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**Terminal Evaluation of the GEF-UN Environment Project  
“Establishing the Tools and Methods to Include the Nine  
New POPs into Global Monitoring Plan”**

GEF Project ID: 4412

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**Evaluation Office of UN Environment**

**November 2018**



## Evaluation Office of UN Environment

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Establishing the Tools and Methods to Include the Nine New POPs into Global Monitoring Plan  
GEF Project ID 4962  
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## ABOUT THE EVALUATION<sup>1</sup>

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**Joint Evaluation:** No

**Report Language(s):** English

**Evaluation Type:** Terminal Project Evaluations

**Brief Description:** This report is a terminal evaluation of a UN Environment-GEF project implemented between 2011 and 2017. The project's overall objective was to build the capacities and capabilities of the Parties to the Stockholm Convention to enable them meet their obligations under the Convention regarding the monitoring of the new POPs.

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 GEF, the Secretariat of the Stockholm Convention, and the participating countries.

**Key words:** Stockholm Convention, Global Monitoring Plan, effectiveness evaluation, persistent organic pollutants, new POPs, POPs monitoring, standard operating procedures, terminal evaluation, TE, GEF.

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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 –

## Acronyms and Abbreviations

BSP	Bali Strategic Plan
COP	Conference of Parties
CSIC	Spanish National Research Council
CVUA	Chemisches Untersuchungsamt Freiburg
DGEF	Division of GEF coordination (of UN Environment)
DTIE	Division of Technology, Industry and Economics (of UNEP)
GCG	Global coordination group
GEF	Global Environment Facility
GMP	Global Monitoring Plan
IVM	Institute for Environmental Studies (of Free University, The Netherlands)
M&E	Monitoring and Evaluation
MTM	Man, Technology, and Environment Centre (of Örebro University, Sweden)
NGO	Nongovernmental Organization
NIP	National Implementation Plan
PFC	Perfluorinated compounds
PFOS	Perfluorooctanoic acid
PIR	Project Implementation Review
POPs	Persistent Organic Pollutants
PSC	Project Steering Committee
RECETOX	Research Centre for Environmental Chemistry and Ecotoxicology, Czech Republic
ROG	Regional Organisation Group
SC	Stockholm Convention
SOP	Standard Operating Procedure
SSC	Secretariat of the Stockholm Convention
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
UNEP	United Nations Environment Programme
WHO	World Health Organization

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## Project Identification

Project Title:	Establishing the Tools and methods to include the Nine New POPs into Global Monitoring Plan
GEF project ID:	4412
Project type:	Medium Size Project
GEF Operational Programme: Focal Area: GEF strategic Priority:	GEF 5 Persistent Organic Pollutants CHEMs-OBJ1 Phase out POPs and reduce POPs releases
UN Environment Priority	Harmful substances and hazardous wastes
Geographical scope Pilot countries:	Global Fiji, Kenya, Mali and Uruguay
Mode of execution	Internal
Project executing organization	UN Environment Chemicals Branch
GEF approval date	25 March 2011
Project implementation expected start date:	July 2011
Project implementation actual start date:	July 2011
Planned completion date:	June 2013
Actual completion date:	December 2017
GEF project grant (in USD) :	700,000
Co-financing (USD) at CEO endorsement <i>Cash</i> Secretariat of Stockholm Convention Sub-total <i>In-kind</i> Secretariat of Stockholm Convention Expert from UN regions working for SSC National experts' travel Environment Canada UNEP Sub-total <b>Total co-financing</b>	  755,000 755,000  298,340 300,000 36,000 50,000 77,000 761,340 <b>1,516,340</b>
Materialized co-financing at project completion (in USD):	<b>11,288,340</b>
Total project cost (GEF project grant + total co-financing at CEO endorsement):	<b>2,216,340</b>
4 Follow up projects (GMP2): GEF ID: (1) 4886 (African region) (2) 4894 (Asian region) (3) 4881 (Latin America and Carribean) (4) 6978 (Pacific region)	<b>GEF Grant (\$)</b> <b>4,208,000</b> <b>3,936,000</b> <b>3,636,000</b> <b>1,995,000</b>



# Executive Summary

## A. Introduction

[1] This medium size project “Establishing the Tools and methods to include the Nine New POPs<sup>2</sup> into Global Monitoring Plan” funded by the Global Environment Facility was implemented from July 2011 to December 2017 by the United Nations Environment Programme in Fiji, Kenya, Mali and Uruguay. The project was internally executed by the Economy Division (formerly Division of Technology, Industry and Economics).

[2] The objective of the project was to build regional capacity for sampling of core matrices and generation of high quality POPs results in the core matrices for the Global Monitoring Plan, with emphasis on the new POPs<sup>3</sup>. The development objective was that Parties to the Stockholm Convention have the capacities and capabilities to meet their obligations under the Convention regarding the monitoring of the new POPs.

## B. Evaluation findings and conclusions

[3] For this evaluation, no field visits were planned. The intended beneficiaries, project partners such as the expert laboratories, and other stakeholders were interviewed by Skype or by telephone. Based on the findings of these discussions held and an in-depth review of the project documentation, a theory of change of the project’s “impact pathways” was suggested by the evaluation and the review of outcome to impacts via proposed intermediate states was also done, which led to the following findings and conclusions.

[4] The project has directly contributed to the development of standard operating procedures for sampling and analysis that enabled data generation on new POPs in all the regions to comply with Article 16 of the Stockholm Convention. While the countries applied the standard procedures to collect samples in the core media, the expert laboratories developed standard procedures and methodologies that were successfully tested on these national samples to generate reliable data on new POPs. These data contributed to the second Global POPs monitoring report published in year 2017.

[5] This project was built on the experiences of the previous Global Monitoring Plan projects (GMP1). In particular, the backbone of the key partners of the project as well as the project coordinator were from these previous projects. Similarly, the management structure of the previous projects were adopted for implementation of the project under evaluation.

[6] Relevance: The project is complementary to United Nations Environment subprogram - Harmful Substances and Hazardous Waste. It is also consistent with the Chemicals Focal Area

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<sup>2</sup> POPs – Persistent Organic Pollutants

<sup>3</sup> At the fourth meeting of the Conference of the Parties to the Stockholm Convention in May 2009 nine new POPs chemicals were added into Annexes A, B and C of the Convention (Decisions SC-4/10-18). The addition of the nine new chemicals to the list of POPs implies the updating of relevant guidance documents (developed for the twelve original POPs) for their monitoring under the Effectiveness Evaluation activities.

of the GEF. All the four participating countries have signed and ratified the Stockholm Convention.

[7] Efficiency: The project suffered significant delays, more than triple the time required for completion than initially planned (78 months instead of 24), mainly due to the longer time required to develop the amended guidance document to include the new POPs and to get it adopted at the 6<sup>th</sup> meeting in May 2013. Despite these delays, all the outputs have been satisfactorily delivered within the planned budget.

[8] Effectiveness - Attainment of objectives and likelihood of impact: The project's intended direct outcomes were satisfactorily achieved. For example, the project has been successful in building capacity for the analysis of new POPs in the core media. This capacity is being used in the four on-going projects of the global monitoring plan to generate data on POPs. Impact of the project is likely as three of the four intermediate states proposed in the theory of change are already occurring. For example, the data generated by the project have been used in the second global report of the global monitoring plan that have been submitted to the COP8 in July 2017.

[9] Sustainability: Chances for sustainability of project results are high. The Global Monitoring Plan for the effectiveness evaluation of the Convention is being effectively coordinated by the Secretariat Stockholm Convention (SSC). For this purpose, the proper mechanism has been established and adequate expertise identified. Follow-up initiatives are on-going (GMP2), and recommendations for round three (GMP3) have already been approved at the eighth meeting of the COP in July 2017 (Decision SC-8/19).

[10] Project implementation and management: The agreed implementation approach was adopted. The execution of the project was adequately done by the Economy Division of the United Nations Environment in close collaboration with the Secretariat of the Stockholm Convention. There is clear evidence that the monitoring of project implementation was based on the project logical framework and the verifiable SMART indicators therein were used to track progress.

[11] Stakeholders' participation: The key partners of the project were the expert and national laboratories. Their involvement has been very satisfactory and have largely contributed to deliver all the outputs. In particular, the standard operating procedures for sampling and analysis developed in the context of this project are being used in the follow-up GMP projects.

[12] Country ownership and drivenness: Given the high technical nature of the project, the authorities such as government officials were not directly involved. However, given that the Convention has been institutionalised to some extent through the nomination of a POPs focal point and the updating of national legislation to include POPs chemicals and wastes as reported in their National Implementation Plans clearly indicate that the management of POPs is a priority for the respective governments.

[13] Financial planning and management: The financial information made available to the evaluation indicate clearly that GEF funds were effectively managed. The standard procedures of the United Nations Environment was applied for disbursement and expenditures. The variances observed between planned and actual expenditures for the different budgeted project components were fully justified. The introduction of Umoja, a new management system, across

the United Nations agencies and short coming on GEF funds were the main reasons of these variances.

[14] Monitoring and evaluation: The monitoring & evaluation plan proposed in the project document was adequate and was used to monitor progress and track results at output level. A project steering committee was not established. The monitoring of progress was satisfactorily done by the project coordinator in close collaboration with the SSC.

Summary of Performance Rating

Criterion	Rating
A. Strategic Relevance	Highly Satisfactory
B. Quality of Project Design	Satisfactory
C. Nature of External Context	Favourable
D. Effectiveness	Satisfactory
E. Financial Management	Satisfactory
F. Efficiency	Satisfactory
G. Monitoring and Reporting	Satisfactory
H. Sustainability	Likely
I. Factors Affecting Performance	Satisfactory
<b>Overall Project Rating</b>	<b>Satisfactory</b>

**C. Lessons learned**

**Lesson 1: During project design, while planning the timeframe for delivery of outputs that require institutional adoption or approval such as legislation, policies or guidance documents, one should take into consideration not only the time required but also the timeliness to deliver such output to avoid significant delays during implementation.**

[15] The project officially started in July 2011, and the timeframe to deliver the amended guidance document to include the new POPs was six months. The development of standard operating procedures to analyze new POPs was dependent on the availability of this document. However, it had to be adopted by the Conference of Parties of the Stockholm Convention prior to its use. The fifth meeting of COP was held in May 2011, and the periodicity of COP is every two years since COP3 (held in April 2007). This meant that the amended guidance document could only be approved in May 2013 at COP6, which was the case. So instead of six months, it took 22 months for the amended guidance document to be approved.

**Lesson 2: In cases where funds are limited, instead of face-to-face meetings or workshops, planning for other means of communication such as webinars might prove effective and contribute to significant cost savings.**

[16] Due to short coming in funding, the executing agency cancelled short training and technical workshops/meetings that were replaced by webinars. This proved to be very cost effective as the training workshops and technical meetings were successfully undertaken and quality outputs such as the Standard Operating Procedures delivered.

#### **D. Recommendations**

[17] The following recommendation is addressed to UN Environment and the Stockholm Convention Secretariat.

**Recommendation 1:** The GMP projects (GMP1 and GMP2) as well as this project under evaluation were designed to generate data on POPs (including the new POPs added to the Stockholm Convention in YEAR?) in core matrices for effectiveness evaluation. The approach was to build sampling and analytical capacity of all the participating countries of all the regions to generate the data. However, the results of the international intercalibration study, to which participated only 13 (including three from the project under evaluation) of the 28 countries of the GMP1 projects, showed that while most of the 13 countries had some capacity for analysis of the organochlorine pesticides and polychlorinated biphenyls (PCBs), none had the analytical capacity for the dioxins and furans, and the new POPs. Currently, the data are being generated by the expert laboratories.

**For future GMP projects, instead of trying to build analytical capacity of the laboratories of all the participating countries, a different approach could be considered: to build the capacity of only a few (one or two) laboratories per region that might become regional laboratories for POPs analysis.**

The selection of the laboratories would be done on criteria such as availability of adequate analytical equipment, prior involvement in POPs analysis, or proficiency in undertaking such type of analysis, or outcome of the first intercalibration study of the laboratory. For sampling of core matrices, the approach of involving all the laboratories would remain the same.

# 1 Introduction

1. The terminal evaluation of the Medium Size Project (MSP) “*Establishing the Tools and methods to include the Nine New POPs into Global Monitoring Plan*”, which covered the whole implementation period, was carried out by an independent consultant for the Evaluation Office of the United Nations (UN) Environment. Originally planned as a two-year initiative, this project that started in July 2011 was completed in December 2017. The project sought “*To build regional capacity for sampling of core matrices and generation of high quality POPs results in the core matrices for the Global Monitoring of POPs (GMP) with emphasis on the nine new POPs*” in the four participating countries Kenya, Mali, Fiji, and Uruguay. The MSP was supported by Global Environment Facility (GEF) (\$700,000) and co-financed by UN Environment (\$77,000), Secretariat of the Stockholm Convention (SSC) (\$1,053,340), Government of Canada (50,000), and other National Governments (\$336,000) for a total contribution of \$2,216,340.

2. In line with the UN Environment Evaluation Policy<sup>4</sup> and the UN Environment Programme Manual<sup>5</sup>, the Terminal Evaluation (TE) is undertaken 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 UN Environment and the main project partners. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially if follow up projects are planned for replication.

3. In addition to the evaluation criteria outlined in the terms of reference (TOR), the evaluation addressed the following strategic questions/issues:

- (a) To what extent did the project contribute to increased capacity on analysis and data generation for new POPs enabling all regions to comply with Article 16 of the Stockholm Convention?
- (b) To what extent has this project built on the lessons and capacities already created by previous POP monitoring initiatives?
- (c) What key lessons and recommendations can be drawn from this project that can further support the sustainability of the project results, especially in the context of the on-going regional projects supporting POPs monitoring capacities?

