC under Part II H above. The ROtI approach requires ratings to be determined for the outcomes achieved by the project and the progress made towards the 'intermediate states' at the time of the evaluation. The rating system is presented in Table 8 below.

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

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

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

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

151. This rating is based on the fact that the project has contributed to the intermediate states that comprise: the increase use of the scientific and technical tools/services needed to implement sound POPs management and their waste by the stakeholders. Overall the tools developed by the project provided an opportunity to assist Parties in the implementation of their obligations under the Stockholm Convention (and more indirectly Basel Conventions). Whether the primary beneficiaries, the Parties to the Stockholm Convention, are using these tools/services is not yet clear from the project interventions mainly due to the timing of the evaluation and the nature of the tools and services developed by the project.



152. The other intermediate state to which the project has contributed is the fostering and replication of the lessons learned and good practices to other chemicals and regions. Since the Stockholm Convention is a living treaty there are new chemicals added which require new activities or updates to cover all the areas that fall under the scope of the Convention. The *Toolkit for Identification and Quantification of Releases of Dioxins, Furans* is a good example of a guidance document that has evolved to cover also *Unintentional POPs* as part of the NIP updating guidance (paragraph 92). There is a lot of potential to replicate the good practices developed by this project to mercury and to synchronize these activities with the entry into force of the Minamata Convention<sup>111</sup>. Also the capacity building for Environmentally Sound Management of PBDE in Asia in selected Asia-Pacific countries (activity 4.2) has a high potential for replication to other regions (paragraphs e)).

153. The long-term impact requires country ownership and a global involvement of countries.

**Table 9: Overall Likelihood of Achieving Impact**

<b>To promote a transition to sound management of chemicals and waste at the global level</b>								
<b>Project Objective</b>	<b>Outputs</b>	<b>Outcomes (Reformulated)</b>	<b>Rating (D-A)</b>	<b>Intermediate States</b>	<b>Rating (D-A)</b>	<b>Impact</b>	<b>Rating (+)</b>	<b>Overall</b>
	1.1. Updated "Dixon/Furan Toolkit"	Parties to the Stockholm Convention increase their capacities to identify, manage and dispose of unintentional POPs and their waste The BRS Secretariat enhances its capacity in fulfilling its mandate	<b>D</b>	Stakeholders increasingly use the scientific and technical tools/services needed to implement sound POPs management and the related MEAs Lessons learned and good practices are fostered and replicated to other chemicals/regions	<b>C</b>	Transition to sound management of chemicals and waste at the global level		<b>DC</b>
	1.2. New "Factsheets for POPs Destruction Technology"							
	1.3. Updated "Technical Guidelines for Unintentional POPs"							
	2. Affordable, effective and sustainable alternatives to DDT developed	Parties to the Stockholm Convention increase their capacities to identify, manage and dispose of DDT The BRS Secretariat enhances its capacity in fulfilling its mandate						
	3. Elimination of the use and disposal of PCBs facilitated	Parties to the Stockholm Convention increase their capacities to identify, manage and dispose of PCBs The BRS Secretariat enhances its						

<sup>111</sup><http://www.mercuryconvention.org/>

Project Objective	To promote a transition to sound management of chemicals and waste at the global level						
Outputs	Outcomes (Reformulated)	Rating (D-A)	Intermediate States	Rating (D-A)	Impact	Rating (+)	Overall
	capacity in fulfilling its mandate						
4. Technical and scientific support provided to Parties to the Stockholm Convention to build their national capacities	Parties to the Stockholm Convention increase their capacities to plan and execute their NIPs and to identify, manage and dispose of PBDE and their waste Stakeholders are aware and trained in the use of scientific and technical tools						
	<b>Rating Justification:</b> The D rating indicates that the project intended outcomes were not delivered.		<b>Rating Justification:</b> The C rating reflects that measures that were designed to move towards Intermediate states have started and have produced only a few results in a few countries, but there is no indication of progressing towards long-term impact (which requires more countries getting involved)		<b>Rating Justification:</b> The DC rating corresponds to <b>Moderately Unlikely</b> that the impacts will be achieved, in the long run.		

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

### Achievement of project goal and planned objectives

154. The project objective is to increase the capacities of Parties to the chemicals and waste MEAs, *i.e.*, Basel, Rotterdam and Stockholm Conventions, to meet their obligations by using the scientific and technical tools and services provided by the project, and to assist the Secretariat of these MEAs in fulfilling its mandate. It's overall purpose is to **contribute to minimize the impacts on the environment and human health through a transition to sound management of chemicals and waste at global level.**

155. The support of the Project to increase Parties capacities to meet their obligations under the Basel and the Rotterdam Conventions is not evident in the project design and implementation, which is mainly focused on the Stockholm Convention with some links with the Basel Convention regarding POPs waste and no links with the Rotterdam Convention - no reference is made in the project to the provisions of these Conventions.

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

157. The overall delay in completion of the project (originally intended for 15 months, was granted an extension of 10 months yet some activities are still pending conclusion) suggests some flaws, both in the design (insufficient time) and execution (insufficient financial and human resources) by the implementing agency or lack of stakeholder involvement.

158. Except with regard to the implementation program on *strengthening capacity for the assessment of continued need of and Implementation of the Road Map for the development of Alternatives to DDT* (paragraph 108), the regional strategy for PBDE management (paragraph 126) and to some extent the technical expertise on PCBs (paragraph 118) the project intervention has failed to clearly identify "next steps" for implementation. Nevertheless, the project's achievements and interventions certainly provided a strong foundation (with regard to some POPs and to Asia-Pacific region) on which to build next steps towards long-term impact.

159. The project had significant shortcomings in its design, planning and implementation, which affected its contribution to the overall purpose and objective.

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

#### D. Sustainability and Replication

160. Sustainability is understood to mean the probability of continuation of a project's direct outcomes after the project funding and assistance has ended. The evaluation of sustainability and possibility for replication focuses on four aspects of sustainability (socio-political, financial resources, institutional framework, environmental sustainability), and then looks at the catalytic role the project played towards possible upscaling and replication.

161. This project will not continue as such – in the next biennium it will be included in a new project on *Protecting health and environment through implementing chemicals & waste SDG targets and MEAs*.

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

#### Socio-political sustainability

162. Political sustainability is anchored in the fact that the beneficiary countries are in their sovereignty all Parties to the Stockholm Convention and in the decisions of the CoP, which grants UNEP with the mandate to continue assisting Parties in this process as well as the BRS Secretariat in fulfilling its mandate.

163. The main focus of this project is to strengthen the capabilities and capacities of Parties to the Stockholm Convention to fulfil some of their obligations for more relevant and effective strategic interventions, planning and implementation of their implementation plans. The rationale of the project guarantees that Parties are interested and committed in using the project's outputs to meet their obligations under the Stockholm Convention.

164. Since the outputs are linked with legally binding obligations derived from the Stockholm Convention (e.g. NIPs, DDT, PCB) awareness will be built on the importance of internalising them at national level through the NIPs, which is beyond this project. The safe management of chemicals needs to be part of the NIPs priorities or otherwise it will not be sustained.

165. The "PCBs forgotten legacy" constitutes a good initiative to raise the importance of this chemical in the political agenda.

166. A limiting factor to the socio-political sustainability has been the low level of country ownership and driven-ness. The only project component regarding which there is a clear ownership of the selected countries is on capacity-building for the ESM of PBDE and their wastes in Cambodia, Laos, Pakistan, Sri Lanka and Mongolia (activity 4.2).

167. Another limiting factor is the fact that the project has not contributed to the overall achievements of the Rotterdam Convention and has a partial and indirect relevance to the overall achievements of the Basel Convention (activities 1.2 and 1.3).

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

### Financial sustainability

168. There are challenges with respect to the financial sustainability of the project. A significant part of that sustainability is dependent on the continued flow of future financial assistance. With the increase of ownerships by the beneficiary countries it is expected that national budgets will contribute to the transition to sound management of chemicals and waste, but this is not under the influence of the project.

169. Whilst sources of financial support have been identified and pledged, namely for implementation of the program on *strengthening capacity for the assessment of continued need of and Implementation of the Road Map for the development of Alternatives to DDT* (paragraph 110) the financial sustainability is not yet secured. Aware of this situation UNEP/DTIE is organising a sustainability meeting<sup>112</sup> with representatives from UNEP, BRS Secretariat, SAICM, Minamata Convention and donors (including GEF, development banks) for early 2017 to assist countries to continue long-term project-derived results and impacts after GEF funding and assistance has ended. A financial strategy is expected to derive from this meeting.

170. Implementation of GEF project by countries through UNEP assistance is an important element leveraging funding that should be highlighted. UNEP has already submitted to GEF projects on reporting and updating of NIPs for the Stockholm Convention as well as projects on POPs in open applications which are in support of Basel and Stockholm Conventions

Financial sustainability is rated as **Moderately Likely**

### Institutional framework

171. Considering the global scope of the project the institutional sustainability should be understood as a "tool" for policy implementation. All the Parties to the Stockholm Convention have committed through its ratification/accession to its implementation at national level. Whether that has been reflected in policy/legal/institutional changes is not under the scope of this evaluation as that would require more time and resources considering the global nature of the project. However it should be noted that UNEP has created in 2014 a **special programme to strengthen national capacities on sound chemicals management** to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of sound management of chemicals and wastes, taking into account: national development strategies, plans and priorities of each country; and increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle.

172. No link was however established between the project and this programme, or with the GEF project on NIPs update (5307 and 5525). This link has now been made under the umbrella of the SSFA with the Centre for Latin America and the Caribbean Region (BCCC/SCRC), which expressly foresees the improved reviewed/updated NIPs and enhanced capacity to undertake reviews/updates among government stakeholders.

173. Institutional sustainability depends on the people in the institutions and their institutional memory. Except for activity 4.2 there is no direct link was found between the project and the targeted institutions at national level (see Table 5 above). On the other hand the fact that there are a variety of stakeholders constitutes a potential to sustain some of the projects results.

<sup>112</sup> In accordance with information provide by the Project Manger and other project staff.

Institutional framework is rated as **Moderately Unlikely**

### Environmental sustainability

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

175. By assisting Parties in fulfilling their obligations under the Stockholm Convention (see Table3 above) the project is contributing through its tools and services, awareness raising and training to achieving the Convention's objective- "protect human health and the environment from POPs".

176. However no direct evidence was found of that the tools developed by the project have contributed to the NIPs updating process of the 39 targeted countries.

Environmental sustainability is rated as **Moderately Likely**

### Catalytic role and replication

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

178. The fact that the Stockholm Convention is a living treaty facilitates replication since the adding of new chemicals requires the development of new activities to cover all the areas that fall under the scope of the Convention. For instance, the Toolkit as part of the NIP updating guidance has evolved to Unintentional POPs which constitutes a clear example of a guidance document that was developed for specific chemicals and was replicated to others. Another example are the Technical Guidelines for Unintentional POPs which were developed based in a multi-stakeholders approach which is a very dynamic and positive example of multilateralism that is being replicated since there are new guidelines to be developed using the same approach. The Environmentally Sound Management of PBDE can be easily replicated to other countries and regions besides the selected ones from Asia-Pacific.

179. On the other hand and considering that some of the outputs are a working in progress it is not possible to determine the exact degree of the level of replication of activities developed namely on alternatives to DDT and elimination of PCBs but if the technical and scientific tools developed by the project are endorsed by the CoP then the potential national implementation and replication increases.

180. There is however no evidence that the project has contributed to institutional or policy changes nor that it has catalysed behavioural changes by the relevant stakeholders of the capacities developed.

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

## E. Efficiency

### Timeliness

181. The project was estimated to be completed within 15 months. However, as pointed out above (paragraph 156) several reasons contributed to a delay in implementation which resulted in changes in design during its implementation and an extension of 10 months with no increase in the budget (Part II Section G). With this extension the project should have ended in December 2016.

182. The project relies heavily on in kind contributions from UNEP's C&W Branch. The retirement of the senior Project Manager (P5) in June 2015 and the delay in assigning the project to a newly recruited senior Project Manager (P5) only in September 2015 should be noted – the project was for three months without leadership counting only with inputs from consultants and trainees without decision making powers. The delay in the replacement of someone that is retiring is a good indicator of an inefficient Human Recruitment process within UNEP, which was reported to be rather cumbersome and long.

183. Moreover, it was not possible to recruit two additional professional staff (P3 and P4) to assist in the implementation of the project. The recruitment process was initially launched in July 2014 without any successful candidate and reopened in 2015 with the new Project Manager but due to the transition to UMOJA it was again interrupted. The post for P4 was sent for approval in late 2016 and it is expected to be launched in earlier 2017. As for the P3 it will depend on the funding.

184. The transition towards the new management software UMOJA was reported to have resulted in a number of considerable delays in particular with regard to payment to third Parties (e.g the first instalment to the BCCC-SCRC Uruguay under the SSFA was expected upon its signature in May 2016 but due to this constraint it was only received by mid December 2016).

185. The following factors were reported to the Evaluator as having contributed to the cost-effectiveness of the project: the level of technical expertise and commitment of the staff involved; the long-term partnership with the BRS Secretariat; the strategic partnership agreements (for instance on PCBs, UNEP's C&W Branch does not have the capacity to go into "open application" but partners are assisting in screening analysis in PCBs open applications); the fact that the project build upon pre-existing networks (the Global Alliance on DDT and PEN); and the endorsement by the Parties to the Basel Convention of the "Factsheets for POPs Waste Destruction Technology" and the "Technical Guidelines for Unintentional POPs".

186. The main effect of the delay in implementation was the extension of the execution period to complete the project outputs without any budget implication. However at the end of the extension period the project was still failing to achieve all the milestones with regard to outputs 1, 2, 3 and 5 (paragraphs 97, 104, 105, 114, 123 and 130 respectively).

The rating for efficiency is **Moderately Satisfactory**

## F. Factors and processes affecting performance

### Preparation and readiness

187. The ProDoc provided a clear understanding of what the project entailed and the requirements for its execution. In some cases the narrative sections were not aligned with the budget summary, the list of countries was not coherent and the description of the activities was not comprehensively captured in the project design (activity 4.1) or included in the logframe (activity 1.1). Table 10 below summarises the overall rating for the Project Design Quality assessed in the Inception Report.

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

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

188. The project comprises four different components aimed at supporting the implementation of the Stockholm Convention. Some of the planned outputs have a stand-alone nature (such as the capacity building for ESM of PBDE in selected Asia and Pacific countries) and the connections between the different outputs are

not always easy to establish. The project objectives are however practicable and feasible within the time frame except for activity 4.1 which is very broad in its scope and is not reflected in the project logframe.

189. Stakeholders were adequately identified as well as their contributions to the project in the ProDoc, which however does not refer to any stakeholder's consultation during its design. Moreover the scope of the direct beneficiaries for output 4 is not clear (i.e. table 1 identifies a total of 39 beneficiary countries but only 6 are covered by activity 4.2 and the direct link of the remaining 33 countries under activity 4.1 is unclear).<sup>113</sup>

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

191. Project management arrangements were in place and for many activities that build upon pre-existing networks (such as 2.1 and 3.1), or update pre-existing tools (such as 1.1 and 1.3), lessons from previous developments have been incorporated. The issues raised by the Project Review Committee (on the project technical quality, implementation arrangements, stakeholders engagement, sustainability and replication, monitoring and evaluation and budgeting) in November 2014 were incorporated in the ProDoc at the time of the project approval in December 2014.

192. The risk analysis conducted during design phase was limited to the complexity of the project (and impacts not understood) and the financial and human resources which was insufficient to mitigate the challenges namely at country level- the political engagement and commitment of the beneficiary countries and the status of their NIPs planning and execution.

193. The fact that the logframe was lacking clarity on some activities and outputs also constituted a shortcoming of the project design.

Preparation and readiness is rated as **Moderately Satisfactory**

## Project implementation and management

194. Implementation of the project followed the general outline described in the ProDoc with a Project Manager and external partners involved in each output delivery. Many of these activities involved reporting to the CoP of the Stockholm Convention (including 1.1, 2. And 3) or to the Basel Convention (activities 1.2 and 1.3).

195. Mainly due to the nature of the project, which included different activities developed by different partners within the same framework, and its small dimension no steering committee were was either planned or constituted. This was mainly due to reasons of cost effectiveness and efficiency. The project was therefore mainly run by the Project Manager reporting to the Head of UNEP's C&W Branch. Not having an oversight body did not have any implications in the project implementation and management mainly due to the fact that UNEP's C&W Branch was acting under a mandate given by the Parties to the Stockholm Convention, the directives from the Global Alliance on DDT and PEN and in close collaboration with the BRS Secretariat in responding to these mandates and directives. This provided a strong governance framework in fostering the achievement of the overall results.

196. The main change during the life of the project was the replacement of the Project Manager and the transition period that took three months during which the project was run by consultants and interns. The main implication during the transition period was the lack of decision-making power which affected the effectiveness of the project. Changes in staff over the course of the project implementation also affected the institutional memory. Moreover the transition to UMOJA and the shift in the donors priorities, from POPs to mercury (Minamata Convention) have also affected the timeliness of the project execution requiring time from the management to adapt and review some of the projects deliverables.

197. The management structure was generally adaptive to all these challenges, mainly through enhancement of the stakeholder's involvement and review of the project outputs during the project revision. No ability to adapt to changes was however demonstrated with regard to implementation of activity 4.1

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<sup>113</sup> It should also be noted that there is a lack of consistency between the list provided in the ProDoc (which refers to Marshall Islands) and PIMS (which refers to Mongolia).

(providing technical expertise on initial and new POPs to developing countries and CIETs) and the effective involvement of the beneficiary countries.

198. Regarding the external execution, the management arrangements for activity 4.2 (capacity-building for ESM of PBDE and their wastes in selected Asia-Pacific countries) implemented by BCRC/SCARP have been effective in delivering the planned outputs and milestones.

199. Reporting is an integral part of the UNEP Project Manager's responsibility, including getting the necessary inputs from any sub-contracted partners. However the rules on M&E were not followed during the project implementation (see Part III F. below).

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

### Stakeholders participation cooperation and partnership

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

201. A multi-stakeholders approach has been used in the development of some of the project outputs including the *Technical Guidelines for Unintentional POPs* and the *DDT Roadmap*. The project has built upon international networks, including the Global Alliance on DDT and the PEN.

202. Some of the interviewees reported a positive change in the stakeholders' engagement during the implementation of the project after the managerial transition, which resulted in their more active involvement in the decision making-process, namely though information gathering and communication.

203. On the other hand it should also be noted that several of the partners contacted during the interview phase were unaware of the project and that the majority expressly indicated not having been involved in the conceptualization of the project nor consulted during its design (Table 5 Stakeholders – project design versus implementation).

204. Opportunities for collaboration with partners have been explored during the project implementation and materialised in the celebration of agreements for instance with UNITAR and (paragraph 109 and 118), and also through the regional centres –BCRC/SCRCAP, RECETOX, BCCC-SCRC (paragraphs 113). Stakeholders, such as IGOs and industry have indicated their willingness to be part of the PEN or the DDT Global Alliance. A continuous increased in memberships of these two networks has happened in the last years.

205. One of the project assumptions was that strategic industrial actors would not lobby against the improvements made by the project but would rather participate in the multi-stakeholders initiatives. Industry is represented at the PEN's Advisory Committee meetings<sup>114</sup> and was actively involved in the development of the Toolkit. It was also reported that through the project industry has raised awareness with regard to PBDE management. On the other according to information provided during the interviews it was difficult to obtain information from industry on specific technology with regard to the Factsheets for POPs Waste Destruction Technology.

206. Regional Centres have been established by the Basel and Stockholm Conventions to provide technical assistance, capacity building and to promote the transfer of technology to Parties that are developing countries or countries with economies in transition in order to enable them to implement their obligations under these conventions. There are a total of 23 regional centres of which 14 are Basel Convention Regional Centres (BCRCs) and 16 are Stockholm Convention Regional Centres (SCRCs). Seven of the centres serve both conventions.

207. It should also be noted that except for the Regional Office for West Asia (ROWA)<sup>115</sup> all the other regional offices have a dedicated regional coordinator officer on Chemicals and Waste: the Regional Office for Africa (ROA)<sup>116</sup>, the Regional Office for Asia and the Pacific (ROAP)<sup>117</sup>, the Regional Office for North America

<sup>114</sup> <http://chm.pops.int/Implementation/IndustrialPOPs/PCBs/PCBEliminationNetwork/AdvisoryCommittee/tabid/664/Default.aspx>

<sup>115</sup> <http://www.unep.org/rowa/AboutUNEPROWA/tabid/78520/Default.aspx>

<sup>116</sup> <http://web.unep.org/node/97>

<sup>117</sup> <http://web.unep.org/regions/roap/about-us/unep-asia-pacific/staff>



(RONA)<sup>118</sup>, the Regional Office for the Latin America and the Caribbean (ROLAC)<sup>119</sup> and the Regional Office for Europe (ROE)<sup>120</sup>. The main mandate of these dedicated officers is to facilitate the exchange of information on chemicals and waste through regional networking. This regional approach is in line with Governing Council Decision 25 from February 2009<sup>121</sup> and with the regional delivery approach foreseen by the task force for on-going or potential cooperation and coordination in the work of the BRS Secretariat and UNEP's C&W Branch.

208. Besides DTIE (which is presently named Economy Division) the following UNEP Divisions were involved in the implementation of the project: Division of Communication and Public Information (**DCPI**); Division of Early Warning and Assessment (**DEWA**) and Quality Assurance Section (**QAS**). With DCPI, who are in charge of the new UNEP's C&W Branch website, coordination has been slow – it was expected to have been launched by mid 2016 but was delayed until January 2017. The quality standards for the project planning and implementation were ensured by the QAS which is presently the 'Strategic Programme and Policy Division' in charge of consolidating policy, programme, monitoring, gender and social safeguards functions and were involved in the review of the project design. No evidence was found of any coordination with DEWA.

209. The **Regional Office for Asia and Pacific (ROAP)**<sup>122</sup> was identified as a partner in charge of regional and national backing up and diffusion mechanisms of activity 4.2. However in accordance with information collected during the interviews ROAP was neither involved in the design nor in the implementation of this component of the project.

Stakeholder participation, cooperation and partnerships is rated as **Moderately Satisfactory**

### Communication and public awareness

210. Communication and awareness raising is an overarching objective of the project that was added during the project revision to strengthen the dissemination of the technical and scientific tools developed by the project foreseen in the initial design.

211. The project made use of pre-existing networks and developed awareness raising materials with the Global Alliance on the roadmap on alternatives to DDT (paragraph 108) and PEN (paragraph 115) which were disseminated at regional workshops organised by the BRS Secretariat as well as at CoP7, including at the Science Fair as well as at side events on "Towards Alternatives to DDT and "Progress in Eliminating PCB" respectively. Awareness raising materials have also been produced on the ESM of PBDE, which included a video and a brochure and are available in the PBDE platform<sup>123</sup>.

212. Some of the milestones for awareness raising that were added to the project logframe during the project revision have however not yet been accomplished.

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

### Country ownership and drive-ness

213. The geographical scope of the project is global. The level of ownership is therefore difficult to determine since the project is indirectly assisting these countries through the development of technical and scientific tools which the Parties may use or not. There is no direct link between the project activities and the countries needs and as such the degree and effectiveness of involvement of governments and public sector agencies and other national stakeholders in the project cannot be determined (Table 5).

<sup>118</sup> <http://www.rona.unep.org/about/staff-profiles>

<sup>119</sup> No specific reference was found to this position in the list of staff but the Regional Coordinator was interviewed <http://www.unep.org/rolac/Contact/tabid/130504/Default.aspx>

<sup>120</sup> No list of staff was found but this information was confirmed

<http://www.unep.org/roe/AbouttheOffice/UNEPinEurope/tabid/54054/Default.aspx>

<sup>121</sup> <http://www.unep.org/GC/GC25/Docs/GC25-DRAFTDECISION.pdf>

<sup>122</sup> <http://web.unep.org/regions/roap>

<sup>123</sup> <http://sc.bcrc.cn/col/1383623415636/index.html>

214. However, some good examples of ownership were provided during the interviews, for instance, with regard to the development of alternatives to DDT where the African Group played a crucial role during the CoPs for which the tools developed by the project have contributed.

215. Under activity 4.1 specific request for assistance were received from four countries (Afghanistan, Uruguay, Paraguay and Argentina) and three *Global Workshops on developing, revising and updating NIPs* were organised by the BRS Secretariat in collaboration with UNEP's C&W Branch and the respective Stockholm Convention Regional Centres which were attended by 26 of the direct beneficiary countries. However in these interventions Governments have not provided support to the project execution nor were their public institutions involved.

216. The only project component regarding which there is a clear ownership of the selected countries is on capacity-building for the ESM of PBDE and their wastes in Cambodia, Laos, Pakistan, Sri Lanka and Mongolia (activity 4.2).

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

### Financial planning and management

217. During the project implementation no project progress and financial expenditure reports were elaborate. The financial information available was scarce (Part I B.3). The financial management components are listed and rated under Annex V to the present report.

218. Funds are managed by the UNEP's C&W Branch and by the BRS Secretariat with regard to its funding lines. The funding sources were not identified for all project activities. The funds managed by the UNEP's C&W Branch were reported to have been fully spent as of 31December 2016 except in the following two cases: Chinese funds (balance of 114.000 USD available for staff (or consultancy) salary and travel related activities); Swiss funds (balance of 6.798 USD available in staff (or consultancy) budget class). The funds managed by the BRS Secretariat have been reported verbally to the Administrative Office of UNEP's C&W Branch to have been fully spent but no official expenditure report was provided by the BRS Secretariat to the Administrative Officer of UNEP's C&W Branch.

219. Additional resources from Germany and Biovision have been leveraged to fund part of the implementation program on *strengthening capacity for the assessment of continued need of and Implementation of the Road Map for the development of Alternatives to DDT* (paragraph 110).

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

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

### Supervision, guidance and technical backstopping

221. The project implementation structure was very light – no steering group was either established or envisaged (Part II, Section F). Project supervision has been provided by the Project Manager throughout the project implementation. All the stakeholders interviewed highlighted the responsiveness and guidance provided by the Project Manager (their main contact person) who was said to be always available, mainly through email, to provide technical support, guidance and supervision. The technical backstopping and guidance was based a lot in the scientific expertise of the first Project Manager whereas interviewees pointed out that the excellent knowledge of the UN System and of the BRS Secretariat had made the supervision provided by the new Project Manger very useful. So in the end the combination of the two styles and approach had positive implication sin the project implementation.

222. Key stakeholders interviewed had high praise for the technical expertise and sensitiveness to countries contexts from the project supervision, which were considered the main comparative advantage of UNEP. Other advantages when compared with other implementing agencies include: specific mandate on environment (whereas others have different core businesses); extensive knowledge of the MEAs (UNEP is

involved since the legal drafting of the MEAs to their implementation being the author of the main technical and scientific tools); neutrality and roster of senior expert consultants.

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

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

## Monitoring and Evaluation

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

### M&E Design

224. A general M&E was designed which included a very general Monitoring Plan and a reference to the Evaluation Plan. Under the Monitoring Plan the Project Manager was required to report twice yearly on the achieved progress related to the project milestone, which was to get the necessary inputs from any sub-contracted partner. Self-evaluation was foreseen under this Plan through half-yearly reports on substantive and financial matters.

225. The project logframe included objectively verifiable indicators of achievements and means of verification and milestones for the project outcome and outputs and milestones. The indicators used in the logframe were, for the most part, measurable and relevant to the outcome/output. However the project logframe was incomplete (activity 1.1 was not included) and not comprehensive regarding activity 4.2. Also in some cases it was found that the milestone did not have a direct link with the means of verification – e.g under output 3 one of the milestones achieved is the progress report on implementation of PCB elimination submitted as an Info Document to CoP 7 of the Stockholm Convention, but the means of verification include PEN progress report and other INF documents provided by UNEP to CoP 8 of the Stockholm Convention which could not be achieved during the lifespan of the project since this documents are provided by UNEP to the BRS Secretariat by mid January 2017 to be made available to the Parties six weeks prior to the CoP.

226. Because of the lack of a detailed and effective risk analysis in the ProDoc, there were some risks encountered during project implementation that were difficult to manage (e.g. level of countries involvement in activity 4.1).

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

### Budgeting and Funding of M&E activities

227. Due to the short duration of the project only a Terminal Evaluation was foreseen for which 25.000 USD were allocated in the project budget. No funds were allocated for monitoring activities. Monitoring is crucial to project implementation and it cannot be done effectively without a budget allocation.