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<sup>4</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>5</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). This manual is under revision.

## 2 Evaluation Methods

4. In order to assess likelihood of impact of the project, a theory of change (TOC) was developed based on the information contained in the project document (see section 4). This TOC was discussed with the UN Environment evaluation office, the UN environment project coordinator and other key stakeholders such as the SSC. Their comments and feedback were considered to improve the TOC (see Figure 2 Section 4).

5. For this evaluation exercise, a participatory approach was adopted during which key stakeholders were consulted and kept informed throughout the process. Both qualitative and quantitative evaluation methods were used to assess project achievements against the project outputs, outcomes and impacts. Due to inadequate equipment and lack of expertise, the national laboratories could not analyse the core media samples to generate data on the new POPs. These data were generated by the expert laboratories (See Section 3.5). For these reasons, no country missions were planned, instead the key stakeholders were interviewed via Skype (See Annex 3). The findings and conclusions for this evaluation were based on these interviews as well as on an in-depth desk review of project documents (see annex 7) and email communication.

6. Depending on their availability, the UN Environment project coordinators (previous and actual), the Secretariat of the Stockholm Convention, the national project coordinators of the four pilot countries, and the expert laboratories were interviewed via Skype during the period beginning April 2018 to mid-June 2018. The interviews were in the form of open discussions based on the questions in the TOR, complemented by additional questions developed by the evaluator. Specific questions were asked to the different categories of stakeholders for crosschecking and validation purposes. A list of persons interviewed is included in Annex 3.

9. Availability of information was satisfactory. Except for latest reports on expenditures for GEF funds and co-funding that were not available, there was no barrier or limitation that affected the evaluation process. For example, documents related to the project such Project Implementation Reviews (PIR) reports, country reports, technical and financial reports and project steering committee meeting reports were submitted to the evaluation at the beginning of the evaluation process. Upon request, missing documents were made available to the evaluation. Given the very technical of the project, the evaluation process was based on key informant interviews, the gender consideration and human rights issue was not considered.

## 3 The Project

### 3.1 Context

10. Exposure to on Persistent Organic Pollutants (POPs) can lead to serious health effects. Given their long range transport, no one government acting alone can protect its citizens or its environment from POPs. The Stockholm Convention on POPs is a global treaty (adopted in 2001 and entered into force in 2004) established to protect human health and the environment from chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of humans and wildlife, and have harmful impacts on human health or on the environment. In response to this global problem, the Stockholm Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment.

11. Article 16 of the Stockholm Convention indicates that the effectiveness of the Convention shall be evaluated four years after the date of entry into force of the Convention and periodically thereafter. The Effectiveness Evaluation consists of monitoring the presence of POPs in the environment as well as their regional and global transport. The Conference of Parties (COP) completed its first effectiveness evaluation at its fourth meeting in 2009 (COP-4), and agreed upon the essential modalities for the environmental monitoring component of the subsequent evaluations.

12. The first global monitoring report under the global monitoring plan (GMP) for effectiveness evaluation (UNEP/POPS/COP.4/33) presented information on air levels and human exposure (breast milk or human blood) from all five United Nations regions. This report set the baseline to determine trends of increase or decrease in persistent organic pollutants levels concerning the original 12 pollutants of the Stockholm convention.

13. At the fourth COP meeting in May 2009, nine new POPs chemicals were added into Annexes A, B and C of the Convention (Decisions SC-4/10-18). Initial Guidance on the GMP for POPs was originally developed under the Convention to provide Parties with the necessary tools to enable them to monitor POPs in a harmonized and sound manner for the original 12 POPs. Whereas the new nine chemicals adopted during COP-4 fulfilled the general POPs criteria, it should be noted that chemically not all of them are chlorinated, therefore, these brominated and fluorinated chemicals pose additional challenges for monitoring guidance. Such as polybrominated biphenyls (PBBs) and the polybrominated diphenyl ethers (PBDEs) of the new nine POPs have different physical-chemical properties in comparison to the original 12 POPs and thus needed new analytical approaches. In order to include new POPs, this project was designed to update existing guidance for POPs monitoring in the environment and human matrices at background levels.

14. The COP noted the need for guidance and technical/financial support for developing countries and countries with economies in transition to fully implement the new obligations. At the time of the project design, the existing guidelines under the Convention were considered insufficient and specific guidance to Parties was needed to help them to fulfill their obligations concerning the nine new POPs.

15. This project was to create the necessary basis to address the analysis of the nine new POPs according to international standards, identify laboratories in a position to undertake such analysis, train developing country laboratories in the analysis of new POPs where feasible, and lay down the scientific and practical modalities at regional level to provide global monitoring data for environmental concentrations and human exposure.

### 3.2 Objectives and components

16. The goal of the project was to build capacity on analysis and data generation for new POPs in core matrices for the Global POPs Monitoring (GMP) to enable all regions to comply with Article 16 of the Stockholm Convention. The project was built around five substantive components, and the corresponding outputs and outcomes for each of them are given below.

17. **Component 1:** *Instrumentation and methods for analysis of new POPs in core matrices, POPs lab databank amended and laboratories identified.*

**Outcome:** Instrumentation and methods for analysis of new POPs in core matrices established and POPs Laboratory Databank amended and laboratories identified

**Outputs:**

- POPs analytical guidance amended
- POPs laboratory databank updated includes information on new POPs

18. **Component 2:** *Development of guidance to analyze new POPs in relevant core matrices.*

**Outcome:** Guidance for the analysis of new POPs in relevant matrices updated and available

**Outputs:**

- Standard operating Procedures (SOPs) available for abiotic and biotic matrices
- Pilot countries identified for sampling and analysis in core matrices
- Guidance documents including new POPs and relevant core matrices available

19. **Component 3:** *Capacity building at global level for sampling and analysis of new POPs in core matrices.*

**Outcome:** Capacity built at global level for sampling and analysis of new POPs in core matrices.

**Outputs:**

- Global training workshop organized
- Methodology for new POPs analysis in air and water field tested



- Methodology for new POPs analysis in mothers' milk/human blood tested
- Needs for spares and consumables identified
- Analysis from expert back-up laboratories available
- Collection of mother's milk, blood as well as air and water samples

20. **Component 4:** *International intercalibration study for new POPs.*

**Outcome:** Capacity and performance of laboratories in analysing new POPs provided by countries

**Outputs:**

- UN Environment – New POPs in Global Monitoring Plan
- Organization and participation in an intercalibration study

21. **Component 5:** *Availability of regional data for new POPs in core matrices*

**Outcome:** Regional data available for new POPs

**Outputs:**

- Sectoral reports (air, water, blood or PFOS, BFR) produced
- Expert lab mirror analysis results available

22. The project was designed to be run in four pilot countries namely Kenya, Mali, Uruguay and Fiji of the four regions listed below where the four previous GMP projects were run (see paragraph 25):

1. *Eastern and Southern Africa:* Egypt, Ethiopia, Kenya, Mauritius, Uganda, Zambia.
2. *West Africa:* DR Congo, Ghana, Mali, Nigeria, Senegal, Togo.
3. *Latin America and the Caribbean:* Antigua and Barbuda, Brazil, Chile, Ecuador, Jamaica, Mexico, Peru, and Uruguay.
4. *Pacific Islands:* Fiji, Kiribati, Niue, Samoa, Palau, Solomon Islands, Tuvalu.

23. In the participating countries, the laboratory facilities were to be strengthened to reliably analyze new POPs. The project was to build upon existing laboratories that have a basic understanding of the procedures and methods to analyze POPs or to take samples. However according to available information, due to lack of appropriate analytical equipment or lack of expertise, these laboratories were not in a position to analyze the new POPs. They were involved in the collection of air and water samples only. These were sent to the expert laboratories where they were analyzed for the new POPs.

24. Participating countries were to contribute by provision of samples and laboratory facilities and benefit by training in sampling, analytical procedures, quality assurance and data management and interpretation as well as learning more about the POPs situation in their countries. The project was to assist in establishing the baseline for new POPs present in the regions.

### 3.3 Stakeholders

25. The key stakeholders that included national laboratories and expert laboratories have been properly identified and was based on four previous regional GEF funded projects on Global Monitoring Plan (GMP) for the twelve original POPs (GEF project IDs: 3673; 3778; 3674; and 3663). These laboratories, national and expert, were the same that were involved in these four previous GMP projects. The national laboratories were: Department of Chemistry, University of Nairobi, Kenya; Environmental Toxicology and Quality Control Laboratory of the Central Veterinary Laboratory (ETQCL), Bamako, Mali; University of the South Pacific (USP), Fiji; and the Basel Convention Coordinating Centre Stockholm Convention Regional Centre, Uruguay (BCCC-SCRC). The expert laboratories were: the MTM Research Center School of Science and Technology, Orebro University, Sweden, the Institute of Water Assessment and Environmental Research of the Spanish Council for Scientific Research; the Institute for Environmental Studies (IVM), Free University of Amsterdam; and the WHO Reference laboratory for mothers' milk at State Institute for Chemical and Veterinary Analysis of Food (CVUA) in Freiburg, Germany analysed human milk samples for POPs.

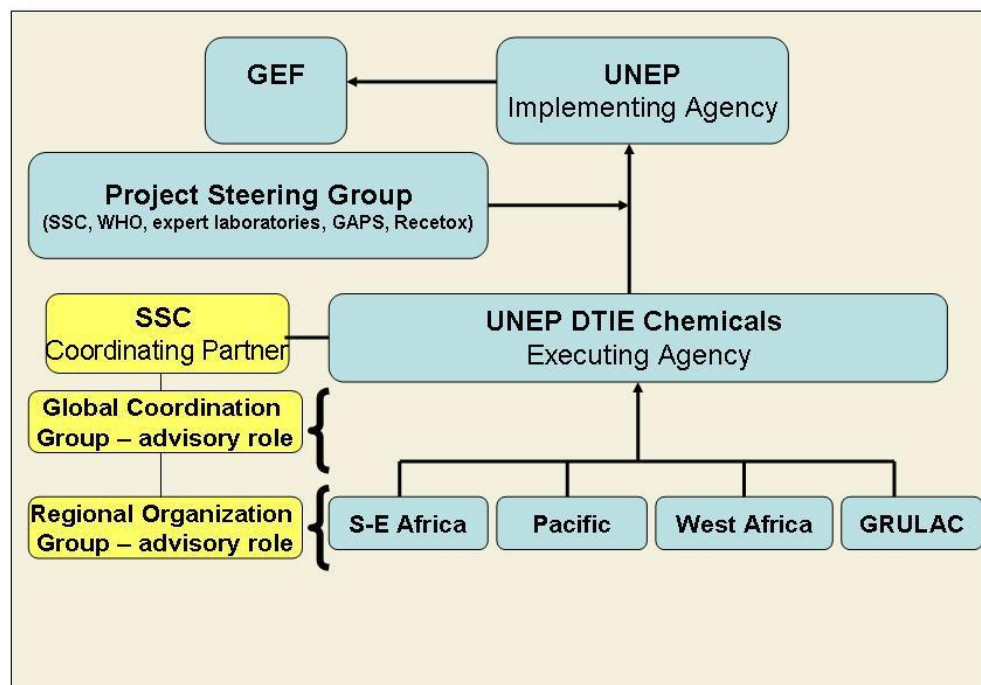
26. The capacities, interests and influence on the project of these laboratories have been satisfactorily assessed. It is to be highlighted that according to the design the national laboratories were supposed to be generating data on the nine new POPs for the respective regions. However, as mentioned earlier, due to inadequate instrumentation and/or lack of experience the national laboratories were unable to generate these data. It was agreed that these data would be generated by the expert laboratories.

27. Recognizing that women and children are especially susceptible to POPs, through its role in underpinning national POPs management, the project sought to contribute to the improvement of their well-being. The project also sought to empower women in their responsibilities within the laboratory management and further strengthened through training activities at international level. Since in-line with the COP decision, the project would address baseline exposures, however no group in the population would be targeted.

### 3.4 Project implementation structure and partners

28. The Division of Global Environment Facility Coordination (DGEF) of UN Environment was the implementation agency, and the Economy Division of UN Environment (formerly Division of Technology, Industry and Economics – DTIE) was the executing agency. At country level, a national coordinator (he/she was from the national partner laboratory) was nominated to take lead responsibility for coordinating project activities.

Figure 1 Organizational Chart at project design (Source: Project document)



### 3.5 Changes in design during implementation

29. The national laboratories were supposed to analyze the air, water, and human milk and blood samples to generate data on new POPs to contribute to the GMP database. However, due to lack of equipment and expertise they were not able to generate such data. These data were instead generated by the expert laboratories. In the original design one million USD was requested from GEF, but only USD 700,000 was granted. To mitigate this shortcoming, small sectoral workshops were not undertaken as planned, instead more modern tools such as webinars were used for communication and training.

30. For various reasons such as delay in receipt of cash co-finance from European Union countries and delay in application of the proposed methodology for analysis of new POPs since the Guidance Documents for the Global Monitoring Plan became available only in April 2013, five no cost extensions were granted to allow for completion of project activities. Work-plans were revised accordingly and unspent budgets were rephrased, but no changes were made to the indicators or to the project intervention logic.

### 3.6 Project financing

31. As reported in Table 1 below, while the total GEF grant for the project was \$700,000, the total co-financing was \$1,516,340 amounting to a total of \$2,216,340. According to information

available (Annex 4), at December 2014, an amount of \$1,356,340 of co-financing materialized representing 89.5% of the planned \$1,516,340 co-funding.