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

### M&E Plan Implementation

228. The Monitoring Plan foresaw that the Project Manager would report twice yearly on the achieved progress related to the project milestones. These progress reports were however not delivered. Under PIMS, the section on “Project Progress Reporting” is empty; the only reporting provided is by project outcome and output which are presented as general descriptions of what was done and which lack analytical value. There are no baselines or means of verification that can help in assessing the extent to which the project was delivering on its mandate.

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

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

## IV. Conclusions and Recommendations

### A. Conclusions

230. The **main objective** of the project is to: *increasing the capacities of Parties to the chemicals and waste MEAs, i.e., Basel, Rotterdam and Stockholm Conventions, to meet their obligations by using the scientific and technical tools and services provided by the project, and at assisting the secretariat of these MEAs in fulfilling its mandate.* The project **also aims at** *enhancing the capacities of the BRS Secretariat in fulfilling its mandate and raising awareness and training the stakeholders in the use of the scientific and technical tools developed by the project.*

231. It is evident from the evaluation that the **scope of the project is limited to the fulfilment of some of the obligations under the Stockholm Convention.** No reference is made in the project to the provisions of the Rotterdam and Basel Conventions (see Table 3 above which only relates to the obligations under the Stockholm Convention). The enhancing of the BRS Secretariats capacities are limited to the fulfilling of its mandate with regard to the Stockholm Convention and, based on BC-11/3, with regard to updating the *Basel Convention Technical Guidelines for the Environmentally Sound Management of Wastes Consisting of, Containing or Contaminated with POPs.*

232. The **project outcomes** (i.e. the direct intended results stemming from the five project outputs) are: 1) Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDEs and their waste.; 2) The BRS Secretariat enhances its capacity in fulfilling its mandate; 3) Stakeholders are aware and trained in the use of scientific and technical tools.

233. The Project was approved on 22th of December 2014 and its **implementation started in December 2014** to be completed in February 2016 (15 months implementation). In June 2016 the project was extended to December 2016 with no increase in the budget (25 months total implementation). The fact that it took a long duration to go through the approval process, meant that some of the activities started prior to the project approval – e.g the new “Factsheets for POPs waste destruction technology” started in 2012 and were finalized and delivered to the BRS Secretariat in December 2014. The Prodoc revision started late in the process- the project initial expected completion date was February 2016 and the revision was only approved in June 2016.

234. **Given the limited human and financial resources available the project has achieved a considerable number of results. To this success many factors have contributed including:** the level of technical expertise and commitment of the staff involved; the partnership agreements (for instance on PCBs, UNEP W&C does not have the capacity to go into “open application” but partners are assisting in screening analysis in PCBs open applications); the fact that the project built upon pre-existing networks (the Global Alliance on DDT and PEN); and the synergies with the Basel Convention (the “Factsheets for POPs Waste Destruction Technology” and the “Technical Guidelines for Unintentional POPs”). The trust of technical/financial partners such as Biovision, a foundation that works towards DDT phase out and alternatives has to be stressed. They have provided funds to work and are willing to continue doing so for the development of national roadmaps in Uganda and Zambia, using the global roadmap development by this project as the model.

235. The **collaboration with the BRS Secretariat** has been reported by the BRS Secretariat as very positive based on the increasing level of cooperation to which the project has contributed, and the quality of the work produced by UNEP/DTIE (paragraph 96 and 100). In spite of the challenges with the transition of the leadership and administrative support from the BRS Secretariat to UNEP/DTIE on the Global Alliance on DDT and on PEN

the partners contacted during the evaluation are presently satisfied with the leadership of UNEP/DTIE and its modus operandi.

236. **Some activities are already being replicated** – for example the DDT strategic multi-stakeholders approach has been very useful to PCBs and can be replicated to other chemicals. There is also clear evidence of the potential of scaling-up of the Environmental Sound Management on PBDE to other countries within the Asia and Pacific region and beyond (paragraphs 127 and 128). Though no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed changes by the relevant stakeholders of capacities developed, it needs to be recognized that this changes take time and imply long internal processes at national level.

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

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

239. **Another shortcoming was the level of involvement of key stakeholders.** The project design puts a strong emphasis on adopting a multi-stakeholder approach, first in identifying relevant and strategic stakeholders, and then in establishing good communication and solid networks between them (Table 5). Though stakeholders were not involved in the conceptualization and design of the project, some reported having been consulted during the implementation phase mainly with regard to information gathering and communication. It should be noted that during the evaluation several of the key stakeholders identified by the project team were either unaware of the project or expressly indicated not having been involved. Stakeholders, such as IGOs and industry have indicated their willingness to be part of the PEN or the DDT Global Alliance. A continuous increased in memberships of these two networks has happened in the last years.

240. **UNEP Regional Office for Asia and Pacific (ROAP)** was identified in the ProDoc as being involved in the project mainly to serve as a strategic and local partner in the region to feed country needs into the project and beyond and to diffuse results as appropriate. However ROAP was not involved in the design, planning, decision-making or implementation of the project (paragraph 209).

241. Due to the nature and dimension of the project and the fact that it included different activities each component of the project involved different external partners. **This constitutes a challenge requiring partnership agreements** (e.g. paragraphs 111 and 118) throughout the project implementation, which take time to process and implement. Moreover many changes occurred during the project implementation including on procurement, reporting through the new system (UMOJA), and donors priorities which have shifted from POPs to mercury with the developments under the Minamata Convention. Time was required to adjust and adapt.

242. With the strengthening of the overarching component of the project on **stakeholder's awareness raising and training** (paragraphs 129- 133) Parties have increased their capacity to meet their obligations under the Stockholm Convention by using the scientific and technical knowledge, tools and services provided by the project. There is however no evidence that the project results and being utilised by policy makers to transition to sound chemicals management nor that the project is contributing to behaviour change within governments, industries and general public in the targeted countries, which is likely to affect the achievement of the project's overall objective.

243. The project is based on indirect assistance to the beneficiary countries with the ultimate goal of improving the NIPs update and promoting a transition to sound chemicals management at the global level. Some of the primary beneficiaries of the project have been engaged in workshops but except for the *Final*

*Inventory Report for Unintentional Produced POPs in Cambodia* (paragraph 123) no evidence was found of **direct technical assistance being provided matching the countries' needs.**

244. The Report of 2<sup>nd</sup> and last meetings of the Effectiveness Evaluation Committee (paragraph 120) held in October 2016 in Geneva concludes that “measures to control PCB are lacking in a number of countries, in particular in developing country Parties and Parties with economies in transition” and urges Parties to “developing, enforcing and/or strengthening national legislation and/or regulations implementing the Convention that are appropriate for both industrial chemicals and pesticide”. **Developing country Parties and Parties with economies in transition need assistance in this process.**

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

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

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

<b>Criterion</b>	<b>Summary Assessment given at the time of the evaluation implementation period ending December 2016.</b>	<b>Evaluator's Rating</b>	<b>EOU Comments on the assessment of performance as at November 2017</b>	<b>EOU Rating</b>
<b>A. Strategic relevance</b>	The project is aligned with the UNEP mandate, its MTS and relevant PoW, as well as the Bali Strategic Plan and the SDG. The project is consistent with environmental issues and needs and addresses south-south cooperation. It generally reflects gender balance and indigenous peoples concerns. However the project is not relevant to the overall achievements of the Rotterdam Convention and has a partial and indirect relevance to the overall achievements of the Basel Convention (activities 1.2 and 1.3).	<b>MS</b>	EOU concurs. The project's objective <i>(to increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate)</i> is considered strategically relevant to UNEP mandate and priorities, as well as to regional/national environmental priorities, however its activities, outputs and outcomes mainly target the Stockholm Convention, with no clear links to the implementation of the Basel and Rotterdam conventions	<b>MS</b>
<b>B. Achievement of outputs</b>	Outputs were achieved with the exception of some meetings, publication of tools and awareness raising materials /training derived from the new output added in the project revision.	<b>S</b>	Outputs deemed most critical to the achievement of expected outcomes have been considered in this rating. It is acknowledged that at the time of the evaluation, output delivery was at varying levels of completion and utility, even following the project's extension. It is also acknowledged that in some cases, planned outputs were eventually completed following the operational closure of the project. Issues of timeliness of outputs may however not have adverse effects on their utility and contribution to the project's overall objective due to the	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			<p>continuous nature of the Convention.</p> <p>The Project team reports that the endorsement of outputs and activities happened during the BRS triple COPs in April-May 2017. As no documented evidence has been made available to the EOU to verify this it is not possible to make any in-depth assessment of their utility to the intended users.</p>	
<b>C. Effectiveness: Attainment of project objectives and results</b>		<b>MU</b>	Based on the comments below.	<b>MS</b>
1. Achievement of direct outcomes	<p>The tools and services provided by the project have the potential to increase the capacities of the Parties mainly to the Stockholm Convention and partially to the Basel Convention to meet some of their obligations, namely with regard to: unintentional POPs, DDT, PCB and PBDE and their waste and to build their national capacities for planning and execution of their NIPs (Stockholm Convention); NIP guidance and the Dioxin/Furan Toolkit provided a chapter on waste management and the POPs being addresses by this guidance (Basel Convention) The project has also assisted the BRS Secretariat in fulfilling its mandate and raised awareness among stakeholders with regard to these two Conventions. However the outcomes have only been partially achieved - the project has not contributed to enhancing the capacities of the Parties to the Rotterdam Convention neither to directly assist the BRS Secretariat in fulfilling its mandate with regard to this Convention.</p>	<b>MS</b>	<p>EOU concurs with the evaluator. It is however acknowledged that following the evaluation period there have been additional outputs were delivered post evaluation. It is noted that some of the outputs delivered post evaluation may have a bearing on the expected outcomes related to the Based and the Rotterdam conventions e.g. the chapter on waste management in the NIP guidance and the Dioxin/Furan Toolkit include POPs also listed under the Basel Convention. The outcomes achieved may have only indirect links to the beneficiaries of the Rotterdam Convention. No evidence has been provided to the EOU to suggest otherwise.</p> <p>As mentioned above, due to the timing of some of the outputs (post project) it is not possible at this time to provide an in-depth assessment of the direct outcomes achieved through their use, or of the level of contribution to the achievement of the project's main objective and intended impact.</p>	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
2. Likelihood of impact	The project's intended outcomes were only partially delivered – the long-term impact requires country ownership and a global involvement of countries.	<b>Moderately Unlikely</b>	<p>The intended Impact (long-term) has been formulated as <i>the transition among countries to the sound management of chemicals</i>. For this to occur, certain transitional conditions need to be in place: stakeholders <b>increasingly use the scientific and technical tools/services</b> needed to implement sound POPs management and their waste; and lessons learned and good practices are fostered and replicated to other chemicals/regions.</p> <p>At the time of the evaluation, immediate outcomes were only partially achieved, as were the intermediate states. However, drivers to support transition to impact do hold to some extent, given the continuous nature of the intervention and the Conventions themselves. Some key assumptions needed to transition outcomes to impact (e.g. commitment by Parties, importance of POPS in the international and national agenda) are also likely to hold. With these considerations, EOU considers the project has at the least a moderate likelihood to achieve impact.</p>	<b>ML</b>
3. Achievement of project goal and planned objectives	Several factors have affected the project intervention and its capacity to clearly identify "next steps" for implementation- the project had significant shortcomings in design, planning and implementation and did not contribute to overall achievement of the Rotterdam Convention objectives'. Nevertheless the project did deliver the technical and scientific tools to assist Parties to the Stockholm Convention in meeting some of their obligations and the services to assist the BRS Secretariat in fulfilling its mandate with regard to the Stockholm Convention's Parties and to some degree to the Parties to the Basel Convention.	<b>MU</b>	<p>Shortcomings in delivery already mentioned in the findings point to the fact that without follow-on project(s) that build on the achievements of this initiative, achievement of its planned objectives may not materialise. In addition, the findings imply that the project fell short delivering on its mandate to support Parties to the Rotterdam and Basel convention.</p> <p>It is expected that with the post-project completion of outputs and related direct outcomes, Parties may eventually benefit from the dissemination and use of the key scientific information to help them achieve sound management of chemicals and waste.</p> <p>EOU concurs with the consultant's assessment on this criterion in as far as what was achieved during the project's lifetime, but the because the objective is neither set too high nor very definitively (<i>i.e. increasing capacities</i>), it is probable that the goal will eventually be achieved through use of the technical and scientific tools provided by the project.</p>	<b>MS</b>



Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
<b>D. Sustainability and replication</b>		<b>MU</b>	Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. It is regarded quite highly and the overall rating will be the lowest rating among the three sub-categories	<b>ML</b>
1. Socio-political	Political sustainability is anchored in the fact that the beneficiary countries are in their sovereignty all Parties to the Stockholm Convention. However the level of ownership by the main beneficiaries identified during the evaluation is not sufficient to allow for the project to be sustained. On the other hand the majority of the key partners showed commitment to continue contributing to some of the outputs of the project.	<b>ML</b>	The sustainability of project outcomes has a high degree of dependency on social/political factors. It may be considered that project participants, being Parties to these Conventions, provide some assurance of country-level ownership, interest and commitment to take the project achievements forwards. It also noted that, during the triple BRS COPS held in April 2017 (post-evaluation), there was an endorsement of the projects outputs by the Parties. This could imply that there is a fairly good level of interest among the beneficiary governments as the key stakeholders.	<b>L</b>
2. Financial	Lack of financial resources by countries themselves or relevant funding institution affect the financial sustainability of the project which to be sustained will require the development of new GEF projects. Implementation of GEF project by countries through UNEP assistance is an important element leveraging funding. UNEP has already submitted a few projects to GEF in support of Basel and Stockholm Conventions.	<b>ML</b>	<p>The following outcomes identified by the evaluation are considered to be dependent on a continuous flow of resources:</p> <ul style="list-style-type: none"> <li>Parties to the Stockholm Convention increase their capacity to plan and execute their NIPs and to identify, manage and dispose of unintentional POPs, DDT, PCBs and PBDE and their waste.</li> <li>The BRS Secretariat enhances its capacity in fulfilling its mandate</li> <li>Stakeholders are aware and trained in the use of scientific and technical tools</li> </ul> <p>Financial sustainability is particularly relevant where the direct outcomes of a project have been extended into a future project phase and this has been implied by the Project team who have indicated that project outcomes can be sustained through the development of new GEF; and that UNEP had already submitted to GEF on reporting and updating of NIPs and POPs in open applications to support Basel and Stockholm Conventions. Unfortunately no supporting data has been made</p>	<b>ML</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			available to the evaluation to verify the likelihood that project outcomes will indeed continue to receive financial inputs. However, given the continuous nature of the intervention, we can speculate that financial sustainability is at least Moderately Likely	
3. Institutional framework	No evidence was found that the project has created a foundation towards institutional and legal strengthening.	<b>MU</b>	The sustainability of project outcomes have a high dependency on institutional support. Here the main consideration is whether institutional aspects e.g. governance structures and processes, policies, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project's outcomes after project closure. In consideration of the project's overall objective ( <i>to increase the capacities of the Parties to the BRS Conventions to meet their obligations by using the scientific and technical tools and services provided by the project, and assist the BRS Secretariat in fulfilling its mandate</i> ) the question is then to what extent the country-level institutional and policy structures are able to sustain the use of the scientific and technical tools produced by the project in meeting their obligations to the three conventions. Given the apparent endorsement of the project's outputs at the triple BRS COPs in 2017, EOU considers the rating for this criterion to be at Moderately Likely.	<b>ML</b>
4. Environmental	Generally, there are no project outputs that would have a negative impact on the environment if sustained. Up-scaling of the project can have long-term positive benefits on the environment, especially with the increase of stakeholders' awareness and training. Whether the tools developed by the project have contributed to the NIPs updating process of all the 39 countries identified as direct beneficiaries of activity 4.1 remains to be demonstrated.	<b>ML</b>	The EOU no longer requires a rating for this criterion in the evaluation of projects/programmes.	
5. Catalytic role	The project had a number of strong catalytic	<b>MU</b>	Catalytic effect and replicability has been demonstrated in the continued	<b>S</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
and replication	elements and potential for replication. However no evidence was found that the project had contributed to institutional or policy changes nor that it has catalysed behavioural changes by the relevant stakeholders.		use of document, tools and materials developed by the project by some countries in their implementation of the Stockholm Convention. According to the Project team, catalytic role is also evidenced by some follow up projects, such as the Afro II project in SADC countries to find alternatives to DDT implemented by UNEP, based on the roadmap prepared by UNEP and welcomed at Stockholm Convention COP 7 in May 2017 and a project for "Disposal of PCB oils contained in transformers and disposal of capacitors containing PCB in Southern Africa PCB SADC" in 2016. Countries are also expected to continue using the project's "Dioxin/ Furan Toolkit" when updating their NIPS.	
<b>E. Efficiency</b>	Given the limited human and financial resources available the project has achieved a considerable number of results however at the end of the extension period the project was yet to achieve all its milestones.	<b>MS</b>	EOU concurs with the rating given by the evaluator, while adding some later observations. The project experienced implementation delays and a no-cost extension. Unfortunately not all the tools and materials delivered could be used during the project's lifespan. Output delivery and subsequent outcome achievement was naturally affected during the duration of the project. According to the project manager, the project has since (post evaluation) finalized all the outputs and deliverables that it was expected to do. This notwithstanding, the outputs remain relevant to continue the work on account of the continuous nature of the intervention. The project team also indicates (as mentioned above) that the project's outputs were endorsed by Parties at the triple BRS COPs held in April 2017. Nevertheless no substantiating evidence has been provided to the EOU in this regard.	<b>MS</b>
<b>F. Factors affecting project performance</b>				
1. Preparation and readiness	The project was generally well designed with stakeholder identified with their roles but not consulted during the project design. Not enough risk analysis was done at design phase.	<b>MS</b>	EOU concurs. In addition, the greater focus laid on Stockholm Convention as compared to the Basel and Rotterdam conventions in the project's implementation is said to have been influenced by funding. This should have been a sufficient basis for redefining the logical framework (intervention logic) of the project at an	<b>MS</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			earlier stage.	
2. Project implementation and management	The project was implemented under a very light management structure defined in the ProDoc. The transition period between Project Managers affected its timeliness but the management was generally adaptive. However the rules on M&E, which are crucial for implementation, were not followed by the project management.	<b>MU</b>	EOU concurs with the rating.  During the evaluation there was a notable difficulty in obtaining documented evidence to support the assessment of this criterion. This may be related to the low human resource allocated to the project. Progress reporting in PIMS mainly comprised of brief entries on project highlights. There is limited documented evidence on results based project monitoring, adaptive management, how the project has dealt with known problems, risks or challenges, etc. That being said however, the evaluation findings do indicate that there were efforts made by the Project Team to promote stakeholder ownership and engage them in the project process, and that the Project Manager promoted information exchange and through varied channels.	<b>MU</b>
3. Stakeholders participation, cooperation and partnership	A multi-stakeholders approach has been used in the development of some of the project outputs. Not all the partners were aware of the project and their involvement during the implementation phase was less active than envisaged in the ProDoc (see Table 5).	<b>MS</b>	EOU concurs with the rating.  The assessment considers the quality and effectiveness of all forms of communication and consultation with stakeholders throughout the project life and the support given to maximise collaboration and coherence between various stakeholders, including sharing plans, pooling resources and exchanging learning and expertise	<b>MS</b>
4. Communication and public awareness	Communication and awareness rising was a major objective of the project strengthened during its review. The project made use of pre-existing networks in developing awareness raising materials.	<b>MS</b>	EOU notes that during implementation, communication was augmented by informal correspondences by means of email and telephone, to interested Parties seeking support in the project activities and processes. Unfortunately this is not easily verified but it can be assumed that communication has been an ongoing activity.  The Project team has also informed the EOU following the evaluation period, its website has since updated scientific information on relevant chemicals (as well as SDGs) in line with the project's objective.	<b>S</b>
5. Country ownership and driven-ness	The geographical scope of the project is global. Except for activity 4.2 which has the direct involvement of the	<b>U</b>	From the findings presented, it is not evident that the beneficiary countries took a leadership role in strategic guidance of project delivery, advocating for change to achieve	<b>MU</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
	beneficiary countries (developing countries and CEITs) ownership was not evident.		<p>higher level results. The evaluator observes (in section No. 3 above) that "not all the partners were aware of the project and their involvement during the implementation phase was less active than envisaged in the Project Document". It must also be reiterated that the results were concentrated more on the Stockholm Convention than the Basel and Rotterdam conventions - though these were included in the project's objective statement.</p> <p>It is indicated however that Parties endorsed project outputs at the triple BRS convention in 2017 (post-evaluation) and the level of ownership for these outputs is likely to be varied across different countries. One can also presume that there is a <b>general</b> commitment by Parties towards meeting their obligations by using the scientific and technical tools and services provided by the project.</p>	
6. Financial planning and management	No financial reports were elaborated during the project implementation (Annex V).	<b>HU</b>	EOU concurs. Lack of access to detailed financial information was a major hindrance to the assessment of this criterion. Based on the evaluation findings no explicit financial expenditure reports were produced during the project implementation. Entries in PIMS (Project Implementation Management System) were insufficient for conducting a suitable assessment.	<b>HU</b>
7. UNEP supervision and backstopping	Key stakeholders were very satisfied with the level of technical guidance and supervision by Project Manager and in some activities by consultants and partners. Technical expertise was considered one of the main comparative advantages of UNEP. However the lack of project monitoring during its implementation affected the level of project performance and its supervision.	<b>MS</b>	<p>The evaluation considers the supervision and guidance provided by UN Environment to implementing partners and national governments and this has been indicated as having been satisfactory. EOU notes the limitation of human resources and commends the project team for efforts made to provide technical support to Parties during the project's lifespan.</p> <p>That being said, this criterion goes further to assesses the effectiveness of project management with regard to achieving the planned outcomes, supervision by steering group(s), risk management, problem-solving / project adaptation and overall project execution. There was no steering body established or even envisaged to provide leadership towards achieving the planned outcomes. It is not evident</p>	<b>MU</b>

Criterion	Summary Assessment given at the time of the evaluation implementation period ending December 2016.	Evaluator's Rating	EOU Comments on the assessment of performance as at November 2017	EOU Rating
			what mechanism was in place to support the project team with problem-solving, risk management or adaptive management.	
8. Monitoring and evaluation	The rules on Monitoring and Evaluation under Section 6 of the ProDoc were not implemented.	<b>U</b>	At evaluation, no monitoring plan or system was available aside from the Logframe. Although progress/ implementation reports were captured in the Project Implementation Management System (PIMS) every 6 months, the data available is comprised of project highlights and clearly insufficient to make an assessment on how the project tracked its results against the verifiable indicators, or how it responded to risks and challenges (adaptive management). There is no indication that there was a designated officer responsible for results based monitoring, aside from the entries made in PIMS. There were no detailed progress reports made available to the evaluation.	<b>HU</b>
a. M&E Design	A general M&E was designed which included a very general Monitoring Plan, which does not constitute a comprehensive monitoring instrument. A general reference is made to the Evaluation Plan.	<b>MU</b>		
b. Budgeting and funding for M&E activities	Terminal Evaluation clearly costed. No budget for monitoring which is crucial for project implementation.	<b>U</b>		
c. M&E Plan Implementation	The M&E Plan was not implemented. Except for the general reporting under PIMS there was no evidence of any reporting including lack of the mandatory six-monthly reporting. Under PIMS reporting was done by project outcome and output, which are presented as general descriptions of what was done and which lack analytical value. The information under PIMS was last updated in 31/12/2016.	<b>HU</b>		
<b>Overall project rating</b>		<b>MU</b>	A weighted scheme has been applied to determine an overall score of 3.68 / 6.00 points, which falls under "Moderately Satisfactory" (i.e. between $\geq 3.5$ and $\leq 4.33$ )	<b>MS</b>

## B. Lessons Learned

247. **Project design and revision procedures should be streamlined** (paragraph 231): the QAS/Strategic Programme and Policy Division of UNEP should be faster in approving the project. In order to ensure

synchronisation and that there are no gaps in project implementation projects must be approved before the starting of the activity and before the PoW biennium. Also there should be a fast track recruiting mechanism.

248. **The geographical scope of the project is global and evidence of its results might not be seen during its but the coverage should be better linked with the activities developed:** (paragraph 229): the global nature of the project is evident from the type of tools and services provided in accordance with the mandate of UNEP's C&W of providing tools that all countries, including developed countries, could use when addressing priority chemicals. In assisting developing countries and CEITs more emphasis should be given by UNEP's C&W Branch on networking with UNEP Regional Offices and its crescent expertise on chemicals and waste and the technical knowledge and experience of the Regional Centres of Basel and Stockholm Conventions which have already been used in delivering some components of the project.

249. **The full engagement of key stakeholders is crucial during the design of projects and throughout their implementation** (paragraph 237): in order to facilitate the implementation of projects that use a multi-stakeholders approach and involve external partners it is important to ensure that resources allocation and expectations are defined at the project design phase and with the engagement of the stakeholders.

250. **The ownership of primary beneficiaries is required to ensure sustainability of the project outcomes and impacts** (paragraph 234): in order to promote a transition to sound chemicals management, and besides the fact that the chemicals agenda is part of the Sustainable Development Goals, activities developed at national level need to be anchored in national priorities, namely poverty reduction and sustainable development

251. **Monitoring is crucial for implementation and supervision of project performance** (paragraph 243): in order to improve implementation it is essential that its progress towards projects objectives throughout the project implementation period, and quality are regularly monitored including the identification of any difficulties encountered and actions taken to overcome them.

## C. Recommendations

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

253. **Balance between international, regional and national implementation** (paragraph 237 and 238): UNEP's C&W Branch should explore and used the technical knowledge and experience of the Regional Centres since the project design. Within the Regional Offices the dedicated Chemicals and Waste Officers could play an active role not only in identifying the needs and priorities of the countries in their regions (which would require effective involvement in the design phase) but also in disseminating and up scaling the project to other countries within the region. Both entities could play a role in increasing the countries ownership.

254. **Institutional memory is key to sustainability** (paragraph 236): UNEP's C&W Branch needs to reply on permanent staff to implement multi-stakeholders projects with a global scope - consultants and trainees regardless of their commitment affect the Branch's institutional memory and its capacity to face the lobbies from strategical industrial actors.

255. **Though future priorities should be focused on implementation, UNEP's role in this area remains at the level of development of tools and now more on GEF projects implementation:** (paragraph 241): the project has developed and updated technical and scientific tools, which are now available and should be used by the primary beneficiaries. In order to promote a sound transition to sound management of chemicals at the global level countries and the BRS Secretariat need to focus on implementation – information should be convened in a more clear/understandable way with a good scientific basis. The “PCBs forgotten legacy” constitutes a good example of such efforts.