Table 1. Project budget by project component (source: project document)

<b>Project Components</b>	<b>GEF (\$)</b>	<b>Co-finance (\$)</b>	<b>Total (\$)</b>
<b>1: Instrumentation and methods for analysis of new POPs in core matrices, POPs lab databank amended and laboratories identified</b>	<b>34,000</b>	<b>15,000</b>	<b>49,000</b>
1.1 Set-up the management structure for the project			0
1.2 Amendment of the POPs analytical guidance document to incorporate instrumental and qualification needs for the new POPs	20,000	7,500	27,500
1.3 Expansion of the POPs laboratory databank for new POPs	14,000	7,500	21,500
<b>2: Guidance for the analysis of new POPs in relevant core matrices updated and in place</b>	<b>92,000</b>	<b>321,000</b>	<b>413,000</b>
2.1 Expert workshops to discuss and amend the GMP guidance doc		174,000	174,000
2.2 SOPs for abiotic matrices and new POPs developed (air, water)	50,000	147,000	197,000
2.3 SOPs for biotic matrices (mother's milk and human blood)	20,000		20,000
2.4 Global final evaluation workshop (for guidelines and field results)	22,000		22,000
<b>3: Capacity building at global level for sampling and analysis of new POPs in core matrices</b>	<b>288,000</b>	<b>822,000</b>	<b>948,000</b>
3.1 Thematic or POPs-specific training workshops	90,000		90,000
3.2 Field testing of methodology for analysis of new POPs in air and water (abiotic matrices)	70,000		70,000
3.3 Field testing of methodology for analysis of new POPs in mothers' milk/human blood (biotic matrices)	40,000		40,000
3.4 Identification and supply of spare consumables, standards to developing country laboratories, including shipment, communication	56,000		56,000
3.5 Back-laboratories analytical work	32,000		32,000
3.6 collection of national air/water and mother's milk/blood samples and preparation of pools were applicable		822,000	822,000
<b>4: International Intercalibration study for new POPs</b>	<b>100,000</b>	<b>0</b>	<b>100,000</b>
4.1 Participation in international intercalibration studies	100,000		100,000
<b>5: Availability of regional data for new POPs in core matrices</b>	<b>102,000</b>	<b>0</b>	<b>102,000</b>
5.1 Sectoral reports (air, water, blood or PFOS, BFR, incl. Data reporting)	28,000		28,000
5.2 Expert labs for mirror analysis	74,000		74,000
<b>Project Management, Monitoring and Evaluation</b>	<b>84,000</b>	<b>358,340</b>	<b>442,340</b>
7.1 Project Management and Supervision	64,000	358,340	422,340
7.2 Monitoring and Evaluation Plan	20,000	0	20,000
<b>TOTAL</b>	<b>700,000</b>	<b>1,516,340</b>	<b>2,216,340</b>

## 4 Theory of Change at Evaluation

### ***Reconstructed Theory of Change at Evaluation***

32. Although the logical framework given in the project document is a way of structuring the main elements of the project and highlighting the logical linkages among them to bring about change, no theory of change (TOC) was explicitly developed in the design to clearly describe the process (for change). Moreover, in the project document, there has been confusion in the use of the terms 'output' and 'outcome'. For instance, the outcome 1 "*Instrumentation and methods for analysis of new POPs in core matrices established and POPs Laboratory Databank amended and laboratories identified*" is more an output than an outcome, following the generally accepted definitions. During the project execution, it was found that the national laboratories in the pilot countries were not in a position to perform the analyses for the new POPs in the core matrices due to inadequate equipment and / or lack of expertise. The analyses were done by the expert laboratories, and the national laboratories were responsible to collect samples in the core media.

33. For these reasons, the outputs and outcomes have also been modified to reflect these facts. Table 1 below shows the corrections / amendments that have been made to the outputs and outcomes statements given in the project document and that have been used by the evaluation to reconstruct the TOC (Figure 2). As reported in Table 2 the six proposed outcomes in the project document have been modified and condensed into three substantial ones. Similarly, the fourteen outputs have been reduced to seven in the reconstruction of the theory of change.

34. This pilot project was designed to build capacity for the analysis of new POPs in the context of the Stockholm Convention. Ultimately the data generated on the new POPs would encourage transition among countries to the sound management of chemicals, products and wastes for the protection human health and the environment against the adverse effects of the new POPs. In order to reach this goal, the evaluation has identified four intermediate states that need to occur.

35. The first intermediate state is that the expert laboratories would be generating reliable data on new POPs in samples collected from core media in the pilot countries. These data would be in support of the global monitoring plan on POPs. However, as this project was undertaken only in four pilot countries, these data are far from being sufficient to conclude on the effectiveness of the Stockholm Convention for the new POPs. It is anticipated that other parties to the Convention would also contribute significantly in this global effort by generating data on the new POPs through participation in follow up GMP initiatives as part fulfilment of their

obligations towards the Convention (intermediate state 2). It is also foreseen that the results produced, experience gained, and lessons learned in this pilot project would be used in the four GMP follow-up initiatives (intermediate state 3). Finally, the data on new POPs generated on a global level (results of the four GMP projects) would enable the Secretariat of the Stockholm Convention (SSC) and the Parties, under the guidance of experts, take informed decisions (e.g. by setting new limits for the regulation of new POPs in the different media) to protect the population and the environment from the adverse effects of the new POPs (intermediate state 4).

36. The assumptions mentioned in the TOC for the delivery of outputs and achievements of outcomes are derived from the assumptions given in the project logical framework of the project document. For instance, to assess the capacity of national laboratories in analysis of new POPs it was important that these laboratories participate in an international calibration exercise. This was the purpose of assumption 1: *Relevant international intercalibration study existing* (Figure 2), which proved to be correct as such a study existed, and the laboratories were able to participate thanks to the support of the project. To be able to generate reliable data on new POPs, it was assumed that the scientists would contribute significantly (assumption 2). This indeed occurred as they developed standard procedures for the sampling core media and their analysis for new POPs.

37. The assumptions for the intermediate states are derived from the sustainability section (section 3.6) of the project document. Countries providing resources to national laboratories (assumption 4) did materialize, which allowed the collection of all the required samples in the core media. Finally, the assumption 5 *Follow up initiatives on GMP replicated in other countries and regions*" (Figure 2) also proved to be correct as four follow up initiatives on GMP (GMP2 – GEF ID: 4886 (African region); 4894 (Asian region); 4881 (Latin America and Caribbean); and 6978 (Pacific region)) are on-going in 43 countries covering four regions of the globe. The success of the project is greatly dependent on two important drivers identified by the evaluation (see Figure 2). Driver 1 relates to the involvement of scientists / experts to agree on criteria for identification and quantification and to deliver results on new POPs.

38. To be able to generate reliable data on new POPs, it was crucial that the POPs relevant laboratories would be able to operate at the required level (Driver 2). However, as mentioned earlier (see section 3.5) due to lack of equipment and lack of expertise, the national laboratories were not able to perform at this level and therefore could not generate the data on new POPs. It was thus agreed that the data on new POPs would be generated by the expert laboratories. On the other hand, the national laboratories were responsible to collect national samples that were then shipped to the expert laboratories for analysis

Table 2. Results framework for the project versus results framework that underpins the TOC

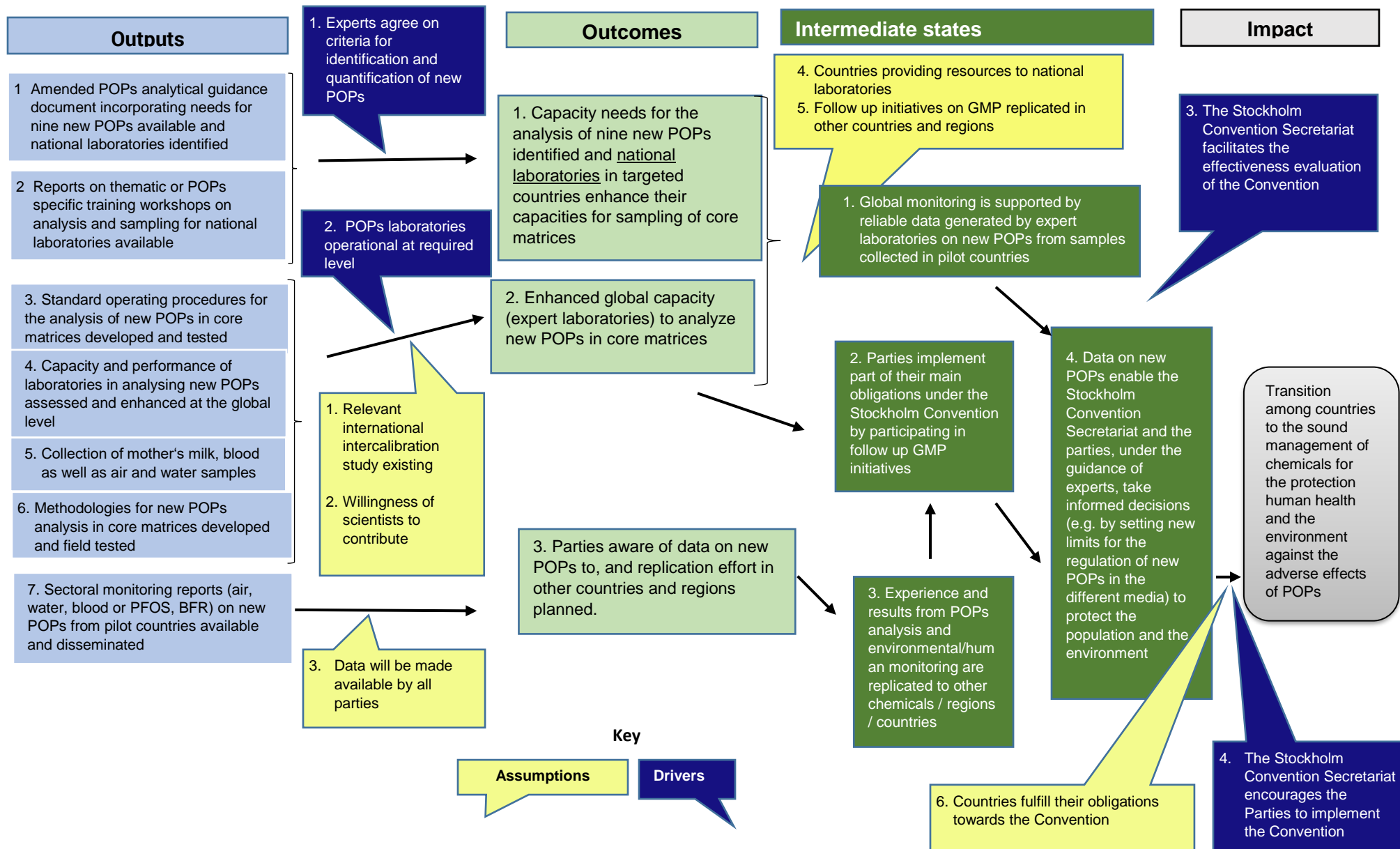
Project document		Reconstructed TOC		Justification for reconstruction
Goal		Long Term Impact	Transition among countries to the sound management of chemicals for the protection human health and the environment against the adverse effects of POPs	
Objective	<p>Countries generate high quality scientific data for monitoring the presence of POPs in their population and the environment</p> <p>To build regional capacity for sampling of core matrices and generation of high quality data for Global POPs Monitoring (GMP) with emphasis on the nine new POPs</p>	Intermediate States (IS)	<p><b>IS 1.</b> Global monitoring is supported by reliable data generated by expert laboratories on new POPs in samples collected from pilot countries</p> <p><b>IS 2.</b> Parties implement part of their main obligations under the Stockholm Convention by participating in the follow up GMP initiatives</p> <p><b>IS 3.</b> Experience and results from POPs analysis and environmental/human monitoring are replicated to other chemicals / regions / countries</p> <p><b>IS 4.</b> Data on new POPs enable the Stockholm Convention Secretariat and the Parties, under the guidance of experts, take informed decisions (e.g. by setting new limits for the regulation of new POPs in the different media) to protect the population and the environment</p>	<p>This pilot project was designed to build global capacity for the analysis of POPs in the context of the Stockholm Convention. Therefore it can be considered that the ultimate goal of this project was the protection of human health and the environment from the adverse effects of POPs through the sound management of chemicals. However, to achieve impact a number of intermediate states need to occur. These include support from parties, replication in other countries and regions, and taking informed decisions.</p>
Outcomes	1. Instrumentation and methods for the analysis of new POPS in core matrices established and POPs Laboratory databank amended and laboratories identified.	Outcomes	<p><b>Outcome 1.</b> Capacity needs for the analysis of nine new POPs identified and national laboratories in targeted countries enhance their capacities for sampling of core matrices.</p> <p><b>Outcome 2.</b> Enhanced global capacity (expert</p>	<p>Outcomes 1 and 2 (of Project document) are outputs and have been revised as Outcome 1 in the TOC.</p> <p>Outcome 3 has been slightly modified (to become TOC Outcome 2) to indicate that analysis of</p>