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





## Annexes

### Annex I: Terms of Reference

#### Terms of Reference

(Version May 2016)

#### Terminal Evaluation of the UNEP Project

#### “Support to implementation of chemicals and waste multilateral environment agreements (Basel, Rotterdam and Stockholm Conventions)”

#### TERMS OF REFERENCE FOR THE EVALUATION

##### Objective and Scope of the Evaluation

1. This project was designed to respond to Parties requests for assistance in the implementation of their obligations under the Chemicals and Waste Multilateral Environment Agreements (MEAs), specifically for the Basel, Rotterdam and Stockholm (BRS) conventions. The assistance requested from UNEP builds upon decisions of the Conference of the Parties (COPs) of the respective MEAs. The project has been implemented by UNEP in collaboration with MEA secretariats, UN Agencies, NGOs and Civil Society. It hinges on UNEP’s mandate and comparative advantage in the sound management of chemicals and waste and capacity building.
2. The project aims to achieve the following outcome: **“Parties to the chemicals and waste MEAs increase their capacities to meet their obligations by using the scientific and technical tools and services provided by the project”**. To achieve this, the project was formulated to boost the implementation of the chemicals and waste MEAs through specialist technical and scientific assistance provided to Parties and to the BRS conventions’ secretariat, and this was to be achieved through the delivery of four outputs, namely:
  - a. Updated versions of the PCDD (Polychlorinated dibenzo-*p*-dioxins)/PCDF (Polychlorinated dibenzofurans) Toolkit, the Factsheets for Persistent Organic Pollutants (POPs) Waste Destruction Technologies, and the Technical Guidelines (TG) for unintentional POPs;
  - b. Effective and efficient management of the Global Alliance for Alternatives to DDT;
  - c. Effective and efficient management of PCB Elimination Network;
  - d. Technical and scientific support to MEAs Parties for planning and execution of their implementation plans.
3. POPs are subject to long-range transport (through air and water into the food chain), and are thus a regional (and global) problem requiring regional actions, coordination and solutions. Such a regional approach is fostered by the project, and it follows that its scope is global in nature with responsibilities at country level to implement the obligations. The primary beneficiaries are the national governments that are Parties to the Basel, Rotterdam and Stockholm conventions, as well as their ministries, agencies and related research institutions. The project mainly focuses on developing countries and countries with economies in transition (CEITs), to include Small Island Developing States (SIDS), Least Developed Countries (LDCs), and Industrialising developing countries (including medium- and larger-sized).
4. The project was started in December 2014 and will be completed in December 2016. The [planned] project cash budget is US\$ 2,062,425.00, with UNEP in-kind contribution of US\$ 172,740.00
5. In line with the UNEP Evaluation Policy<sup>124</sup> and the UNEP Programme Manual<sup>125</sup>, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and the project’s main project partners. Due to the cross-sectoral nature and capacity building aspect of this project, it involves many of the UN Agencies such as the WHO, UNIDO, UNITAR, UNDP, World Bank and other IOMC members as well as the main NGOs, foundations, industry and Civil Society; however, direct executing partners are few. Specific partners include: the joint BRS Secretariat and the Parties; Basel Convention and Stockholm Convention Regional Centers; and UNEP Regional Offices. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation.
6. The evaluation will focus on the following sets of **key questions**, based on the project’s intended outcomes, and which will be further concretised in the Inception Report:

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<sup>124</sup><http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>125</sup>[http://www.unep.org/QAS/Documents/UNEP\\_Programme\\_Manual\\_May\\_2013.pdf](http://www.unep.org/QAS/Documents/UNEP_Programme_Manual_May_2013.pdf)

- (a) To what extent is there evidence emerging of target countries having increased their **awareness and capacity** to meet their obligations by using the scientific and technical knowledge, tools and services provided by the project?
- (b) To what extent are the project results/products (e.g. technical expertise and support, PCDD/PCDF toolkits, fact sheets, sustainable alternatives to DDT, strategies for PCBs elimination/disposal, implementation plans, etc.) being **utilised by policy makers** to transition to sound chemicals management and related MEAs? Is there any emerging evidence that the project is contributing to **behaviour change** within governments, industries and general public in the target countries which is likely to lead to the achievement of the project's overall objective?
- (c) How successful has the project been in fostering **replication and scaling up** of its activities through lessons learned, good practices and innovations? Is information on best practices visible and accessible? Is there evidence emerging of good cooperation and communication within global networks?
- (d) To what extent is the project **support provided to target countries matching their needs** (technical capacities, infrastructure, institutional, etc.), and what lessons can be learned from implementation?
- (e) To what extent have the current **partnership and collaborations been effective** (primarily with BRS Secretariat, major groups and strategic stakeholders) in supporting the delivery of the project's planned results?

### Overall Approach and Methods

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

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

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

- (a) **A desk review of:**
  - Relevant background documentation, inter alia UNEP internal project document, and background documentation on the BRS conventions;
  - Project design documents (including minutes of the project review committee (PRC) meeting at UNEP approval); Annual Work Plans and Budgets or equivalent, revisions to the project (Project Document Supplements), the logical framework and its budget;
  - Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
  - Project outputs;
  - UNEP PoW, MTS and strategic framework (covering the years when the projects were implemented)
  - Other relevant material including publications, websites, etc.
- (b) **Interviews (individual or in group) with:**
  - UNEP Project Manager and key project officers (DTIE/Chemicals Branch, Science Team);
  - Key officers in BRS joint secretariat, SCRCAP China Office
  - Key officers in WHO, UNIDO, UNITAR, UNDP, World Bank and other IOMC members as well as UNEP regional offices;
  - Country representatives from the target countries;
  - UNEP Funds Management Officer;
  - Project partners and collaborators; and
  - Other relevant resource persons.
- (c) **Field visits/field studies:** there being over 30 target countries, the choice of countries to visit is quite wide therefore most of the data will be gathered remotely through various means. There is however an

opportunity to undertake a mission to the Regional Centre in Beijing<sup>126</sup>. Further, the Stockholm Convention Regional Center for Capacity Building in the Asia-Pacific (SCRCAP) based in China is the executing agency for the project component 4.2.

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

### Key Evaluation Principles

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

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

12. **Ratings.** All evaluation criteria will be rated on a six-point scale. Annex 3 in the extended version of these TOR<sup>127</sup> provides guidance on how the different criteria should be rated and how ratings should be aggregated for the different evaluation criterion categories.

13. **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.

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

15. 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.

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

### Evaluation Criteria

#### Strategic Relevance

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<sup>126</sup>Since the early days of the Basel Convention Regional Centres, China hosts a centre for capacity building, which expanded its activities to include POPs – and became also a Stockholm Convention Regional Centre

<sup>127</sup> This is an abridged version of the TOR. The extended version which includes supporting information and guidelines for the evaluation will be made available to the evaluator.

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

18. The evaluation will also briefly describe the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval.<sup>128</sup>

19. The evaluation should note any relevant issues in relation to the project's alignment / compliance with UNEP's policies and strategies on gender balance, promotion of south-south cooperation and the integration of social and environmental safeguards. It should also consider relevance to UNEP's mandate to the Bali Strategic Plan (given during Rio +20 Conference) to continue its technology support and capacity building.<sup>129</sup>

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

#### **Achievement of Outputs**

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

22. Briefly explain the reasons behind the success (or failure) of the project in producing its different outputs and meeting expected quality standards, cross-referencing as needed to more detailed explanations provided under Section F (which covers the processes affecting attainment of project results). Establish too whether key stakeholders were appropriately involved in producing the programmed outputs.

#### **Effectiveness: Attainment of Objectives and Planned Results**

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

24. The evaluation will reconstruct the **Theory of Change (ToC)**<sup>130</sup> of the project based on a review of project documentation and stakeholder interviews. The ToC will depict any intermediate changes required between project outcomes and impact, called 'intermediate states'. The ToC will further define the external factors that influence change along the major pathways; i.e. factors that affect whether one result can lead to the next. These external factors are either drivers (when the project has a certain level of control) or assumptions (when the project has no control). The ToC also clearly identifies the main stakeholders involved in the change processes.

25. The evaluator will be expected to discuss the reconstructed TOC with the stakeholders during evaluation missions and interviews in order to ascertain the causal pathways identified and the validity of impact drivers and assumptions described in the TOC. This exercise will also enable the consultant to address some of the key evaluation questions and make adjustments to the TOC as appropriate (the ToC of the intervention may be modified / adapted from the original design during project implementation).

26. 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. For this project, the main question will be to what extent the project has contributed to *increasing the capacities of Parties to the chemicals and waste MEAs, i.e., Basel, Rotterdam and Stockholm Conventions, to meet their obligations by using the scientific and technical tools and services provided by the project, and at assisting the secretariat of these MEAs in fulfilling its mandate*.
- (b) Assessment of the **likelihood of impact** using a Review of Outcomes to Impacts (ROtI) approach<sup>131</sup>. The evaluation will assess to what extent the project has to date contributed, and is likely in the future to further contribute, to intermediate states, and the likelihood that those changes in turn lead to positive changes in the natural resource base, benefits derived from the environment and human well-being. The

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<sup>128</sup> UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Subprogrammes (SP), and sets out the desired outcomes [known as Expected Accomplishments (EAs)] of the SubProgrammes. The evaluation will assess whether the project makes a tangible/plausible contribution to any of the EAs specified in the MTS 2014-2017. The magnitude and extent of any contributions and the causal linkages should be fully described.

<sup>129</sup> <http://www.unccd2012.org/content/documents/814UNCCSD%20REPORT%20final%20revs.pdf>

<sup>130</sup> The ToC of a project depicts the causal pathways from project outputs (goods and services delivered by the project) through outcomes (changes resulting from the use made by key stakeholders of project outputs) towards impact (long term changes in environmental benefits and living conditions).

<sup>131</sup> Guidance material on Theory of Change and the ROtI approach is available from the Evaluation Office.

- evaluation will also consider the likelihood that the intervention may lead to unintended negative effects (relating to Environmental, Social and Economic Safeguards)
- (c) Evaluation of the **achievement of the formal project overall objective, overall purpose, goals and component outcomes** using the project's own results statements as presented in the Project Document<sup>132</sup>. This sub-section will refer back where applicable to the preceding sub-sections (a) and (b) to avoid repetition in the report. To measure achievement, the evaluation will use as much as appropriate the indicators for achievement proposed in the Logical Framework (Logframe) of the project, adding other relevant indicators as appropriate. Briefly explain what factors affected the project's success in achieving its objectives, cross-referencing as needed to more detailed explanations provided under Section F. Most commonly, the overall objective is a higher level result to which the project is intended to contribute. The section will describe the actual or likely **contribution** of the project to the objective.
  - (d) The evaluation should, where possible, disaggregate outcomes and impacts for the key project stakeholders. It should also assess the extent to which Human Rights (HR) and Gender Equality (GE) were integrated in the project document, Theory of Change and results framework of the intervention, and to what degree participating institutions/organizations may have changed their policies or practices.

### Sustainability and Replication

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

28. Four aspects of sustainability will be addressed:

- (a) *Socio-political sustainability.* Are there any social or political factors that may influence positively or negatively the sustenance of project results and progress towards impacts? Is the level of ownership by the main stakeholders sufficient to allow for the project results to be sustained? Are there sufficient government and other key stakeholder awareness, interests, commitment and incentives to achieve a transition to sound management of chemicals and waste among the target countries? Was there 'succession planning' implemented this during the life of the project? Did the intervention activities promote (positive sustainable changes in attitudes, behaviours and power relations between the different stakeholders?
- (b) *Financial resources.* To what extent are the continuation of project results and the eventual impact of the project dependent on financial resources? What is the likelihood that adequate financial resources<sup>133</sup> will be or will become available to use capacities built by the project? Are there any financial risks that may jeopardize sustenance of project results and onward progress towards impact?
- (c) *Institutional framework.* To what extent is the sustenance of the results and onward progress towards impact dependent on issues relating to institutional frameworks and governance? How robust are the institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. required to sustaining project results and to lead those to impact on human behaviour and environmental resources, goods or services? The evaluation should also look at the extent to which any lessons are emerging on how participating countries may internalise chemicals and POPs monitoring and management.
- (d) *Environmental sustainability.* Are there any environmental factors, positive or negative, that can influence the future flow of project benefits? Are there any project outputs or higher level results that are likely to affect the environment, which, in turn, might affect sustainability of project benefits? Are there any foreseeable negative environmental impacts that may occur as the project results are being up-scaled?

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

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

<sup>132</sup>Or any subsequent **formally approved** revision of the project document or logical framework.

<sup>133</sup>Those resources can be from multiple sources, such as the national budget, public and private sectors, development assistance etc.

- (b) provided *incentives* (social, economic, market based, competencies etc.) to contribute to catalyzing changes in stakeholder behaviour;
- (c) contributed to *institutional changes*,
- (d) contributed to *policy changes* (on paper and in implementation of policy);
- (e) contributed to sustained follow-on financing (*catalytic financing*) from Governments, private sector, donors etc.; and
- (f) created opportunities for particular individuals or institutions ("*champions*") to catalyze change (without which the project would not have achieved all of its results).

30. The evaluation will assess the approach adopted by the project to promote *replication*<sup>134</sup> effects and determine to what extent actual replication has already occurred in the target countries \or is likely to occur in the near future. What are the factors that may influence replication and scaling up of project experiences and lessons?

#### Efficiency

31. 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.

32. 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

33. **Preparation and readiness.** This criterion focuses on the quality of project design and preparation. Were project stakeholders<sup>135</sup> adequately identified and were they sufficiently involved in project development and ground truthing e.g. of proposed timeframe and budget? Were the project's objectives and components clear, practicable and feasible within its timeframe? Are potentially negative environmental, economic and social impacts of projects identified? Were the capacities of partners 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? To what extent is the process of selecting lead agencies for country programs well designed and efficient?

34. **Project implementation and management.** This includes an analysis of implementation approaches used by the project, its management framework, the project's adaptation to changing conditions and responses to changing risks including safeguard issues (adaptive management), the performance of the implementation arrangements and partnerships, relevance of changes in project design, and overall performance of project management. The evaluation will:

- (a) Ascertain to what extent the project implementation mechanisms outlined in the project document have been followed and were effective in delivering project milestones, outputs and outcomes. Were pertinent adaptations made to the approaches originally proposed?
- (b) Evaluate the effectiveness and efficiency of project management and how well the management was able to adapt to changes during the life of the project.
- (c) Assess the role and performance of the teams and working groups established and the project execution arrangements at all levels.
- (d) Assess the extent to which project management responded to direction and guidance provided by steering bodies/committees.
- (e) Identify operational and political / institutional problems and constraints that influenced the effective implementation of the project, and how the project tried to overcome these problems.

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

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<sup>134</sup>Replication is defined as lessons and experiences coming out of the project that are replicated (experiences are repeated and lessons applied in different geographic areas) or scaled up (experiences are repeated and lessons applied in the same geographic area but on a much larger scale and funded by other sources).

<sup>135</sup> 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.

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.

36. The assessment will look at three related and often overlapping processes: (1) information dissemination to and between stakeholders, (2) consultation with and between stakeholders, and (3) active engagement of stakeholders in project decision making and activities. The evaluation will specifically assess:

- (a) the approach(es) and mechanisms used to identify and engage stakeholders (within and outside UNEP) in project design and at critical stages of project implementation. What were the strengths and weaknesses of these approaches with respect to the project's objectives and the stakeholders' motivations and capacities?
- (b) How was the overall collaboration between different functional units of UNEP involved in the project? What coordination mechanisms were in place? Were the incentives for internal collaboration in UNEP adequate?
- (c) Was the level of involvement of the Regional, Liaison and Out-posted Offices in project design, planning, decision-making and implementation of activities appropriate?
- (d) Has the project made full use of opportunities for collaboration with other projects and programmes including opportunities not mentioned in the Project Document? Have complementarities been sought, synergies been optimized and duplications avoided?
- (e) What was the achieved degree and effectiveness of collaboration and interactions between the various project partners and stakeholders during design and implementation of the project, including at the country level? How could ownership of national institutions be further strengthened? This should be disaggregated for the main stakeholder groups identified in the inception report.
- (f) To what extent has the project been able to take up opportunities for joint activities, pooling of resources and mutual learning among partner agencies? In particular, how useful are partnership mechanisms and initiatives to build stronger coherence and collaboration between participating organisations?
- (g) How did the relationship between the project and the collaborating partners (institutions and individual experts) develop?