Project document		Reconstructed TOC		Justification for reconstruction
	<p>2. Guidance for the analysis of new POPs in relevant core matrices updated and available.</p> <p>3. Capacity built at global level for sampling and analysis of new POPs in core matrices established</p> <p>4. Capacity and performance of laboratories in analyzing new POPs assessed and enhanced at global level</p> <p>5. Regional data available for new POPs</p> <p>6. Partnership established and in place to properly supervise, monitor and manage the project</p>		<p>laboratories) to analyze new POPs in core matrices</p> <p><b>Outcome 3.</b> Parties (who use these key scientific information to help shape appropriate, effective and sustainable plans to reduce POPs), aware of data on new POPs and replication effort in other countries and regions planned.</p>	<p>samples have been (and are still being) done by expert laboratories to generate data on new POPs. For various reasons that include lack of appropriate equipment or lack of expertise, the national laboratories in the pilot countries were not in a position to generate those data.</p> <p>Outcome 4 has been merged with new Outcome 2</p> <p>Outcome 5 has been modified to Outcome 3</p> <p>Outcome 6, which relates to project management has not been considered in the TOC</p>
Outputs	<p>1. POPs analytical guidance amended</p> <p>2. POPs laboratory databank updated includes information on new POPs</p> <p>3. SOPs available for abiotic and biotic matrices</p> <p>4. Pilot countries identified for sampling and analysis in core matrices</p> <p>5. Guidance documents including new POPs and relevant core matrices available</p> <p>6. Global training workshop organized</p>	Outputs	<p>1. Amended POPs analytical guidance document incorporating needs for nine new POPs available</p> <p>2. Reports on thematic or POPs specific training workshops on analysis and sampling for national laboratories published</p> <p>3. Standard operating procedures for the analysis of new POPs in core matrices developed and tested</p> <p>4. Capacity and performance of laboratories in analyzing new POPs assessed and</p>	<p>The 14 outputs of the Project document have been modified and reduced to 7 main outputs</p> <p>Regrouping has been done as many of the original outputs are more like activities leading to the actual output.</p>



Project document		Reconstructed TOC		Justification for reconstruction
	<p>7. Methodology for new POPs analysis in air and water field tested</p> <p>8. Methodology for new POPs analysis in mothers' milk/human blood tested</p> <p>9. Needs for spares and consumables identified</p> <p>10. Analysis from expert back-up laboratories available</p> <p>11. Collection of mother's milk, blood as well as air and water samples</p> <p>12. Organization and participation in an intercalibration study</p> <p>13. Regional data available for new POPs</p> <p>14. Expert lab mirror analysis results available</p>		<p>enhanced at the global level</p> <p>5. Collection of mother's milk, blood as well as air and water samples</p> <p>6. Methodologies for new POPs analysis in core matrices developed and field tested</p> <p>7. Sectoral monitoring reports (air, water, blood or PFOS, BFR) on new POPs from pilot countries available and disseminated</p>	

Figure 2. Reconstructed Theory of Change



## 5 Evaluation Findings

### 5.1 Strategic relevance

39. This project on the global monitoring plan of POPs is directly relevant to the role of the UN Environment, which is the leading global environmental authority that sets the global environmental agenda and promotes the coherent implementation of the environmental dimension of sustainable development within the United Nations system. It is in particular complementary to UN Environment's Subprogram - Harmful Substances and Hazardous Waste, and its Expected Accomplishments (a) That States and other stakeholders have increased capacities and financing to assess, manage and reduce risks to human health and the environment posed by chemicals and hazardous waste; (b) That coherent international policy and technical advice is provided to States and other stakeholders for managing harmful chemicals and hazardous waste in a more environmentally sound manner, including through better technology and best practices; (c) That appropriate policy and control systems for harmful substances of global concern are developed and in place in line with States' international obligations.

40. This project is in line with the Chemicals Focal Area of the GEF. Although there is no mention of project's link to the Bali Strategic Programme, the project is about capacity building and strengthening for the monitoring of POPs. The project was designed to be run in developing countries of four UN regions. In terms of South – South cooperation, the experiences and lessons gained in this project were shared amongst the participating countries. According to information available, these were also shared to the 43 participating countries of four follow-up on-going initiatives on GMP (GEF Project IDs: 4881, 4886, 4894 and 6978).

41. The participating countries are parties to the Stockholm Convention, and all have submitted their national implementation plan for the sound management of POPs. The project was designed to build their capacity to fulfill their obligations with regard to Article 16 of the Convention. The rating for Relevance is Highly Satisfactory.

### 5.2 Quality of Project Design

42. The quality of the project design is based on the completed assessment<sup>6</sup> done for the inception report. This assessment was done using the project design assessment tool of the UN Environment Evaluation Office and was restricted to information given in the project document. The main **Strengths** identified include:

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<sup>6</sup> Annex C of the Inception report for this terminal evaluation. It is an Excel sheet rating the different aspects of project design

- A comprehensive intervention logic and a clear and consistent approach with adequately planned activities to deliver outputs and outcomes.
- Highly relevant project built on previous GMP projects.
- Key stakeholders and partners identified and roles adequately described. In particular, all the key stakeholders and partners of the project were involved in the previous GMP projects, which greatly facilitated communication and contributed to successful completion of the project.
- The proposed costed monitoring and evaluation plan seems adequate to monitor and track project progress.
- Gender issue recognized and their involvement in project activities planned.

43. Some weaknesses of the design included:

- Although the project was built on previous GMP initiatives, the stakeholder consultation for development of project was not mentioned. It is anticipated however that this took place, which was confirmed during interviews with stakeholders
- There were some confusion on the use of outputs and outcomes. For instance, the outcomes 1 and 2 proposed in the project documents are in fact outputs.
- The theory of change as well as casual pathways were not explicitly described although a comprehensive intervention logic that serves the same purpose was given in the project document

44. Rating for Quality of Project Design is Satisfactory.

### 5.3 Nature of external context

45. External factors such as conflict, natural disaster and change of government, which the design considered as very unlikely to happen and affect project performance, did not occur during the implementation of the project. Rating for this criterion is **Favourable**.

### 5.4 Effectiveness

#### 5.4.1 Achievement of outputs

46. The achievements of outputs are based on those proposed for the reconstructed theory of change (Table 2). The seven outputs were designed to contribute to three substantive outcomes. The first two outputs pertained to the amendment of the POPs analytical guidance document to incorporate needs for nine new POPs, and to build capacity of national laboratories for sampling in core media. Four outputs were linked to building global capacity for the analysis of new POPs in core media. Finally, the last output was related to reporting and dissemination of results on new POPs to parties. According to the ratings (1 Moderately Satisfactory, 3

Satisfactory and 3 Highly Satisfactory)<sup>7</sup> reported in Table 3, it is clear that the project has been successful in the delivery of outputs.

47. For outcome 1 (see Figure 2), the key output was the amendment of guidance document to incorporate the needs for the analysis of nine new POPs. This activity was planned to be completed within 6 months after the start of the project. However, its finalization, done by the global coordination group and regional organization groups for the GMP during a workshop held in Geneva, Switzerland in October 2012, and adoption during the sixth meeting of the COP (UNEP/POPS/COP.6/INF/31) in May 2013, took 22 months after the start of the project.

48. For outcome 2, the key output was the development of the standard operating procedures to be able to analyze the new POPs in all the matrices (air, water, human milk and blood). The SOPs were successfully developed by the expert laboratories and tested on the national samples provided by the four participating countries. However, it took time to develop these SOPs as this was a first attempt to develop worldwide guidance and to identify the best way to sample and analyze new POPs in different media, and this delayed the implementation process significantly. The other key output was the international intercalibration study. Hundred and five laboratories from different regions (Asia, Europe, North, Central and South America, and Africa) participated to this study run in 2012/2013, and that was coordinated by the executing agency. Sixteen laboratories (including three of the participating countries of the project under evaluation) of the countries (Section 3.3, paragraph 25) of four previous GMP projects (GEF ID: 3673, 3778, 3674, and 3663). While all were able to submit data for the twelve original POPs, none were able to submit data for the new POPs due to lack of equipment and expertise. It was thus agreed that the data on new POPs in the core matrices would be generated by the expert laboratories. This is why a rating of moderately satisfactory was given to the output 2.2 (Table 3).

49. For outcome 3, the results and outcomes of the project were successfully shared with the forty three participating countries of the four follow-up initiatives on GMP during the inception workshops that were held on: 6 - 8 July 2016 - Accra, Ghana for the African Region; 25 - 27 January 2016, Hanoi, Vietnam for the Asian Region; 1 - 4 December 2015, Montevideo, Uruguay for the South American Caribbean Region, and 4 - 8 April 2016, Suva, Fiji for the Pacific Region.

50. During these inception workshops, a number of SOPs for sampling of core matrices (developed under outcome 2) in different languages were presented to the countries and these included: passive air sampling (En. Sp.)<sup>8</sup>; water sampling (En.); national samples (En. Fr. Sp.); sampling of human breast milk (En. Fr. Sp.), and active air sampling (En.). Protocols and

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<sup>7</sup> MS: moderately satisfactory; S: satisfactory; HS: highly satisfactory

<sup>8</sup> En: English; Fr: French; Sp: spanish; Ru: Russian. When no language is specified, then the document was in English version.

procedures for the analysis of the following POPs (including new POPs) in the core matrices, some (the new POPs) developed under outcome 2, were also presented to the countries in different languages: PFOS (En. Fr. Sp.), polychlorinated biphenyls (PCBs) and organochlorine pesticide (OCP) (En.Fr.Sp.); polybrominated diphenyl ethers (PBDEs) (En. Fr. Sp.); PFOS in water (En. Fr. Sp.); dioxin like (dl)-POPs (Fr. Sp.); and dioxins with high resolution mass spectrometry (HRMS) method (Fr.).

51. Sampling being a critical part of the process for generating data on POPs (including new POPs), videos on sampling were also developed and shared with the countries to ensure that all the samples were collected according to agreed criteria. The videos that were shared included: video of standard operating procedure for the sampling of human breast milk; video of the standard operating procedure for passive air sampling (En. Fr. Sp. Ru); video of the standard operating procedure for active air sampling; and video of perfluorinated compounds (PFC) analysis. As quality outputs have been successfully rating for this criterion is **Satisfactory**.

Table 3. Assessment and rating of outputs delivery

Outputs	Comments	Rating
1.1 Amended POPs analytical guidance document incorporating needs for nine new POPs available	The amendment of the POPs Analytical Guidance Document to incorporate the instrumental and qualification needs for the nine new POPs and inclusion of new matrices (blood and water) has been satisfactorily done. Laboratory databank updated, and tier definition done	Satisfactory
1.2 Reports on thematic or POPs specific training workshops on analysis and sampling for national laboratories	Sectoral interlaboratory and thematic workshops were held and reports submitted.	Satisfactory
2.1 Standard operating procedures (SOPs) for the analysis of new POPs in core matrices developed and tested	SOPs for the analysis of new POPs in abiotic matrices (air and water) and biotic matrices (mothers' milk, human blood) have been satisfactorily developed and tested by the expert laboratories on the samples provided by the pilot countries	Highly satisfactory
2.2 Capacity and performance of laboratories in analysing new POPs assessed and enhanced at the global level	National laboratories participated in an international intercalibration exercise, but all were not able to generate quality data on new POPs. The data were generated by the expert laboratories	Moderately Satisfactory

Outputs	Comments	Rating
2.3 Collection of mother's milk, blood as well as air and water samples	All the four pilot countries satisfactorily collected the biotic and abiotic samples that were shipped to the expert laboratories	Satisfactory
2.4 Methodologies for new POPs analysis in core matrices developed and field tested	The expert laboratories successfully developed the methodologies that were used to determine the levels of new POPs in the samples of core media sent by the pilot countries.	Highly satisfactory
3 Sectoral monitoring reports (air, water, blood or PFOS, BFR) on new POPs from pilot countries available and disseminated	The reports of the new POPs in the core media (air, water, blood and human milk) were submitted by the expert laboratories and were disseminated to the 43 participating countries of the four on-going initiatives on GMP	Highly satisfactory

#### 5.4.2 Achievement of direct outcomes

52. This pilot project was designed to develop global capacity for the analysis of the new POPs that would enable to generate data on new POPs in the core matrices through four follow up initiatives for the effectiveness evaluation of the Stockholm Convention. Given that these four follow-up initiatives are making use of this capacity to generate data on new POPs for the GMP data clearly indicates that the implementation of the project under evaluation has very satisfactory and the corresponding outcomes, which are discussed in the following paragraphs, have been achieved successfully.

53. **Outcome 1:** *Capacity needs for the analysis of nine new POPs identified and national laboratories in targeted countries enhance their capacities for sampling of core matrices* – The expectations for this outcome were fully met. In particular, the required instrumental capacity was identified. For instance, for the new POP Perfluorooctanesulfonic (PFOS) acid, the technique Liquid Chromatography coupled with Mass Spectrometry (LC/MS) was identified as the most appropriate tool for its analysis in water samples. From these findings, the expert laboratories were able to build the necessary capacity that enabled the analysis of the new POPs in the core matrices by developing the appropriate procedures and methodologies (see Outcome2). Similarly, appropriate standard operating procedures (SOPs) for sampling in the core matrices have been developed. After having their capacity strengthened on these SOPs through training workshops, the national laboratories of the four participating countries successfully collected samples in the core media (air, water, human milk and human blood) that were sent to the expert laboratories for analysis. These SOPs are being applied in the all the 43

participating countries of the four on-going GMP follow up initiatives to collect core samples for the generation of data on new POPs across the globe.

54. **Outcome 2:** *Enhanced global capacity (expert laboratories) to analyze new POPs in core matrices* – As mentioned earlier, the original design was to build national capacity across different UN regions for the analysis of new POPs in the core matrices. However, the results of the international intercalibration study<sup>9</sup> indicated that most of the countries did not have the capacity to analyse the samples at the required level. It was therefore agreed that the generation of data on new POPs to feed the GMP databank would be done by the expert laboratories. The four expert laboratories (Section 3.3, paragraph 25) involved in the project for the analysis of new POPs were: (1) The MTM laboratory of Sweden, involved in the determination of perfluoro compounds (listed in Annex B of the Convention) in water and human blood; (2) The Institute for Environmental Studies (IVM), Free University of Amsterdam developed procedures for analysis of perfluorooctane sulfonic acid (PFOS) and its salts (listed in Annex B), and brominated compounds (used as flame retardant and listed in Annex B) in human blood; (3) The Institute of Water Assessment and Environmental Research of the Spanish Council for Scientific Research, responsible to determine brominated compounds in air; and (4) the State Institute for Chemical and Veterinary Analysis of Food (CVUA) in Freiburg, Germany, the WHO reference laboratory, responsible to analyse the twelve original POPs and as well as the new POPs in human milk. All the expert laboratories were very successful in developing the adequate methods and procedures for the analysis of the new POPs in the core matrices (air, water, human milk and blood). This allowed the analysis of the national samples provided by the four participating countries, and quality data on new POPs were thus obtained. These same methods and procedures are being used to generate data on new POPs in the four on-going projects on GMP.