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

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

- (a) To what extent have Governments provided adequate support to project execution, including the degree of cooperation received from the various public institutions involved in the project? What were the reasons and lesson learnt from cases where responsibility and support were not sufficiently provided and what could be done to improve this?
- (b) How well did the project stimulate country ownership of project outputs? How could this ownership be strengthened? Have participating opportunities also for women, youth and the poorest been taken into account?

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

- (a) Verify the application of proper standards (clarity, transparency, audit etc.) and timeliness of financial planning, management and reporting to ensure that sufficient and timely financial resources were available to the project and its partners;
- (b) Assess other administrative processes such as recruitment of staff, procurement of goods and services (including consultants), preparation and negotiation of cooperation agreements etc. to the extent that these might have influenced project performance;
- (c) Present the extent to which co-financing has materialized as expected at project approval. Report country co-financing to the project overall, and to support project activities at the national level in particular. The evaluation will provide a breakdown of final actual costs and co-financing for the different project components.

- (d) Describe the resources the project has leveraged since inception and indicate how these resources are contributing to the project's ultimate objective.<sup>136</sup>

40. 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.

41. **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.

42. 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?

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

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

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<sup>136</sup> Leveraged resources are additional resources—beyond those committed to the project itself at the time of approval—that are mobilized later as a direct result of the project. Leveraged resources can be financial or in-kind and they may be from other donors, NGOs, foundations, governments, communities or the private sector



- (b) *M&E Plan Implementation*. The evaluation will verify that:
- the M&E system was operational and facilitated timely tracking of results and progress towards projects objectives throughout the project implementation period;
  - Half-yearly Progress & Financial Reports (both UNEP level and donor- required) were complete and accurate;
  - Risk monitoring (including safeguard issues) was regularly documented
  - the information provided by the M&E system was used during the project to improve project performance and to adapt to changing needs.

#### The Consultant

44. For this evaluation, the evaluation team will consist of one independent Consultant. The following expertise and experience is required: Advanced university degree in environmental sciences or international environmental law; evaluation experience including of large, regional or global programmes and using a Theory of Change approach; a broad understanding of Multilateral Environmental Agreements (MEAs) and in particular the Basel, Rotterdam and Stockholm conventions; knowledge of the UN system (previous consultancy work with UNEP is desirable); fluency in both written and oral English<sup>137</sup>; attention to detail and respect for deadlines; minimum 15 years of professional experience. The Consultant will coordinate data collection and analysis, and the preparation of the main report for the evaluation. S/He will ensure that all evaluation criteria and questions are adequately covered. By undersigning the service contract with UNEP/UNON, the consultant certifies that s/he has not been associated with the design and implementation of the project in any way which may jeopardize their independence and impartiality towards project achievements and project partner performance. In addition, s/he will not have any future interests (within six months after completion of the contract) with the project's executing or implementing units.

#### Evaluation Deliverables and Review Procedures

45. The evaluation consultant will prepare an **inception report** containing a thorough review of the project context, project design quality, a draft reconstructed Theory of Change of the project, the evaluation framework and a tentative evaluation schedule. A detailed project background will be presented in the Inception report and will include a review of the key evaluation questions.

46. **The main evaluation report** should be brief (no longer than 50 pages – excluding the executive summary and annexes), concise, and written in plain English. It must explain the purpose of the evaluation, exactly what was evaluated and the methods used (with their limitations). The report will present evidence-based and balanced findings, consequent conclusions, lessons and recommendations, which will be cross-referenced to each other. The report should be presented in a way that makes the information accessible and comprehensible. Any dissident views in response to evaluation findings will be appended in footnote or annex as appropriate. To avoid repetitions in the report, the authors will use numbered paragraphs and make cross-references where possible.

47. **Review of the draft evaluation report**. The evaluation team will submit a zero draft report to the UNEP EO and revise the draft following the comments and suggestions made by the EO. Once a draft of adequate quality has been accepted, the EO will share this first draft report with the project team, who will alert the EO in case the report would contain any blatant factual errors. The EO will then forward the first draft report to the other project stakeholders, in particular the collaborating agencies and national partners for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions. It is also very important that stakeholders provide feedback on the proposed recommendations and lessons. Comments would be expected within two weeks after the draft report has been shared. Any comments or responses to the draft report will be sent to the UNEP EO for collation. The EO will provide the comments to the evaluation team for consideration in preparing the final draft report, along with its own views.

48. The evaluation team will submit the final draft report no later than 2 weeks after reception of stakeholder comments. The evaluation consultant will prepare a **response to comments**, listing those comments not or only partially accepted by them that could therefore not or only partially be accommodated in the final report. They will explain why those comments have not or only partially been accepted, providing evidence as required. This response to comments will be shared by the EO with the interested stakeholders to ensure full transparency.

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

50. As per usual practice, the UNEP EO will prepare a **quality assessment** of the zero draft and final draft report, which is a tool for providing structured feedback to the evaluation consultant.

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<sup>137</sup> Evaluation reports will be submitted in English

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

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

#### **Logistical Arrangements**

53. This Terminal Evaluation will be undertaken by one independent evaluation consultant contracted by the UNEP Evaluation Office. The consultant will work under the overall responsibility of the UNEP Evaluation Office and will consult with the EO on any procedural and methodological matters related to the evaluation. It is, however, the consultant's individual responsibility to arrange for his/her travel, visa, obtain documentary evidence, plan meetings with stakeholders, organize online surveys, and any other logistical matters related to the assignment. The UNEP Project Manager at DTIE and project team will, where possible, provide logistical support (introduction letters, meeting arrangements, etc.) allowing the consultant to conduct the evaluation as efficiently and independently as possible.

#### **Schedule of the Evaluation**

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

#### **Tentative Schedule for the Evaluation**

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

## Annex II: List of Documents Collected, Consulted and Reviewed

### **Project Documents**

- Project Design Document (December, 2014)
- Project Revision (June, 2016)
- PCR Report (November, 2014)
- SSFA/Agreements/etc

### **Strategies, Programmes of Work and Guidelines**

Acceptable Purposes: DDT. Register of DDT pursuant to paragraph 1 of part II of annex B of the Stockholm Convention.

Retrieved from:

<http://chm.pops.int/Implementation/Exemptionsandacceptablepurposes/AcceptablePurposes/AcceptablePurposesDDT/tabid/456/Default.aspx>

Bali Principles of Climate Justice. August 2002. Retrieved from: <http://www.ejnet.org/ej/bali.pdf>

Basel and Stockholm Convention Regional Centre for the Asia and Pacific Region in China (BCRC-SCRC China). Retrieved from: <http://chm.pops.int/Default.aspx?tabid=648>

Biovision Foundation. Retrieved from: <http://www.biovision.ch/en/home/>

Cambodia Situation Report on PBDE in E-waste Sector. August 2015. Retrieved from:

<http://sc.bcrc.cn/download.jsp?pathfile=/atm/7/2016111610234793.pdf>

China – ASEAN Environmental Cooperation Center. Retrieved from: <http://chinaaseanenv.org/english/>

Conference of Parties 2. 2006. Retrieved from

<http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP2/tabid/288/mctl/ViewDetails/EventModID/870/EventID/3/xmid/953/Default.aspx>

Conference of Parties 3. 2007. Retrieved from

<http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP3/tabid/286/mctl/ViewDetails/EventModID/870/EventID/2/xmid/933/Default.aspx>

Destruction and Decontamination Technologies for PCBs and Other POPs Wastes under the Basel Convention, A Training Manual for Hazardous Waste Project Managers, Volume C, Secretariat of the Basel Convention. Retrieved from:

<http://chm.pops.int/Implementation/PCBs/Guidance/tabid/665/ctl/Download/mid/4241/Default.aspx?id=3&ObjID=9465>

Global Alliance for Alternatives to DDT. Promoting a global partnership on the development and deployment of alternative products, methods and strategies to DDT for disease vector control. Retrieved from:

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**COP 5** - Decision SC-5/3; Decision SC-5/6; Decision SC-5/7; Decision SC-5/12; Decision SC-5/13

**COP 6** - Decision SC-6/1; Decision SC-6/6; Decision SC-6/9; Decision SC-6/10; Decision SC-6/13

**COP 7** - Decision SC-7/2; Decision SC-7/3; Decision SC-7/7; Decision SC-7/12; Decision SC-7/13; Decision SC-7/14; Decision SC-7/24

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## Annex III: List of Interviewees

Date	Time	Name /Contact	Position
21/10 28/11 29/11	14.00- 15.30 10-13-11.30 14.00-15.00	Mr. Jost Dittkrist <a href="mailto:Jost.DITTKRIST@unitar.org">Jost.DITTKRIST@unitar.org</a>	Assisted project 524.2 until March 2016 Presently supports UNITAR's Chemicals and Waste Management Programme by coordinating the mercury portfolio.
03/11 28/11 29/11	09.00-10.30 09.00-10.30/13.30-17.00/ 15.30-17.00	Ms. Jacqueline Alvarez <a href="mailto:Jacqueline.ALVAREZ@unep.org">Jacqueline.ALVAREZ@unep.org</a>	Un Environment Project Manager since September 2015
23/11 30/11	12.30- 14.00 15.00-16.30	Ms Heidelore Fiedler <a href="mailto:Heidelore.fiedler@oru.se">Heidelore.fiedler@oru.se</a>	Former Project Manager (up to June 2015)
23/11	12.30- 13.40	Ms Chen Yuan <a href="mailto:chenyuan227@tsinghua.edu.cn">chenyuan227@tsinghua.edu.cn</a>	Senior Programme Officer - Basel Convention Regional Centre for Asia and the Pacific, Stockholm Convention Regional Centre for Capacity building and the Transfer of Technology in Asia and the Pacific
28/11	11.30-12.30	Ms. Anna Witt <a href="mailto:Ana.Witt@brsmeas.org">Ana.Witt@brsmeas.org</a>	BRS Secretariat Programme Officer Scientific Support Branch POPs monitoring, Dioxin and Furans Toolkit
29/11	08.30-09.00	Ms. Carla Valle-Klann <a href="mailto:carla.valle@brsmeas.org">carla.valle@brsmeas.org</a>	BRS Secretariat POPs guidelines Programme Officer Scientific Support Branch Secretariat of the Basel, Rotterdam and Stockholm Conventions
29/11	09.00-10.00	Gamini Manuweera (BRS Secretariat) <a href="mailto:gamini.manuweera@brsmeas.org">gamini.manuweera@brsmeas.org</a>	BRS Secretariat Programme Officer Scientific Support Branch DDT focal point
29/11	10.00-11.00	Erika Mattsson <a href="mailto:Erika.MATTSSON@unep.org">Erika.MATTSSON@unep.org</a>	UN Environment Administrative Officer (Fund Management Officer)
29/11	11.30-12.30	Kei Ohno Woodall <a href="mailto:kei.ohno-woodall@brsmeas.org">kei.ohno-woodall@brsmeas.org</a>	BRS Secretariat Programme Officer – shared between COB and SSB - PCB focal point
07/12	09.00-09.40	Feng Yan <a href="mailto:yan.feng@chinaaseanenv.org">yan.feng@chinaaseanenv.org</a>	China-Asian Environmental Cooperation Center (CAEC) Senior Project Manager/Senior Research Fellow
13/12	09.00-10.00	Phet Pichhara <a href="mailto:phetpichhara@gmail.com">phetpichhara@gmail.com</a>	Deputy Director, Ministry of Environment Cambodia
13/12	10.15-10.45	Dr. Nuzhat Khan <a href="mailto:nuzhatk@gmail.com">nuzhatk@gmail.com</a>	National Oceanographic Institute Pakistan
14/12	09.15-10.30	Jorge Ocaña <a href="mailto:jorge.ocana@unitar.org">jorge.ocana@unitar.org</a>	UNITAR Manager, Chemicals and Waste Programme
16/12	08.30-09.30	Roath Sith <a href="mailto:roathsith@gmail.com">roathsith@gmail.com</a>	Deputy Director, Environmental Education Ministry of Environment Cambodia

			and National Consultant
16/12	10.00-11.00	Konrad Mayer <a href="mailto:kmeyer@bluewin.ch">kmeyer@bluewin.ch</a>	Biovision Foundation Senior Polity Advisor / Environmental Sciences & Policy Assessment
21/12	09.30-10.15	Andrew Harvey <a href="mailto:andrewharvey1000@aol.com">andrewharvey1000@aol.com</a>	International Consultant on the NIP update for Afghanistan
12/01	15.00-15.45	Jordi Pon <a href="mailto:jordi.pon@unep.org">jordi.pon@unep.org</a>	ROLAC Chemicals and Waste Regional Coordinator for Latin America and the Caribbean
13/01	18.00-19.00	Alfredo Cueva <a href="mailto:a.cueva@unido.org">a.cueva@unido.org</a>	UNIDO Programme Officer