55. **Outcome 3:** *Parties aware of data on new POPs, and replication effort in other countries and regions planned* – This outcome has been very successfully attained. The data generated in this project have been considered in the second global report on POPs monitoring that the Secretariat of the Stockholm Convention in collaboration with the UN Environment presented to the parties at COP8 (COP.8/INF/38) held on 24 April – 5 May 2017 in Geneva. As lengthily described under section 5.4.1 ‘achievement of outputs’, the results and outcomes of this project were very satisfactorily shared with the 43 participating countries (see paragraphs 45 to 47) of the four on-going regional projects on GMP (see Section 4, paragraph 34). Given that all outcomes have been achieved the rating for Achievement of direct outcomes is **Satisfactory**.

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<sup>9</sup> Bi-ennial Global Interlaboratory Assessment on Persistent Organic Pollutants – Second Round 2012/2013, UNEP, DTIE, June 2014



### 5.4.3 Likelihood of impact

56. The project has been successful in delivering quality outputs, and was also successful in meeting its objective fully, which was “*To build regional capacity for sampling of core matrices and generation of high quality POPs results in the core matrices for the Global POPs Monitoring (GMP) with emphasis on the nine new POPs*”. Indeed, the national laboratories of the participating countries has strengthened their capacity for sampling of core matrices and were able to collect samples using the SOPs by the project. However, due to inadequate equipment and lack of expertise, the national laboratories were not able to operate at the required level for the analysis new POPs. Nevertheless, this analytical capacity was developed that was used by the expert laboratories to generate high quality on new POPs data. Taking into consideration these findings, the evaluation proposed a TOC (see Section 4 and Figure 2), in which it identified a number of transition states to occur for impact to be achieved. It is noteworthy that for the four on-going GMP projects, the high quality data on POPs (including new POPs) are being generated by the same expert laboratories that were involved in the project under evaluation.

57. The Excel sheet “*Assessment of Likelihood of Impact Decision Tree*” (Appendix 1) developed by the UN Environment Evaluation Office has been applied to the TOC to determine the likelihood of impact in the participating countries. How does the Excel sheet work? For each item, a number of options (status) is available. Depending on the option (status) chosen, one mark is given to one or more of the six options for rating (**Highly Unlikely - HU to Highly Likely - HL**) for this item (see Appendix 1). For example, for **Item 1**, three options (*Not in place, partially in place* and *in place*) are available. As the option “*In place*” has been chosen for this item, one mark has been given to the three ratings **ML**, **L** and **HL** (see Table 4). After completing the Excel sheet, the following results (marks) were obtained: **HU: 0; U: 0; MU: 0; ML: 2; L: 5** and **HL: 10**.

58. It can therefore be concluded that impact of the project is **Likely**. The following paragraph justifies the options chosen for each of the items reported in Table 4.

59. **Item 1** relates to drivers to support transition from outputs to direct outcomes. Driver 1 (See Figure 2) was “*in place*” and allowed the amendment of guidance document and development of procedures and methods for the analysis of new POPs. The driver 2 was not in place given that the national POP laboratories were not able to operate at the required level. However, as it was agreed by all stakeholders including the implementation and executing agencies and the SSC that the generation of data on new POPs would be done by the expert laboratories, driver 2 can be considered in place as these laboratories can operate at the required level. The assumptions (**Item 2**, see Figure 2) proposed in the TOC “*hold*” as an international intercalibration study did exist to which participated the countries. The assumption “*Willingness of scientists to contribute*” also proved to be correct as the scientists assisted in the development of standard procedures for the sampling of core media and were very much involved in developing analytical capacity for the generation of data on new POPs. As discussed earlier “*All*”

(Item 3) the direct outcomes have been “fully” (Item 5) achieved. The driver (Driver 3 on Figure 2) to support transition from direct outcome(s) to intermediate states (Item 6) is already “In place” as the Stockholm Secretariat is already facilitating the effectiveness evaluation of the Convention through the implementation of the on-going GMP projects mentioned earlier. The assumptions for the change process from direct outcomes to intermediate states (Item 7) “hold” as countries are providing resources to national laboratories, and follow up initiatives on GMP are being replicated in other regions. “Some” of the intermediate states have been “partially” (Items 8 and 9) achieved. Indeed three (1, 2 and 3 in Figure 2) of the four intermediate states have been achieved. For example, global monitoring being supported by reliable data generated by expert laboratories on new POPs from samples collected in pilot countries, the intermediate state 2 (Figure 2), has already occurred (see paragraph 49). The driver to support transition from intermediate states to impact (Item 10) is already in “place” as the Stockholm Convention Secretariat is encouraging the parties to implement the Convention, and the assumption for the change process from intermediate states to impact (Item 11) “holds” as there are indications that countries have started to fulfill their obligations. All have submitted their national implementation plan (NIP) for the sound management of POPs, and most have already implemented post NIP GEF funded projects. The rating for Likelihood of Impact is **Likely**.

60. Given that the outputs have been satisfactorily delivered, direct outcomes have achieved and there is likelihood of impact, the rating on effectiveness is **Satisfactory**.

Table 4. Rating of assessment of likelihood of impact

No	Item	Status	Rating					
			HU*	U*	MU*	ML*	L*	HL*
1	Drivers to support transition from outputs to direct outcomes are?	In place				1	1	1
2	Assumptions for the change process from outputs to direct outcomes	Hold				1	1	1
3	Proportion of direct outcomes fully or partially achieved	All						1
4	Which outcomes? (the most important to attain intermediate states / impact or others)	N/A**						1
5	Level of direct outcome achievement	Full					1	1
6	Drivers to support transition from direct outcome(s) to intermediate states are?	In place						1
7	Assumptions for the change process from direct outcomes to intermediate states	Hold					1	1
8	Proportion of Intermediate states achieved	Some						1
9	Level of Intermediate state achievement	Full						
10	Drivers to support transition from intermediate states to impact are?	In place						1

11	Assumptions for the change process from intermediate states to impact	Hold						1
		<b>Overall Rating</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>5</b>	<b>10</b>

\*HU: highly unlikely; U: unlikely; MU: moderately unlikely; ML: moderately likely; L: likely; HL: highly likely;  
\*\*N/A: not applicable

## 5.5 Financial management

### 5.5.1 Completeness of financial information

61. For this terminal evaluation exercise, some financial information was missing despite requests made by the evaluator. While the budget and expenditures for the financial years from 2011 to 2015, corresponding to the period when IMIS was the system used, were available, those for 2016 and 2017 (UMOJA system)<sup>10</sup> were not obtained. At May 2018 the total expenditure of GEF funds was US\$ 696,244 including the terminal evaluation cost (see Table 5). As some financial documentation was missing the rating for this criterion is **Moderately Satisfactory**.

### 5.5.2 Communication between finance and project management staff

62. As planned the project execution was done internally. While the Division of the GEF coordination of the UN Environment was the implementing agency, the Economy Division (See section 3.4, paragraph 28) was the executing agency. In this context an internal cooperation agreement (ICA) for a total amount of US\$ 700,000 was signed in July 2011 between these two divisions. According to information available, the relevant UN financial procedures were closely followed for the management of GEF funds. For instance, once the PCA was signed, the UN task Manager informed the UN Environment financial office for the first disbursement in July 2011. Two subsequent disbursements were done in July 2013 and April 2014 respectively after satisfactory submission of financial and progress reports on project implementation by the executing agency.

63. The expert laboratories, who were the key partners of the project, were responsible to analyze the national samples (provided by the participating countries) for the new POPs and were also responsible to provide training to the national laboratories on sampling in core media. The UN Environment procedures were closely followed for sub-contracting the expert laboratories. In that context, small scale funding agreements (SSFAs) were signed between them and the executing agency. The disbursements of funds were done according to the terms of reference of these SSFAs and in close consultation between the UN Environment project coordinator and the UN financial officer. For instance, the project coordinator ensured that the expert laboratories submitted the relevant reports and documents such certified expenditure reports or technical reports before informing the financial officer for disbursement of funds.. According to information available, these procedures were strictly adhered to. Copies of the

<sup>10</sup> See footnotes 11, 12 and 13

signed SSFAs as well as those of the certified expenditure reports were made available to the evaluation. Rating for this criterion is **Satisfactory**.

64. A variance of less than 10% is generally accepted between planned and actual expenditures. However, as can be seen in Table 5, the variance for many items were well above this limit. These variances have been fully justified. Some of them (BL1500, BL2100, and BL3200) were due to the implementation of Umoja, a new resource planning and management system, across all the UN agencies as from 1 June 2015<sup>11</sup>. As a result, two new budget lines (BL1600 and BL2100) were created and funds from BL3200 were transferred to these two new lines. Variances was also due to additional travel of the project coordinator as the project was extended due to delays (discussed under the Efficiency section) in project execution. Short coming in the GEF funds was also a reason for significant variance. As mentioned earlier (paragraph 28), there was a short coming of US\$300,000 in the GEF funds. For its mitigation, it was decided to cancel the small sectoral workshops and run modern tools such as webinars for communication and training. For example, instructive videos were developed to demonstrate the step-by-step sampling and analysis of new POPs in the relevant matrices and demonstrated through the webinars. Funds were transferred from BL3300 and BL4100 to BL1200 and BL1600 to reflect these decisions accordingly (Table 6).

65. The findings clearly indicate that the GEF funds have been adequately managed and the standard procedures of the UN Environment were applied. These findings also indicate that by making timely and necessary adjustments to the budget, the executing agency has been able to overcome the challenges and unforeseen situations (e.g. short coming in GEF funding) that the project faced. However as some financial information was missing the overall rating for financial management is **Satisfactory**.

Table 5: Expenditures of GEF funds at May 2018

Item	Amount (\$)
Total GEF funds	700,000
Expenditures in IMIS <sup>12</sup> up to 31.05.2015	415,875
Expenditures in UMOJA <sup>13</sup> from 1.06.2015 to 16.052018	247,069
Commitments (\$)	13,300
Terminal evaluation (\$)	20,000
<b>Total expenses at 16.05.2018</b>	<b>696,244</b>
<b>Unspent balance (\$)</b>	<b>3,757</b>

<sup>11</sup> <http://www.brsmeas.org/Implementation/MediaResources/NewsFeatures/Umoja/tabid/5111/language/en-GB/Default.aspx>

<sup>12</sup> IMIS: Integrated Management Information System

<sup>13</sup> UMOJA replaced IMIS in June 2015 in all UN agencies

Table 6. Expenditures and variance with respect to original GEF allocation

Budget line (BL)	Item	Original budget (US\$)	Revised budget (US\$)	Variance (US\$)	Variance (%)	Comments
1100	Project Personnel	40,000	40,000	-	0%	
1200	Consultants	14,000	35,600	21,600	154%	Consultant needed to prepare the technical outputs of the project and assist in the preparation of final electronic products
1500	Participants and expert travel	-	60,000	60,000		Due to UMOJA, this budget added from BL3200; output remains unchanged
1600	Travel	24,000	34,000	10,000	42%	Additional PM travel due to project extension
2100	Cooperating agencies	-	20,000	20,000		Due to Umoja, newly created line, no change in output
2200	Supporting organisations	296,000	296,000	-	0%	
3200	Group training	140,000	60,000	-80,000	-57%	Due to UMOJA, budget moved to B1500 and BL2100
3300	Meetings / conferences	82,000	71,200	-10,800	-13%	Technical output moved to BL 1200
4100	Expendable equipment	24,000	14,000	-10,000	-42%	Reduced by staff travel recorded and moved to BL1600
5200	Reporting costs	28,000	28,000	-	0%	
5300	Sundry	32,000	21,200	-10,800	-34%	Technical output moved to BL1200
5500	Evaluation	20,000	20,000	-	0%	
<b>Total</b>		<b>700,000.</b>	<b>700,000</b>	<b>-</b>		

## 5.6 Efficiency

66. The project was approved by GEF on 25 March 2011. The project officially started in July 2011 with the signature of an ICA and an initial disbursement to the executing agency (see Section 5.5, paragraph 56). This project of two years' duration was supposed to be completed by June 2013. For various reasons, discussed in the following paragraphs, the project was considerably delayed (by 54 months) and it was closed in December 2017.

67. As reported earlier (Section 5.4.1, paragraph 43), much of the delay was due to the considerable time required to get the amended guidance document ready and adopted, 22 months instead 6 months. Given the scope of the work and the procedures required to get this

document updated and adopted, the timeframe of six months was unrealistic. For instance, the adoption can only be done at a COP, and as from 2007 the COP for the Stockholm Convention is organized every 2 years. The fifth meeting was held in May 2011, and the sixth meeting in May 2013. Given that the project started in July 2011, it was obvious that the amended guidance document could only be adopted only at COP6. The change of project coordinator at the level of the executing agency also delayed the implementation process. The former project coordinator retired in May 2015 and the actual one took over in August 2015. Although all the project documentation was available through a shared drive, according to feedback gathered it was felt that a face to face hand over would have ensured a smoother continuity in project execution. The project was almost completed when the current project coordinator took over. All the activities were completed except the dissemination of project results, which was successfully done during the inception workshops of the four on-going follow-up GMP projects (Section 5.4.1, paragraph 44). However, project implementation was further delayed as one of the inception workshops was held in July 2016.