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

Subject	COP/Date	Decision	Summary
Toolkit	COP 2 (2006) <sup>138</sup>	SC 2/5	Welcomes the second edition of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases and requests Parties to provide monitoring information to assist in the process for review and further development of the Toolkit and to include in their measures information on the mass concentrations of not only PCDD/PCDF but also HCB and PCBs and to provide that information to the Secretariat.
	COP 3 (2007) <sup>139</sup>	SC 3/6	Takes note of the Toolkit Expert Roster and welcomes the report for the expert meeting to further develop the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases. Requests the Secretariat to include on the Toolkit ongoing review process the adequate monitoring data are available, including sources of hexachlorobenzene and polychlorinated biphenyls.  <b>Annex:</b> "Process for the ongoing review and updating of the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases"
	COP 4 (2009) <sup>140</sup>	SC 4/7	Encourages Parties to use the Toolkit. Requests the Secretariat, when implementing the Toolkit, to place adequate monitoring data are available, including sources of hexachlorobenzene and polychlorinated biphenyls; to support efforts to identify and report sources; to organize training and capacity-building activities on Toolkit use.
	COP 5 (2011) <sup>141</sup>	SC 5/13	Requests the Secretariat to organize awareness-raising and training with regard to the revised Toolkit, to harmonize and improve reported source inventories and release estimates as a means of achieving data comparability and consistency in reporting.
Toolkit	COP 6 (2013) <sup>142</sup>	SC 6/9	Welcomes the conclusions and recommendations of the Toolkit experts updating the Standardized Toolkit for Identification and Quantification of Dioxin and Furan Releases, and Other Unintentional POPs and requests the Secretariat and the GEF to ensure that the Toolkit experts continue to work on the revised Toolkit in support of data comparability and consistency of time trends and also requests the Secretariat to support activities on the revised Toolkit. Requests that the Secretariat to continue to support the Toolkit experts in the areas of data comparability and consistency.
	COP 6 (2013)	SC 6/10	Requests the Secretariat to forward the waste-related content of the draft guidance on best available techniques and other related chemicals listed under the Stockholm Convention and the draft guidance on best available techniques and best management practices for the disposal of articles containing polybrominated diphenyl ethers listed under the Stockholm Convention to the appropriate bodies of the Basel Convention to participate in the work to assess technologies for the destruction and irreversible transfer of such articles, taking into consideration existing guidance.  <b>Annex:</b> "Workplan for the review and updating of the guidelines on best available techniques and provisional guidance on best management practices for the disposal of articles containing polybrominated diphenyl ethers"
	CoP7 (2015) <sup>143</sup>	SC 7/7	Recognizes that the listing of new substances in Annexes A, B and/or C to the Convention will trigger the need to <b>develop guidance to support parties in implementing new obligations, requiring specific expertise</b> . Requests the Secretariat to support the Toolkit experts in their work referred to, to implement awareness-raising and technical assistance activities in support of the work made CoP8. <b>Encourages parties to use the Toolkit</b> , taking into account the conclusions and recommendations of the Toolkit experts and to report and release estimates under Article 5 of the Stockholm Convention and reporting estimated releases under Article 15 of the Convention. <b>Annex C</b>

<sup>138</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP2/tabid/288/mctl/ViewDetails/EventModID/870/EventID/3/xmid/953/Default.aspx>

<sup>139</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP3/tabid/286/mctl/ViewDetails/EventModID/870/EventID/2/xmid/933/Default.aspx>

<sup>140</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP4/tabid/404/mctl/ViewDetails/EventModID/870/EventID/23/xmid/1673/Default.aspx>

<sup>141</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP5/tabid/1267/mctl/ViewDetails/EventModID/870/EventID/109/xmid/4351/Default.aspx>

<sup>142</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP6/tabid/3074/mctl/ViewDetails/EventModID/870/EventID/396/xmid/10240/Default.aspx>

<sup>143</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP7/tabid/4251/mctl/ViewDetails/EventModID/870/EventID/543/xmid/13075/Default.aspx>

BAT and BEP	COP 5 (2011)	SC 5/12	Reminds Parties to take into consideration the guidelines and guidance when applying BAT and BEP and to assist decision-making and other actions.
			<b>Annex:</b> "Procedure for the review and updating of the guidelines on best available techniques and provisional guidance"
BAT and BEP	COP 6 (2013)	SC 6/10	Reminds Parties to take into consideration the guidelines and guidance adopted by the CoP when applying BAT and BEP, the implementation of action plans and other actions related to the obligations under the Convention and invites them to use the Convention clearing-house mechanism.
			<b>Annex:</b> "Workplan for the review and updating of the guidelines on best available techniques and provisional guidance"
DDT	COP 2 (2006)	SC 2/2	Notes the following reports: on the possible mechanisms for active information collective to provide an adequate information need for DDT by the WHO; on the elaboration of the reporting and the evaluation process on the continued need for DDT and on the alternative vector control options by the Study Group in cooperation with the WHO. Requests the Secretariat to carry out data collection and reporting activities and to carry out activities related to the process for evaluating the continuing need for DDT.
			<b>Annex:</b> "Elaborated process for the reporting, assessment and evaluation of the continued use of DDT for disease vector control"
	COP 3 (2007)	SC 3/2	Notes the report of the expert group on the assessment of the production and use of DDT and its alternatives for disease vector control, the collaboration with the WHO to carry out activities of data collection, data analysis and assessment of the continued need for DDT, and the need to address explicitly the DDT issue in national implementation plans of countries using or planning to use DDT for disease vector control.
	COP 4 (2009)	SC 4/2	Concludes that countries that are currently using DDT for disease vector control may need to continue such use until alternatives are available for sustainable transition from DDT. Creates conditions to carry out assessment activities in this purpose.
DDT	COP 5 (2011)	SC 5/6	Emphasizes the importance of finding safe and effective alternatives to DDT for disease vector control. Notes the need for technical assistance to developing countries in general for the transfer of knowledge and skills in research into alternative methods for the combat malaria and other vector-borne diseases. Decides to evaluate the continued need for DDT for disease vector control, taking into account environmental and economic information, including that provided by the DDT expert group and the POPRC at CoP 6 and to develop and development of locally appropriate cost-effective and safe alternatives. Invites the United Nation Environment Programme to implement the Global Alliance and to collaborate with the World Health Organization
			<b>Annex:</b> "List of parties identified by the CoP at its fifth meeting to nominate DDT expert group members whose terms of reference are as follows"
	COP 6 (2013)	SC 6/1	Recognizes that countries are relying on DDT for disease vector control may need to continue to do so while there are not yet environmentally sound alternatives available. Emphasizes the necessity to provide technical, financial and other assistance to developing countries to enable transition away from reliance on DDT for disease vector control, with due priority accorded to ensuring that adequate information is available to enable evidence-based decision-making. Invites the UNEP in consultation with WHO, the DDT expert group and the Secretariat to develop a list of alternatives to DDT. Welcomes the decision by the UNEP to take over the administration of the Global Alliance for the Development of Methods and Strategies as Alternatives to DDT for Disease Vector Control.
	COP 7 (2017)	SC 7/2	Notes the necessity of providing technical, financial and other assistance to developing countries, least developed countries and small island developing States to enable transition away from reliance on DDT for disease vector control. Takes note of the report by the UNEP on the preparation of alternatives to DDT, <sup>144</sup> endorses the key elements of the road map, set out in annex II to the note by the Secretariat on alternatives to DDT for disease vector control and promotion of alternatives to DDT, <sup>145</sup> invites the UNEP to lead the implementation of the road map, the expert group and the Secretariat, and invites the UNEP to report on progress in the implementation of the road map

<sup>144</sup>UNEP/POPS/COP.7/INF/6.

<sup>145</sup>UNEP/POPS/COP.7/5.

Global Alliance	COP 4 (2009)	SC 4/2	Recognizes the need to continue to use DDT and endorses the establishment of a Global Alliance for the development of safe and effective alternatives to DDT for disease vector control.
Global Alliance	COP 5 (2011)	SC 5/6	Continues to emphasize the importance of finding safe and effective alternatives to DDT for disease vector control. Requests the Secretariat to assess and continue moving forward with these findings. Also recognizes the progress of the Global Alliance, in spite of the limited mandate and resources of the Secretariat, directing a request of facilitation the transition of the network to more United Nations agencies.
			<b>Annex:</b> "List of Parties identified by the Conference of the Parties at its fifth meeting to nominate DDT expert group members for the Global Alliance, September 2011".
PCB Elimination Network (PEN)	COP 4 (2009)	SC 4/5	Endorses the proposal by the Secretariat for the establishment of a polychlorinated biphenyls elimination network. Invites Parties to participate on an equal footing in the spirit of decisions SC-4/34 on enhancing cooperation and coordination among the BRS Conventions.
	COP 5 (2011)	SC 5/7	Requests the Secretariat to facilitate a transition of the leadership of the network, in a sustainable manner, from the Secretariat to a body whose mandate is better suited to the implementation of a major project such as the network, and to report to the Conference of the Parties on the progress of the transition. Invites the United Nations Environment Programme, together with the relevant member of the Programme, the Sound Management of Chemicals, and the regional centres of the Basel Convention on the Control of Transboundary Movements of Hazardous Wastes and their Disposal and the Stockholm Convention, to consider taking over the administration and implementation of the network.
	COP 6 (2013)	SC 6/6	Encourages Parties to provide information on progress in eliminating PCB and requests the Secretariat to prepare a report for the Conference of the Parties. UNEP to accept the leadership of the PEN and expresses its appreciation for the collaboration extended in aid of the Secretariat. Invites Parties to the report by the Chemicals Branch of the UNEP DTIE on the progress in the implementation of the PEN and invites the Secretariat to report to Parties at its seventh meeting regarding the activities of the network.
	COP 7 (2015)	SC 7/3	Taking note of the preliminary assessment of efforts made towards the elimination of PCBs developed by the UNEP in cooperation with the advisory committee of PEN and the report by the UNEP on progress in the implementation of the PEN, invites Parties to report to the activities of the PEN at its eighth meeting and requests parties to step up their efforts to ensure the full and timely implementation of the Stockholm Convention, including information on progress in eliminating PCBs.

## Annex V: Rating on Financial planning and management

Financial management components	Rating	Evidence/ Comments
Attention paid to compliance with procurement rules and regulations	H U	Rules on financial reporting under the ProDoc were not followed
Contact/communication between the PM & Division Fund Managers	U	PM did not respond to any financial requests from from the Administrative Officer
PM knowledge of the project financials	U	PM did not provide any financial information
PM responsiveness to financial requests	U	PM did not respond to any financial requests from the Evaluator
PM responsiveness to addressing and resolving financial issues	M S	PM took note of the issues but did not respond
Were the following documents provided to the evaluator:		
A.	Crystal Report	N
B.	All relevant project Legal agreements (SSFA, PCA, ICA) if requested	Y
C.	Associated Financial reports for legal agreements (where applicable)	N
D.	Copies of any completed audits	N
Availability of project legal agreements and financial reports	U	Legal agreements were made available but in some cases without financial information; Financial reports not available
Timeliness of project financial reports and audits	N/A	Not provided
Quality of project financial reports and audits	N/A	Not provided
PM knowledge of partner financial expenditure	U	Financial reports from partners were pending due to delay in implementation
<b>Overall rating</b>	<b>U</b>	

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

### Preliminary Notes:

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

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

Comments were meanwhile received from:

- Present Project Manager on 22 May 2017;
- Former Project Manager on 23 May 2017.

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

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

Since many of the comments made refer to information/evidence from CoP 8 to the Stockholm Convention<sup>146</sup> or to the Triple CoP s to the Basel, Rotterdam and Stockholm Convention<sup>147</sup> it should be clarified that both events took place between **24 April and 5 May 2017** well after the termination of the evaluation period.

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<sup>146</sup> <http://chm.pops.int/TheConvention/ConferenceoftheParties/Meetings/COP8/tabid/5309/Default.aspx>

<sup>147</sup> <http://www.brsmeas.org/>

Report Paragraph /Sections	Review Comments	Feedback from Evaluator
<b>Project Identification Table</b>		<b>Comments accepted</b> and incorporated in the final version of the report.
<b>Executive Summary - Paragraph 6</b>	"the new output added in the project revision were met later, after the expected date of finalization of the project."	<b>Comment not accepted.</b> Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.
<b>Executive Summary - Paragraph 7</b>	"Nevertheless all the outputs were delivered in the next months."	<b>Comment not accepted.</b> Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.
<b>Executive Summary - Paragraph 11</b>	<p>The continuation of the project outcomes does not seem sustained mostly due to lack of financial resources "by countries themselves or relevant funding institution."</p> <p>"This is an external factor, not under the control of the project. Nevertheless evidence of replication was found that the project had catalysed behavioural changes by the relevant stakeholders. Follow up projects, such as the Afro II project in SADC countries to find alternatives to DDT implemented by UNEP, based on the roadmap prepared by UNEP and welcomed at Stockholm Convention COP 7 in May 2017 and a project for "Disposal of PCB oils contained in transformers and disposal of capacitors containing PCB in Southern Africa PCB SADC" started being implement last semester 2016. This project therefore has created foundation towards institutional and legal strengthening as shown by the continuous use of tools developed by UNEP. Another example is the "Dioxin/Furan Toolkit" (In 2016, when updating their NIPs more than 10 countries used this tool originally developed in 2005 and lastly updated in January 2013: Countries updating their NIPs are expected to use this tool every time and this is the case for those submitting NIPs also in 2017 and in previous years<sup>148</sup>). The work undertaken by UNEP in his leading role of the PEN has been used by the Effectiveness Evaluation Committee</p>	<p><b>Except for the reference to financial resources from the countries themselves or relevant funding institutions and to the work developed by UNEP under PEN, the remaining comments were not accepted and as such the overall rating remained unchanged.</b></p> <p>The examples provided do not constitute relevant evidences of replication since either:</p> <ul style="list-style-type: none"> <li>- they are new to the evaluator: the "Afro II project in SADC countries to find alternatives to DDT" was not mentioned by any of the interviews nor was a reference to it found in the information shared and collected;</li> <li>- the evidence of the replication is anchored in events that took place after the conclusion of the evaluation period: decision from CoP8 regarding the work of the Effectives Evaluation Committee ;</li> <li>- the information collected during the evaluation was not sufficient to determine such evidence: the project on "Disposal of PCB oils contained in transformers and disposal of capacitors containing PCB in Southern Africa PCB SADC"</li> </ul>