68. Some measures and factors adopted during the design and execution of the project that promoted efficiency include:

- i. The key partners and institutions in the project were constituted by expert and national laboratories that were involved in the four previous GMP projects.
- ii. The project worked closely with the Secretariat of the Stockholm Convention. In particular, it made use of existing advisory panels and groups (global and regional coordinating groups) of the Stockholm Convention to amend the guidance document and to deliver planned outputs.
- iii. Running webinars instead of small workshops was a cost-effective way to mitigate the short coming of GEF funds.
- iv. The materialization of a further 300,000 Euros cash co-financing from the Environment and Natural Resources Thematic Programme of the European Commission, on top of the co-funding at design, contributed to increased efficiency of the project. Most of these funds were used for the international intercalibration study.
- v. In agreement with the SSC, no formal Project Steering Committee was undertaken for this very technical project. Instead, there was close cooperation with the SSC, WHO and the expert laboratories. Progress and way forward was discussed during the technical meetings (face to face and webinar). This approach proved to be very good as quality outputs have been delivered and substantial cost savings made.

69. Despite the significant delays due to an unrealistic time planning, the project has been very successful in delivering quality outputs, which are being used in the four on-going GMP projects to generate data on the new POPs in the context of the effectiveness evaluation of the Convention. Although there have been significant variances (Table 5), which have been fully

justified, the achievements of outputs have been accomplished within the planned budget and at May 2018 the total expenditure of GEF funds was US\$ 696,243. For these reasons, efficiency is rated **Satisfactory**.

## 5.7 Monitoring and reporting

70. The project followed UN Environment standard monitoring, reporting and evaluation processes and procedures. The proposed project monitoring and evaluation (M&E) plan is consistent with the GEF monitoring and evaluation policy. The evaluation considers that the plan was adequate and allowed for the proper monitoring of project progress. In particular, the SMART indicators proposed for each expected outcome and output as well as their means of verification given in the project logical framework<sup>14</sup> along with the key deliverables and benchmarks outlined in the work were adequate and facilitated project monitoring and the tracking of results.

71. The proposed costed M&E plan<sup>15</sup> appears adequate. In particular, this plan not only allocates the budget but also assigns which party would be responsible for monitoring and reporting for each activity. For instance, the UN Environment project coordinator, was responsible to coordinate and report most of the activities. The only costed activities were the project steering committee (PSC) meetings and the independent terminal evaluation for which a total budget of US\$52,000 was allocated.

72. The project design proposed the establishment of a PSC constituted of the executing agency (Economy Division of UN Environment), the implementing agency (DGEF), the SSC, regional organizations coordinating the current GEF GMP projects in four sub-regions, and the involved bilateral donors for the monitoring of progress and to provide advice on implementation issues. To save costs<sup>16</sup> and given the very technical nature of the project, it was agreed between the implementing and executing agencies and the SSC that there would be no formal PSC. Instead, it was agreed that the executing agency through its project coordinator would work closely with SSC and the expert laboratories to monitor progress and discuss the way forward. Monitoring of progress was made mainly during technical meetings, and other training workshops and meetings. According to information available, monitoring of progress was satisfactory. For example, during a meeting organized in June 2012, the SSC ensured that COP decisions were followed while the amending of the GMP guidance document to include the new POPs. The offices of the SSC and the executing agency being in the same building in Geneva very much facilitated this monitoring and close collaboration<sup>17</sup>.

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<sup>14</sup> Appendix 1 of project document

<sup>15</sup> Appendix 4 of project document

<sup>16</sup> The implementing and executing agencies and the SSC are all located in the same building in Geneva.

<sup>17</sup> Feedback gathered from SSC and project coordinator during Skype interviews

73. Reporting was satisfactory. Indeed, comprehensive half yearly progress as well as Project Implementation Review (PIR) reports were submitted by the project coordinator in a timely manner. According to these reports<sup>18</sup>, it is clear that the project logical framework was used as basis for implementation and the SMART indicators were used to track progress. Reports for dissemination activities undertaken at the inception workshops of the on-going GMP projects (Section 5.4, paragraphs 45 to 47) were also available. As discussed earlier, given that project progress was monitored by the project coordinator and the SSC no funds were required, the independent terminal evaluation was the only activity for which GEF fund was used. Rating on M&E is **Satisfactory**.

## 5.8 Sustainability

### 5.8.1 Socio-political sustainability

74. All the participating countries have signed and ratified the Stockholm Convention. They have all submitted their NIPs (section 5.1, paragraph 37), and most of them are implementing (or have already implemented) post-NIP projects on POPs. For example, Kenya is implementing a five-year (2016-2021) post NIP GEF funded project on "*Sound Chemicals Management Mainstreaming and UPOPs Reduction in Kenya*". The four countries have participated in the previous GMP projects (GMP1) and are all engaged in the on-going GMP projects (GMP2 – GEF ID: 4886 (African region); 4894 (Asian region); 4881 (Latin America and Caribbean); and 6978 (Pacific region)). These facts clearly indicate the strong will of the respective governments to fulfill their obligations under the Convention, more specifically to contribute to the effectiveness evaluation. For these reasons, risk regarding the socio-political dimension is considered low. Rating is **Likely**.

### 5.8.2 Financial sustainability

75. This pilot project was designed in the context of a broader plan, the GMP, for the effectiveness evaluation of the Stockholm Convention. Under the coordination of the SSC, expert panels and coordination groups (global and regional) have been established to assist in the GMP. Following a decision of the fourth COP meeting in 2009 (Decision SC-2/13) four regional projects on GMP (GMP1) were initiated to complete the first effectiveness evaluation. These projects, which were funded by GEF following COP3 Decision SC-3/186, were completed in 2012. The pilot project under evaluation was designed to include the new POPs in the GMP. According to the TOC proposed by the evaluator (Section 4), for the outcomes of this project to progress onto the intermediate states (see Figure 2) through to impact, it is essential that

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<sup>18</sup> Copies of all the progress reports and PIRs were submitted to the evaluation



funding are available for replication of the project in other regions. This is already happening as four GMP follow up projects (GMP2), funded by GEF and designed for the second round of effectiveness evaluation, are being implemented in 43 countries (see Section 5.4.1, paragraph 44). The conclusions and recommendations of the second global report on GMP (UNEP/POPS/COP.8/INF/38) pertaining to the third phase of the global monitoring plan were adopted at COP8 (Decision SC-8/19) indicating that funds would be available for the round three of GMP. Risk regarding financial sustainability is thus considered low. Therefore rating for this criterion is **Likely**.

### 5.8.3 Institutional sustainability

76. As mentioned earlier, the GMP for the effectiveness evaluation of the Convention is being effectively coordinated by the SSC. In this context the SSC has put in place the proper mechanism and identified adequate expertise to assist in this endeavour. The SSC has established Regional Organizations Groups that are responsible to facilitate the regional implementation of the global monitoring plan. These regional organization groups composed of six members (countries) for each of the five United Nations Regions (Africa, Asia & Pacific, Central and Eastern Europe, Latin America and the Caribbean, Western Europe and Other States). It should be noted that all the countries of the GMP projects including this project under evaluation are members of these regional groups. The main objectives of these regional groups are to define and implement the regional strategy for information gathering, including capacity building and establishment of strategic partnerships in order to fill the identified data gaps, and to prepare the regional monitoring reports as contribution to the effectiveness evaluation process under the Stockholm Convention. In addition the SSC has also established a global coordination group is in place, comprising of three members from each region, nominated by the respective regional coordination groups. The main purpose of this global group is to facilitate the preparation of the global monitoring report, and harmonize and coordinate activities and cooperation between the regions. The GMP projects including the project under evaluation have benefitted Thanks to the support these coordinating groups (regional and global) and assistance of the expert panels set up by the SSC, the first effectiveness evaluation was successfully completed in 2012, and the second one is being undertaken (GMP2). All the expert laboratories involved in this project are leading laboratories in the field of POP analysis. They were involved in the GMP1 projects and are collaborating in the GMP2 projects. At national level, the laboratories involved in the project, were the same that participated in GMP1, and are currently contributing to GMP2. Risks regarding institutional capacity are therefore considered low. Rating for institutional capacity is **Likely**. The overall rating for Sustainability is **Likely**.

## 6 Factors Affecting Performance

### 6.1 Preparation and Readiness

77. The project design proposed relevant, precise, and concise information to allow for the achievement of project objectives. A comprehensive analysis and description of the requirements for sampling and analysis of the nine new POPs was provided. In particular, it was clearly indicated that human blood and water instead of mother's milk and air would be the more appropriate core matrices for monitoring given that the fluorinated POPs are more water soluble.

78. The project was built upon experiences of previous UN Environment/GEF projects such as *"Assessment of Existing Capacity and Capacity Building Needs to Analyse POPs in Developing Countries"* or the GMP1 projects. For example, the backbone of the key partners of the project (expert and national laboratories) were from the previous GMP1 projects (see section III.C, paragraph 24). Similarly, the project coordination and management structure including the setting up of a project steering committee was the same as that proposed for the GMP1 projects. It should be pointed out that the PSC was not established, the monitoring of progress was done, as agreed by all stakeholders, by an ad-hoc committee constituted by the SSC, the implementing and executing agencies, and the expert laboratories to reduce costs (see Section 5.7, paragraph 67). The former project coordinator, nominated within the executing agency, was also the project coordinator of the four GMP1 projects. The actual project coordinator is also the coordinating the four on-going GMP projects (GMP2).

79. The roles and responsibilities of the key partners were clearly defined in the project document. As they knew each other from the GMP1 projects, communication and cooperation was easy and there was no major issue in that regard. Similarly, given the similar nature of the projects, the key partners mentioned that the experience gained in the GMP1 projects were very much an asset for the project under evaluation. Rating on Preparation and readiness is **Satisfactory**.

### 6.2 Quality of Project Management and Supervision

80. The approach described in the project document was adopted for project implementation. The project was internally executed by the UN Environment. DGEF was the implementation agency, and the Economy Division was the executing agency, which was responsible to provide administrative and technical supervision in the implementation of the project. A project coordinator was nominated within the UN Environment, who worked in close collaboration with the SSC to plan, coordinate and organize project activities. According to feedback gathered, all the stakeholders recognized the good supervision and coordination work provided by the project coordinator and the SSC. In particular, the technical and training

workshops as well as webinars were well and timely organized, which facilitated the successful delivery of quality outputs such as the amendment of the guidance document or the development of standard operating procedures. Given the highly technical nature (trace chemical analysis) of the project, guidance and dialogue took place at technical level through the project coordinator, who is a field specialist in the field, and the back-stopping and supervision at the political expert level was led by the SSC.

81. At national level, the project activities, consisting mainly on the collection of samples in the core matrices, were adequately organized and coordinated by a national project coordinator coming from the national laboratory / institution participating in the project. The coordinator was also responsible to ship the samples to the expert laboratories. According to information available, except in one case where there was some confusion on the labelling of the samples for a country, otherwise there was no major issue. The samples were received timely in good condition at the expert laboratories. Quality of project management and supervision criterion is rated **Satisfactory**.

#### 6.2.1 Stakeholder Participation and Cooperation

82. As described in the project document, for this highly technical project, whose objective was to build capacity for analysis of new POPs, the main stakeholders were the expert and national laboratories. Their participation and involvement in the project was very satisfactory, which allowed to achieve the project objectives. In particular, they collaborated through both face to face meetings and webinars with the expert panels and organisational groups (regional and global) established by the SSC to successfully amend the guidance document. They also cooperated to develop the most appropriate SOPs for the sampling and analysis of core media for the new POPs.

83. The national laboratories, who were responsible to collect samples of core matrices in their respective countries, participated in a training workshop to strengthen their capacity for sampling in Amsterdam, Netherlands in 2012. The national laboratories were very satisfied with the high quality training proposed by the expert laboratories. Once trained, they were responsible for these following activities: (i) To receive passive air samplers and polyurethane foam disks (PUF disks) and sample POPs for an exposure period of three months using the sampling site used during the first phase of the Global Monitoring Plan project (ii) To receive sampling containers for surface water samples to be analysed for PFOS and precursors and identify a suitable site to take a composite sample according to the draft sampling procedure developed by the UNEP/GEF project. (iii) To ship the air and water samples to the designated expert laboratory for analysis of new POPs and prepare a small report to describe the sampling site and sampling procedure. For this very technical pilot project aiming to establish the tools and methods for analysis of new POPs, these were the only activities that were run at national level. There was no national committee or other meeting held in the context of the project. The

national laboratories of three of the four participating countries also participated to the international intercalibration study with mitigated success. While they could obtain results for some of the twelve original POPs, they were however not able to analyze the new POPs due to lack of equipment or expertise.

84. The expert laboratories, who were very much involved in the amendment of the GMP guidance document, were responsible to coordinate the sampling exercise in the participating countries in close collaboration with UN Environment project coordinator. The cooperation between the expert and the national laboratories worked very well and allowed the collection of a complete set of high quality samples in all four participating countries. The expert laboratories also closely collaborated between them to develop standard procedures for the analysis of the new POPs in the core matrices. They were very successful as they were able to generate high quality data on new POPs from the national samples. Given the active involvement of key stakeholders and their good cooperation, rating for this criterion is **Satisfactory**.

### 6.2.2 Responsiveness to Human Rights and Gender Equity

85. The aspect of human rights and indigenous peoples was not covered in the project design. This is not considered as an oversight as when the project goal would be reached the health of the whole population of the participating countries including indigenous peoples would be protected from the hazardous effects of POPs.

86. The project document recognized that women and children were especially susceptible to POPs, and the project, through its role in underpinning national POPs management, would contribute to improving their well-being. The document also mentioned that the project would empower women in their responsibilities within the laboratory management and would be strengthened further through training activities at international level. According to information available, women were indeed involved in the project and did participate in the trainings. For example, the two project coordinators (former and actual) as well as two of the national coordinators of the four participating countries and the representatives of the SCC in the project were women. Women did also participate in the trainings organized by the project. Since in line with the COP decision the project was addressing baseline exposures, no group in the population was targeted. Rating for this criterion is **Satisfactory**.

### 6.2.3 Country Ownership and Driven-ness

87. As mentioned earlier, the main stakeholders at national level were the laboratories that were responsible to collect samples of core media. The laboratories were essentially from academia except for Uruguay, which was a governmental one. The authorities such as government officials were not directly involved in the project. However, given that the Convention has been institutionalised to some extent through the nomination of a POPs focal point and the updating of national legislation to include POPs chemicals and wastes as reported

in their NIPs, clearly indicate that the management of POPs is a priority for the respective governments. This is further confirmed as most of the participating countries have already implemented or are in the process of implementing post NIP projects on POPs (See section 5.8.1, paragraph 69). Rating for this criterion is **Satisfactory**.

#### 6.2.4 Communication and Public Awareness

88. At national level, no communication or awareness raising activities were planned in the context of the project at national level. However, the NIPs for the management of POPs in the participating countries were developed through a multi-stakeholder process, where representatives from key ministries participated and endorsed the final NIP. In those NIPs the development of an information exchange, monitoring and reporting system was identified as national priorities. There is a direct interest and commitment of the countries to follow-up on the project activities on a longer term to serve the national efforts to comply with the Stockholm Convention.

89. Communicating on the project results and outcomes, and sharing of information with parties to the Convention has been very satisfactory. For instance, the amended global monitoring plan for persistent organic pollutants,<sup>19</sup> the amended implementation plan for the global monitoring plan for persistent organic pollutants<sup>20</sup>, and the updated guidance on the global monitoring plan<sup>21</sup> were communicated to the parties and adopted at COP6 (Decision SC6/23). Similarly, the second global report on the effectiveness evaluation (UNEP/POPS/COP.8/INF/38) that included data generated by the project under evaluation on the new POPs was very much welcomed at the eighth meeting of the COP (UNEP/POPS/COP.8/32). Whereas a number of representatives stated that participation in the GMP projects had improved analytical capacity in some countries, some said that support for developing countries in their efforts to provide monitoring data had to be strengthened, especially with regard to new persistent organic pollutants.

90. As reported earlier (Section 5.4.1, paragraphs 45 to 47), the project results and outcomes have been very satisfactorily shared with the forty three countries participating in the on-going GMP2 projects<sup>22</sup>. Rating on Communication and Public Awareness is **Satisfactory**.

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<sup>19</sup> UNEP/POPS/COP.6/INF/31/Add.1.

<sup>20</sup> UNEP/POPS/COP.6/INF/31/Add.2.

<sup>21</sup> UNEP/POPS/COP.6/INF/31.

<sup>22</sup> Documents relative to SOPs and other materials developed by the project may be accessed at the following sites: (i)[https://unitednations-my.sharepoint.com/:f/g/personal/haosong\\_jiao\\_un\\_org/ErGLCNlqV1dlrJb63zQqoOgBqjKDITsSJn\\_XexfSNDAkkw?e=cHGzCQ](https://unitednations-my.sharepoint.com/:f/g/personal/haosong_jiao_un_org/ErGLCNlqV1dlrJb63zQqoOgBqjKDITsSJn_XexfSNDAkkw?e=cHGzCQ) (ii)[https://unitednations-my.sharepoint.com/:f/g/personal/haosong\\_jiao\\_un\\_org/ErGLCNlqV1dlrJb63zQqoOgBqjKDITsSJn\\_XexfSNDAkkw?e=zRNBFO](https://unitednations-my.sharepoint.com/:f/g/personal/haosong_jiao_un_org/ErGLCNlqV1dlrJb63zQqoOgBqjKDITsSJn_XexfSNDAkkw?e=zRNBFO) (iii) [https://unitednations-my.sharepoint.com/:f/g/personal/haosong\\_jiao\\_un\\_org/EsLY0Y4JSpBEIc7f8b800xUBrq1WvRSsxMfy78uN9oMWIA?e=IrkfPM](https://unitednations-my.sharepoint.com/:f/g/personal/haosong_jiao_un_org/EsLY0Y4JSpBEIc7f8b800xUBrq1WvRSsxMfy78uN9oMWIA?e=IrkfPM) (iv) [https://unitednations-my.sharepoint.com/:f/g/personal/haosong\\_jiao\\_un\\_org/EsL9rJ3Uva1GscTsDKKv64oB3-IX1-NIQhVrp3tmePp0qw?e=6wxwaG](https://unitednations-my.sharepoint.com/:f/g/personal/haosong_jiao_un_org/EsL9rJ3Uva1GscTsDKKv64oB3-IX1-NIQhVrp3tmePp0qw?e=6wxwaG)

## 7 Conclusions and Recommendations

### 7.1 Conclusions

91. This project was designed to build regional capacity for sampling of core matrices and generation of high quality POPs results in the core matrices for the Global Monitoring Plan (GMP) with emphasis on the new POPs. The ultimate goal was the protection human health and the environment against the adverse effects of POPs.

92. In the terms of reference for this terminal evaluation, the evaluation was asked to address the following strategic / substantive questions:

- a. *To what extent has the project contributed to increased capacity on analysis and data generation for new POPs enabling all regions to comply with Article 16 of the Stockholm Convention?*

The project has directly contributed to the development of standard operating procedures for sampling and analysis that enabled data generation on new POPs in all the regions to comply with Article 16 of the Stockholm Convention. While the countries applied the standard procedures to collect samples in the core media, the expert laboratories developed standard procedures and methodologies that were successfully tested on these national samples to generate reliable data on new POPs. These data contributed to the second global report on effectiveness evaluation of the Convention.

- b. *To what extent has this project built on the lessons and capacities already created by previous POP monitoring initiatives?*

This project was built the experiences of the previous GMP1 projects. In particular, the backbone of the key partners of the project as well as the project coordinator were from the previous GMP1 projects. Similarly, the management structure of the previous GMP1 projects were adopted for implementation of the project under evaluation.

- c. *What key lessons and recommendations can be drawn that can further support the sustainability of the project results, especially in the context of the on-going regional projects supporting POPs monitoring capacities?*

The key lessons and recommendations are discussed later in this section.

93. The project was adequately managed by the Economy Division of the UN Environment in close collaboration with the Secretariat of the Stockholm Convention. The active involvement of the expert and national laboratories, the important partners of the project, and the timely support and coordination provided by project coordinator with the support of the SSC were key factors for the successful completion of project activities.

94. For various reasons such as delays in amending the guidance document or change of project coordinator, the implementation suffered significant delays and it took more than triple the time for completion of project activities, 78 months instead of 24. Nevertheless, quality outputs such as standard operating procedures for the sampling of core matrices, and methodologies and procedures for the analysis of new POPs have been successfully developed. These are being used in the four on-going GMP2 projects to generate data on new POPs. Similarly, all the direct outcomes were also successfully achieved. For example, enhanced global capacity for analysis of core media to generate data on new POPs have been successfully built. However, it has to be highlighted that due to inadequate equipment, the national laboratories were not able to operate at the required level, the generation of quality data on new POPs was instead done by the expert laboratories.

95. Impact of the project is likely as there are already indications three of the four intermediate states, identified by the evaluation, are occurring, namely: (i) Global monitoring is supported by reliable data generated by expert laboratories on new POPs in samples collected from pilot countries; (ii) Parties implement part of their main obligations under the Stockholm Convention by participating in the follow up GMP initiatives (iii) Experience and results from POPs analysis and environmental/human monitoring are replicated to other chemicals / regions / countries; and (iv) Data on new POPs enable the Stockholm Convention Secretariat and the Parties, under the guidance of experts, take informed decisions (e.g. by setting new limits for the regulation of new POPs in the different media) to protect the population and the environment.

96. Although project execution suffered significant delays, however as quality outputs that are being used in the four on-going GMP projects have been delivered within the planned budgets, direct outcomes have been satisfactorily achieved, and impact is likely, the overall rating of the project is **Satisfactory**. The ratings of the different evaluation aspects related to project implementation are summarized in the following table.

Table 5. Summary of Performance Ratings

Criterion	Summary Assessment	Rating
<b>A. Strategic Relevance</b>		<b>HS</b>
<i>1. Alignment to MTS and POW</i>	Project is complementary to UN Environment's Subprogram 5 - Harmful Substances and Hazardous Waste	HS
<i>2. Alignment to UN Environment /Donor/GEF strategic priorities</i>	This project is consistent with the Chemicals Focal Area of the GEF and will address the monitoring of POPs at global level	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	The project is in line with UN Development Assistance Plans for the four participating countries.	HS



<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<i>4. Complementarity with existing interventions</i>	The project is part of a global effort for effectiveness evaluation of the Stockholm Convention. It is a follow up initiative of four previous projects on Global Monitoring Plan of POPs	HS
<b>B. Quality of Project Design</b>	Project properly designed: a comprehensive analysis and description of the requirements for sampling and analysis of the nine new POPs have been provided; roles and responsibilities of key partners have been properly described.	<b>S</b>
<b>C. Nature of External Context</b>	No external factors that could affect the project have been identified	<b>F</b>
<b>D. Effectiveness<sup>23</sup></b>		<b>S</b>
<i>1. Delivery of outputs</i>	Quality outputs have been delivered within planned budget and timeframe	S
<i>2. Achievement of direct outcomes</i>	All direct outcomes have achieved. Enhanced capacity for analysis of new POPs built that is being used in the follow-up GMP2 projects	S
<i>3. Likelihood of impact</i>	Three of the four intermediate states proposed in the TOC are already occurring.	L
<b>E. Financial Management</b>		<b>S</b>
<i>1. Completeness of project financial information</i>	Not all financial sheets were made available to the evaluation.	MS
<i>2. Communication between finance and project management staff</i>	Adequate communication between finance and project teams	S
<b>F. Efficiency</b>	Quality outputs have been delivered within planned budget but with significant delays	<b>S</b>
<b>G. Monitoring and Reporting</b>		<b>S</b>
<i>1. Monitoring design and budgeting</i>	Adequate logframe with SMART indicators proposed and monitoring and evaluation properly budgeted	S
<i>2. Monitoring of project implementation</i>	Logframe used as basis for monitoring project progress.	S
<i>3. Project reporting</i>	Reports have been timely submitted.	S
<b>H. Sustainability</b>		<b>L</b>

<sup>23</sup> Where a project is rated, through the assessment of Project Design Quality template during the evaluation inception stage, as facing either an Unfavourable or Highly Unfavourable external operating context, ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the Evaluation Consultant and Evaluation Manager together.



<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<i>1. Socio-political sustainability</i>	The four countries participated in the GMP1 projects (GMP1) and are engaged in the on-going GMP2 projects. These facts clearly indicate the strong will of the respective governments to fulfill their obligations under Article 16	L
<i>2. Financial sustainability</i>	The conclusions and recommendations of the second global report on GMP pertaining to the third phase of the global monitoring plan were adopted at COP8 indicating that funds would likely be available for round three of GMP.	L
<i>3. Institutional sustainability</i>	The Secretariat of Stockholm Convention is effectively implementing the GMP for effectiveness evaluation. In this context it has put in place the proper mechanism and identified adequate expertise to achieve this goal.	L
<b>I. Factors Affecting Performance<sup>24</sup></b>		<b>S</b>
<i>1. Preparation and readiness</i>	The project was built on previous GMP initiatives, and engaged laboratories that were already part of these previous initiatives.	S
<i>2. Quality of project management and supervision<sup>25</sup></i>	Adequate coordination and support provided by the executing agency in close collaboration SSC that was highly appreciated by the key partners of the project.	S
<i>3. Stakeholders participation and cooperation</i>	Active involvement of the expert and national laboratories key partners contributed to successful delivery of quality outputs	S
<i>4. Responsiveness to human rights and gender equity</i>	The project sought to empower women in their responsibilities within the laboratory management and would be strengthened further through training activities at international level	S
<i>5. Country ownership and driven-ness</i>	Stockholm Convention institutionalized through the nomination of a POPs focal point and the updating of national legislation to include POPs chemicals and wastes as reported in their NIPs	S

<sup>24</sup> While ratings are required for each of these factors individually, they should be discussed within the Main Evaluation Report as cross-cutting issues as they relate to other criteria. Catalytic role, replication and scaling up should be discussed under effectiveness if they are a relevant part of the TOC.

<sup>25</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the Executing Agency and the technical backstopping provided by UN Environment, as the Implementing Agency.

Criterion	Summary Assessment	Rating
6. <i>Communication and public awareness</i>	Project results and outcomes adequately shared with parties at COPs, and with the participating countries of the four on-going GMP2 projects.	S
<b>Overall Project Rating</b>		<b>S</b>

## 7.2 Lessons learned

**Lesson 1: During project design, while planning the timeframe for delivery of outputs that require institutional adoption or approval such as legislation, policies or guidance documents, one should take into consideration not only the time required but also the timeliness to deliver such output to avoid significant delays during implementation.**

97. The project officially started in July 2011, and the timeframe to deliver the amended guidance document to include the new POPs was six months. The development of standard operating procedures to analyse new POPs was dependent on the availability of this document. However, it had to be adopted by the Conference of Parties of the Stockholm Convention prior to its use. The fifth meeting of COP was held May 2011, and the periodicity of COP is every two years since COP3 (held in April 2007). This meant that the amended guidance document could only be approved in May 2013 at COP6, which was the case. So instead of six months, it took 22 months for the amended guidance document to be approved.