<sup>148</sup> <http://chm.pops.int/Implementation/NationalImplementationPlans/NIPTransmission/tabid/253/Default.aspx>



	under the Stockholm Convention and its conclusions had led to a decision by the Stockholm Convention COP-8 recognizing the work and its relevance.”	<p>is a GEF project n.º 5532. Only the PIF was shared with the evaluator but no evidence was found that such project has been implemented with the support of project 524.2 nor that its implementation started in the “last semester of 2016” as indicated now by the PM.</p> <p>- the evidence on the use of the dioxin and furan toolkit was with the exception of the 4 countries identified under paragraph 138 of the report not found during the evaluation. This information was repeatedly requested to the PM but not provided during the evaluation.</p>
<b>Executive Summary - Paragraph 12</b>	“Progress/implementation reports were captured in PIMs, every 6 months. “	<p><b>Comment not accepted.</b></p> <p>The information captured under PIMS is not a Progress/Implementation Report. Under PIMS, the section on “Project Progress Reporting” is empty; the only reporting provided is by project outcome and output which is presented as general descriptions of what was done. There are therefore no baselines or means of verification that can help in assessing the extent to which the project was delivering on its mandate.</p> <p>Moreover in the information shared with the consultant via dropbox there is a folder named “Progress Reports” which was created by the Project team but was empty in spite of the many requests for information.</p>
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section C.1</b>	The project has not contributed to enhancing the capacities of the Parties to the Rotterdam Convention directly but indirectly it has provided tools for decision making on pesticides (DDT), industrial chemicals (PCB) listed under this Convention and therefore supported the work of the BRS Secretariat in fulfilling its mandate with regard to this Convention. Regarding the Basel Convention, the NIP guidance and the Dioxin/Furan Toolkit provided chapter on waste management and the POPs being addresses by this guidance are also listed under the Basel Convention. Therefore this project has also contributed to the objectives of the Basel Convention).	<p><b>Comment partially accepted.</b></p> <p>The indirect relevance of the tools developed by the project to increase the capacities of the Parties to the Rotterdam Convention to meet some of their obligations has not been demonstrated. The PD refers specifically to the following:</p> <p>“The project focuses on the Parties to the Stockholm and the Basel Conventions” indicating under footnote 6 that: “So far, requests for support to implementation of the Rotterdam Convention have not arrived at the same level; however, it is expected that such requests might come up in the future when synergies between the existing and new MEAs will arise”. No information was found of any changes to this statement. However the overall objective of the project is, in accordance with the PD, to assist Parties in the</p>

		<p>implementation of the chemicals and waste MEAS specifically Basel, Stockholm and Rotterdam . The indirect contributions to fulfilling the mandate of the BRS Secretariat with regard to this specific convention was also was not found.</p> <p>The addition made with regard to the Basel Convention is accepted and has been integrated in the text.</p>
<b>General comment</b>	<p>More importantly, the project 524.2 was not designed to respond to Parties' requests for assistance, but the project provides scientific and technical and VERY practical tools and assistance to Party needs when they implement the conventions.</p>	<p><b>Comment not accepted</b></p> <p>This comment is in contradiction with the PD which specifically states that "This project responds to requests to assist Parties in the implementation of their obligations under the Chemicals and Waste Multilateral Environment Agreements (MEAs), specifically for the Basel, Rotterdam and Stockholm conventions."</p>
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section C.2</b>	<p>The project's intended outcomes were all delivered, not all of them within the expected period but completed after few months of project termination. This is because final endorsement of outputs and activities happened during the BRS triple COPs in April-May 2017 with endorsement of all reports, materials submitted by UNEP. The long-term impact requires country ownership and a global involvement of countries and this can also be verified through interest of countries on further implementing the conventions and fundraise for it.</p>	<p><b>Comment not accepted.</b></p> <p>Achievements after the evaluation period are not captured in the report.</p> <p>Please refer to the evaluation period under paragraph 10.</p>
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section C.3</b>	<p>Added the Rotterdam Convention</p>	<p><b>Comment not accepted and as such the rating for C.3 remained unchanged.</b></p> <p>See previous comments on the Rotterdam Convention.</p>
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.1</b>	<p>The level of ownership by the main beneficiaries identified during the evaluation is not sufficient to allow for the project to be sustained "but during the triple BRS COPs in April-May 2017 show how the political support on outputs and objectives of this project is of extreme relevance"</p>	<p><b>Comment not accepted and as such the rating for D.1 remained unchanged.</b></p> <p>Achievements after the evaluation period are not relevant to the report.</p> <p>Please refer to the evaluation period under paragraph 10.</p>
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.2</b>	<p>Lack of financial resources by countries themselves or relevant funding institution affect the financial sustainability of the project which to be sustained will require "the development of new GEF projects. UNEP has already submitted to GEF on reporting and updating of NIPs for the Stockholm Convention as well as projects on</p>	<p><b>Comment accepted and as such the rating for D.2 changed. This however has not changed the overall rating for sustainability since in accordance with the Evaluation Ratings (please refer to Annex 3 of the ToR) "All the dimensions of sustainability are deemed critical. Therefore,</b></p>

	POPs in open applications which are in support of Basel and Stockholm Conventions. Potential”	the overall rating for sustainability will be the lowest rating on the separate dimension”.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.3</b>	“National implementation plans developed by countries as well as the decisions made by the triple COPs provide the foundation towards institutional and legal strengthening at national level.”	<b>Comment not accepted.</b> No evidence was found in the few NIPs that have referred to UNEP’s assistance to any institutional or legal strengthening. Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.4</b>	...”can be easily demonstrated by revising the plans prepared and endorsed by countries, where in all cases countries recognized the use of the tools provided by UNEP”.	<b>Comment not accepted and as such the rating for D.4 remained unchanged.</b> This “easy demonstration” that can be done with regard to the use of the tools developed by the project in the revised NIPs was not done during the evaluation period in spite of many requests for such information to be provided. So except for Brazil, Cambodia, Nigeria and Senegal which are quoted in the report as having reported the use of the tools developed by the project to update their NIPs no information was found regarding the remaining 35 countries that were expected to have been covered. As such the reference to “all cases” is an overstatement without a clear foundation.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section D.5</b>	“Evidence that the project had contributed to institutional or policy changes and that it has catalysed behavioural changes by the relevant stakeholders can be found by the decisions made by the triple COPs on BRS conventions that took place after the project end date”	<b>Comment not accepted and as such the rating for D.5 remained unchanged.</b> Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section E.</b>	Given the limited human and financial resources available the project has achieved a considerable number of results however at the end of the extension period the project was still failing to achieve all its milestones, “that were completed in the following months after finalizing the project”	<b>Comment in the text and to the text not accepted. As such the rating for section E remained unchanged.</b> The evaluator subscribes the review comment 10 that “One factor affecting the efficiency is that not all the tools and materials prepared could be used during the period of the project”. However the following reference are not relevant to the evaluation “but are relevant to continue the work, highlight the situations and they were recognized by all the countries

		present at the BRS triple COPs". Please refer to the evaluation period under paragraph 10.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.1</b>	"The reports in PIMs were done every six month."	<b>Comment partially accepted</b>  There were updates on PIMS but these refer only to project outcome and output which are presented as general descriptions of what was done. No progress reports were available at PIMS at the time of the evaluation (see section F.6 below).
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.5</b>	...ownership "can be recognized as GEF projects started to be implemented as part of countries implementation and priorities identified in their NIPs by using tools developed by this project."	<b>Comment not accepted as such the rating for section F5 remained unchanged.</b>  During the evaluation period no evidence was provided of GEF projects starting to be "implemented as part of countries implementation and priorities identified in their NIPs".
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.6</b>	"Progress/implementation reports were recorded in PIMs."	<b>Comment not accepted</b>  Under PIMS, the section on "Project Progress Reporting" was, at the time of the evaluation, empty.
<b>Table 2: Summary assessment and ratings by evaluation criterion for the project- Section F.8.c</b>	The project did not specify on any particular way to prepare the progress/implementation reporting. PIMs was considered as the mandatory tool for the six-monthly reporting.	<b>Comment not accepted as such the rating for section F8 c remained unchanged.</b>  Please refer to section 6 of the PD which defines the rules on "Progress and Financial Reporting". It specifies that the reporting platform is PIMS but, as mentioned under section F.6 above, the section on "Project Progress Reporting" under PIMS was, at the time of the evaluation, empty.  It was accepted that the PIMs was last updated on 30/12/2016.
<b>Executive Summary - Paragraph 14</b>	Given the limited human and financial resources available the project has achieved "all results, though not all of them during the project execution time."  "The trust of technical/financial partners such as BIOVISION, a NGO that works towards DDT phase out and alternatives has to be stressed"	<b>Comment partially accepted</b>  The fact that the project achieved all its outputs after the project execution time is of no relevance to the evaluation.  The trust of partners has been accepted as it reflects what is stated in the main report.
<b>Executive Summary- Paragraph 16</b>	...no evidence was found that the project had contributed to	<b>Comment partially accepted</b>

	<p>institutional or policy changes nor that it has catalysed changes by the relevant stakeholders of capacities developed, “it needs to be recognized that this changes take time and imply long internal processes at national level.”</p> <p>“Nevertheless the president of the Stockholm Convention COP-8 highlight in several events the importance of the PCB work and the need for policy makers to make strong commitments so that the goals could be reached and the bureau requested UNEP in its role of PEN and Global alliance on DDT Secretariat to keep them briefed as the COP-8 was to make important decision. “</p>	<p>The reference to the time that institutional changes take is a fact as has been accepted.</p> <p>As for the recognition of the by the president of the CoP 8 to the Stockholm Convention was not accepted for the reasons stated above.</p>
<b>Executive Summary- Paragraph 19</b>	<p>- Level of involvement o the stakeholders in the implementation phase</p> <p>“This might be due to changes or continuity in staff, for example in the regional offices. “</p> <p>“Stakeholders, such as IGOs and industry have indicated their willingness to be part of the PEN or the DDT Global Alliance. A continuous increased in memberships of these two networks has happened in the last years.”</p>	<p><b>Comment partially accepted</b></p> <p>- It is accepted that some of the interviews reported some level of involvement during the project implementation, mainly with regard to information gathering and communication. This has been highlighted in the report but cannot be generalized as proposed in the review - <i>paragraph 224 amended accordingly</i></p> <p>- The reference to changed I the continuity of staff at regional level was deleted as no evidence was found for that statement during the interviews.</p> <p>- The stress of the increase of membership has been accepted as there is indeed evidence for such increase.- <i>paragraph 226 was amended accordingly.</i></p>
<b>Executive Summary- Paragraph 20</b>	Reference to all Regional offices instead of ROAP	<p><b>Comments not accepted</b></p> <p>This proposed changed is incorrect – please refer to Table 1 of the PD which under regional offices involved only refers to ROAP.</p> <p>As to the comment on lack of inputs from the side of the regional offices it was not accepted as this was not demonstrated during the evaluation.</p>
<b>Executive Summary- Paragraph 22</b>	“During the triple COPs, parties and other stakeholders as UNITAR, UNIDO, recognized the used of the outputs and materials prepared by the project. It is important to highlight that the targeted expected accomplishment is that countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and	<p><b>Comment not accepted</b></p> <p>Besides the reference to the recognition at the triple COP the evidence argued in the review does not sustain that the project results and products are being utilized by policy makers to transition to sound chemicals management nor</p>

	the related MEAS and as indicator the project aimed as supporting the increase number and percentage of governments addressing priority chemicals issues, through the use of risk assessment and management tools provided by UNEP. There is enough evidence to support that the below has been achieved, such as NIP submitted indicating the UNEP tools they are using, the PEN outputs and the DDT Global Alliance results recognized by countries and used to develop GEF project proposals.”	that the project is contributing to behavior change within governments, industries and general public in the targeted countries, which is likely to affect the achievement of the project’s overall objective
<b>Executive Summary – Lessons Learned</b> <b>Paragraph 27</b>	References to the UNEP Regional Offices and Regional Centers	<b>Comment partially accepted</b>  This section is on lessons learned and not conclusions so the language has been adapted in amending the paragraph.
<b>Executive Summary – Lessons Learned</b> <b>Paragraph 29</b>	Reference to the webpage update	<b>Comment partially accepted</b>  The fact that the webpage was updated on 5 January 2017 was highlighted under paragraph 22.
<b>Executive Summary – Recommendation</b> <b>Paragraph 32</b>	“It is important to recognize that the awareness raising materials developed did not focus only on the chemicals and its properties or management, but also in how chemicals agenda is part of the Sustainable Development Agenda and its SDGs (as an example, visit <sup>149</sup> )”.	<b>Comment not accepted</b>  The relevance of the project to the SDG is already stated in the report and has been included here as requested but since no reference has been made during the evaluation to the fact that the awareness raising materials focused on the chemicals agenda as part of the SDG this was not included.  Also the link provided is not working – the message received is: <i>We're switching servers! Please consult the directory below to find the content you're looking for.</i>
<b>Executive Summary – Recommendation</b> <b>Paragraph 28</b>	Besides the examples provided in paragraph 18, the UNEP’s C&W Branch has been working with regional centres in supporting countries to update their NIP umbrella component of GEF project on Updating NIPs (e.g. roster of expert databank).	<b>Comment not accepted</b>  The comments is misplaced in the recommendations.
<b>Executive Summary – Recommendation</b> <b>Paragraph 34</b>	Though future priorities should be focused on implementation, “UNEP’s role in this area remains at the level of development of tools and now more on GEF projects implementation:”	<b>Comment accepted</b>

<sup>149</sup> [unep.org/bitstream/handle/20.500.11822/20787/DDT%20Brochure%20%2820117%29.pdf?sequence=1&isallowed=y](http://unep.org/bitstream/handle/20.500.11822/20787/DDT%20Brochure%20%2820117%29.pdf?sequence=1&isallowed=y)

<b>Paragraph 30</b>	This delays and poor responses can be related to the scarce information the new project management had on activities undertaken before her arrival and difficult to find due to the lack repositories of information or archives to search.	<b>Comment not accepted</b> This is not based in any evidence and is not directly related with the response rate.
<b>Table 4</b>	Specific reference to staff time.	<b>Comment accepted</b>
<b>Table 5</b>	"E-mails and consultations during the development of PCB Initial and Consolidated assessments were sent to them – no reponses receive."	<b>Comment not accepted</b> ROAP was contacted and this information was not provided. Please refer to comment above on the role of ROAP under Table 1 of the ProDoc.
<b>Paragraph 92</b>	Information on the usesufness of the toolkit can be found in each of the NIP developed/updated submitted by countries in the period of the project and, before and after.	<b>Comment not accepted</b> See comment above Executive Summary paragraph 7.
<b>Paragraph 97</b>	<b>The project "can't be seen as failing in achieving" the following milestones:</b> final editing and layout of the second set of factsheets on POPs Destruction Technologies (set on "Technology Providers"); publication of these factsheets on the webpage of the BRS Secretariat "as UNEP delivered its part and the final clearance was never obtained from the BRS Secretariat, though several attempts to further contribute and/or update to get them published. "	<b>Comment not accepted</b> These were Project output milestones identified in the Logical Framework of the PD as updated in the PD review. If these were activities to be developed by the BRS Sec that should have been specified in the PD and not identified as project outputs.
<b>Paragraph 105</b>	Updated with data after the project evaluation period	<b>Comment not accepted</b> Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.
<b>Paragraph 131</b>	Updated with data after the project evaluation period	<b>Comment not accepted</b> Achievements after the evaluation period are not relevant to the report. Please refer to the evaluation period under paragraph 10.

## Annex VII: Evaluation Timeline

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