**Lesson 2: In cases where funds are limited, instead of face to face meetings or workshops, planning for other means of communication such as webinars might prove effective and contribute to significant cost savings.**

98. Due to a shortcoming in funding, the executing agency cancelled short training and technical workshops/meetings that were replaced by webinars. This proved to be very cost effective as the training workshops and technical meetings were successfully undertaken and quality outputs such as the SOPs delivered.

## 7.3 Recommendations

99. The following recommendation is addressed to UN Environment and the Stockholm Convention Secretariat.

100. **Recommendation:** The GMP projects (GMP1 and GMP2) as well as this project under evaluation were designed to generate data on POPs (including the new POPs) in core matrices for effectiveness evaluation. The approach was to build sampling and analytical capacity of all the participating countries of all the regions to generate the data. However, the results of the international intercalibration study, to which participated only 13 (including three from the project under evaluation) of the 28 countries of the GMP1 projects, showed that while most of

the 13 countries had some capacity for analysis of the organochlorine pesticides and polychlorinated biphenyls (PCBs), none had the analytical capacity for the dioxins and furans, and the new POPs. Currently, the data are being generated by the expert laboratories. **For future GMP projects, instead of trying to build analytical capacity of the laboratories of all the participating countries, a different approach could be considered: to build the capacity only a few (one or two) laboratories per region that might become regional laboratories for POPs analysis.** The selection of the laboratories would be done on criteria such as availability of adequate analytical equipment, laboratory already involved in POPs analysis or proficiency of undertaking such type of analysis, or outcome of the first intercalibration study of the laboratory. For sampling of core matrices, the approach of involving all the laboratories would remain the same.

# Appendix

## A GUIDE FOR THE RATING LIKELIHOOD OF IMPACT

**Reset Form**

Select  
Response



Drivers to support transition from outputs to direct outcomes are?

in place

Likelihood of impact

HU	U	MU	ML	L	HL
Not in place	Partially in place	Partially in place	In place	In place	In place

Likelihood of impact

HU	U	MU	ML	L	HL
			1	1	1

Assumptions for the change process from outputs to direct outcomes

hold

Do not hold	Partially hold	Partially hold	Hold	Hold	Hold
			1	1	1

Do not hold	Partially hold	Partially hold	Hold	Hold	Hold
			1	1	1

Proportion of direct outcomes fully or partially achieved

all

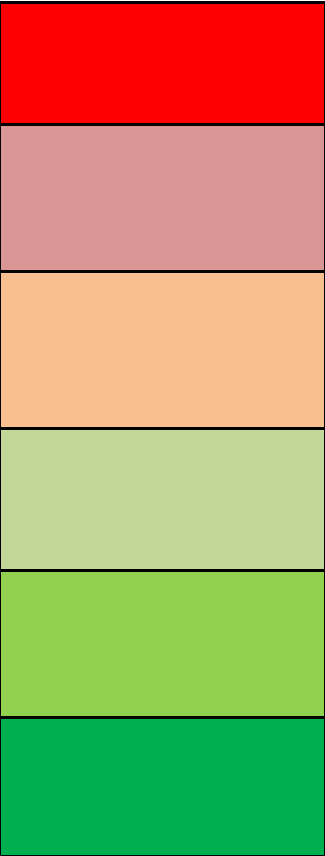
None	Some	Some	Some	Some	All
					1

None	Some	Some	Some	Some	All
					1

<p><b>Which outcomes? (the most important to attain intermediate states / impact or others)</b></p>		<p><b>Answer not required</b></p>	<p>n/a</p>	<p>Others</p>	<p>Others</p>	<p>Most important</p>	<p>Most important</p>	<p>n/a</p>						<p>1</p>
<p><b>Level of direct outcome achievement</b></p>	<p>full</p>		<p>n/a</p>	<p>Partial</p>	<p>partial</p>	<p>Partial</p>	<p>Full</p>	<p>Full</p>					<p>1</p>	<p>1</p>
<p><b>Drivers to support transition from direct outcome(s) to intermediate states are?</b></p>	<p>in place</p>		<p>n/a</p>	<p>Not in place</p>	<p>Not in place</p>	<p>Partially in place</p>	<p>Partially in place</p>	<p>In place</p>					<p>1</p>	
<p><b>Assumptions for the change process from direct outcomes to intermediate states</b></p>	<p>hold</p>		<p>n/a</p>	<p>Do not hold</p>	<p>Do not hold</p>	<p>Partially hold</p>	<p>Hold</p>	<p>Hold</p>					<p>1</p>	<p>1</p>

Proportion of Intermediate states achieved	some		n/a	n/a	None	None	Some	All					1					
Level of Intermediate state achievement	partial		n/a	n/a	n/a	n/a	Partial	Full					1					
Drivers to support transition from intermediate states to impact are?	in place		n/a	Not in place	Not in place	Not in place	Partially	In place					1					
Assumptions for the change process from intermediate states to impact	hold		n/a	Do not hold	Do not hold	Do not hold	Partially	Hold					1					
													0	0	0	2	6	9

**OVERALL  
RATING**



## **Annexes**

### **Annex 1: Response to stakeholders' comments**

- No response was received from stakeholders



## Annex 2: Evaluation ToRs

### TERMS OF REFERENCE

#### Terminal Evaluation of the UN Environment/Global Environment Facility project:

#### **“Establishing the Tools and Methods to Include the Nine New POPs into Global Monitoring Plan”**

##### Section 1: OVERVIEW OF THE PROJECT

<b>Executing Agency:</b>	UN Environment Chemicals Branch		
<b>Sub-programme:</b>	Chemicals and waste	<b>Expected Accomplishment(s) (PoW 2016-2017):</b>	b. Countries, including major groups and stakeholders, increasingly use the scientific and technical knowledge and tools needed to implement sound chemicals management and the related multilateral environmental agreements
<b>UN Environment approval date:</b>	13 July 2011	<b>Programme of Work Output(s) (PoW 2016-2017):</b>	3. Methodologies to monitor and evaluate impact of actions addressing chemicals releases to support sound management of harmful substances and MEA implemented at the national level. 4. Scientific and technical services, delivered through multi-stakeholder partnerships, to build the capacities of governments, the private sector and civil society to take action on the risks posed by chemicals including those listed in relevant MEAs; and SAICM, and lead and cadmium, as well as unsound management practices.
<b>GEF project ID:</b>	4412	<b>Project type:</b>	Medium Size Project (MSP)
<b>GEF Operational Programme #:</b>	GEF4?	<b>Focal Area(s):</b>	Persistent Organic Pollutants

<b>GEF approval date:</b>	25 March 2011	<b>GEF Strategic Priority:</b>	CHEMs-OBJ1 Phase out POPs and reduce POPs releases	
<b>Expected start date:</b>	July 2011	<b>Actual start date:</b>	2011	
<b>Planned completion date:</b>	June 2013	<b>Actual completion date:</b>	December 2017	
<b>Planned project budget at approval:</b>	2,216,340	<b>Actual total expenditures reported as of [date]:</b>	TBC	
<b>GEF grant allocation:</b>	700,000	<b>GEF grant expenditures reported as of [date]:</b>	TBC	
<b>Project Preparation Grant - GEF financing:</b>	n/a	<b>Project Preparation Grant - co-financing:</b>	n/a	
<b>Expected Medium-Size Project co-financing:</b>	1,516,340	<b>Secured Medium-Size Project co-financing:</b>		
<b>First disbursement:</b>		<b>Date of financial closure:</b>	TBC	
<b>No. of revisions:</b>	5	<b>Date of last revision:</b>	June 16, 2016	
<b>No. of Steering Committee meetings:</b>	tbc	<b>Date of last/next Steering Committee meeting:</b>	<b>Last:</b> TBC	<b>Next:</b> N/A
<b>Mid-term Review/ Evaluation (planned date):</b>	n/a	<b>Mid-term Review/ Evaluation (actual date):</b>	n/a	
<b>Terminal Evaluation (planned date):</b>	End of project (Dec 2016)	<b>Terminal Evaluation (actual date):</b>	May 2018	
<b>Coverage - Country(ies):</b>	Pilots countries <sup>26</sup> : Kenya and Mali, Fiji, and Uruguay	<b>Coverage - Region(s):</b>	Global – pilots in Africa, Asia-Pacific and Latin America	
<b>Dates of previous project phases:</b>	Related NIPs for POPs projects	<b>Status of future project phases:</b>	Regional POPs monitoring capacity projects	

1. **Project rationale.** Exposure to on Persistent Organic Pollutants (POPs) can lead to serious health effects. Given their long range transport, no one government acting alone can protect its citizens or its environment from POPs. The Stockholm Convention on POPs is a global treaty (adopted in 2001 and entered into force in 2004) established to protect human health and the environment from chemicals that remain intact in the environment for long periods, become widely distributed geographically, accumulate in the fatty tissue of humans and wildlife, and have harmful impacts on human health or on the environment. In response to this global

<sup>26</sup> As per PIR 2014

problem, the Stockholm Convention requires its parties to take measures to eliminate or reduce the release of POPs into the environment.<sup>27</sup>

2. Article 16 of the Stockholm Convention indicates that the effectiveness of the Convention shall be evaluated four years after the date of entry into force of the Convention and periodically thereafter. The Effectiveness Evaluation consists of monitoring the presence of POPs in the environment as well as their regional and global transport. The Conference of Parties (COP) completed its first effectiveness evaluation at its fourth meeting in 2009 (COP-4), and agreed upon the essential modalities for the environmental monitoring component of the subsequent evaluations.

3. The first global monitoring report under the global monitoring plan (GMP) for effectiveness evaluation (UNEP/POPS/COP.4/33) presented information on air levels and human exposure (breast milk or human blood) from all five United Nations regions. This report set the baseline to determine trends of increase or decrease in persistent organic pollutants levels concerning the original 12 pollutants of the Stockholm convention.

4. At the fourth meeting of the Conference of the Parties to the Stockholm Convention in May 2009, nine new POPs chemicals were added into Annexes A, B and C of the Convention (Decisions SC-4/10-18). Initial Guidance on the Global Monitoring Plan for Persistent Organic Pollutants was originally developed under the Convention to provide Parties with the necessary tools to enable them to monitor POPs in a harmonized and sound manner for the original 12 POPs. *Whereas the new nine chemicals adopted during COP-4 fulfilled the general POPs criteria, it should be noted that chemically not all of them are chlorinated, therefore, these brominated and fluorinated chemicals pose additional challenges for monitoring guidance.* Such as Polybrominated biphenyls (PBBs) and the Polybrominated diphenyl ethers (PBDEs) of the new nine POPs have different physical-chemical properties in comparison to the original 12 POPs and thus needed new analytical approaches. In order to include new POPs, this project was designed to update existing guidance for POPs monitoring in the environment and human matrices at background levels.

5. The COP noted the need for guidance and technical/financial support for developing countries and countries with economies in transition to fully implement the new obligations. At the time of the project design, the existing guidelines under the Convention were considered insufficient and specific guidance to Parties was needed to help them to fulfill their obligations concerning the nine new POPs.

6. This project was to create the necessary basis to address the analysis of the nine new POPs according to international standards, identify laboratories in a position to undertake such analysis, train developing country laboratories in the analysis of new POPs where feasible, and lay down the scientific and practical modalities at regional level to provide global monitoring data for environmental concentrations and human exposure. Sister projects, developed by the United Nations Industrial Development Organisation (UNIDO) were to address issues of

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<sup>27</sup> <http://chm.pops.int/TheConvention/Overview/tabid/3351/>

screening methods to identify new POPs and provide the tools to sample and analyse new POPs in products.

7. **Project objective and component.** *The goal of the project was to build capacity on analysis and data generation for new POPs in core matrices for the Global POPs Monitoring (GMP) to enable all regions to comply with Article 16 of the Stockholm Convention. This project was to assist countries to monitor and assess the presence of new POPs in humans and the environment in their countries and region. Participating countries and regions have expressed, through different international fora and in their National Implementation Plans, their need for assistance to assess new POPs.*

*Component 1: Instrumentation and methods for analysis of new POPs in core matrices, POPs lab databank amended and laboratories identified.*

*Outcome:* Instrumentation and methods for analysis of new POPs in core matrices established and POPs Laboratory Databank amended and laboratories identified

*Outputs:*

- POPs analytical guidance amended
- POPs laboratory databank updated includes information on new POPs

*Component 2: Development of guidance to analyse new POPs in relevant core matrices.*

*Outcome:* Guidance for the analysis of new POPs in relevant matrices updated and available

*Outputs:*

- Standard operating Procedures (SOPs) available for abiotic and biotic matrices
- Pilot countries identified for sampling and analysis in core matrices
- Guidance documents including new POPs and relevant core matrices available

*Component 3: Capacity building at global level for sampling and analysis of new POPs in core matrices.*

*Outcome:* Capacity built at global level for sampling and analysis of new POPs in core matrices.

*Outputs:*

- Global training workshop organized
- Methodology for new POPs analysis in air and water field tested
- Methodology for new POPs analysis in mothers' milk/human blood tested
- Needs for spares and consumables identified
- Analysis from expert back-up laboratories available
- Collection of mother's milk, blood as well as air and water samples

*Component 4: International intercalibration study for new POPs.*

*Outcome:* Capacity and performance of laboratories in analysing new POPs provided by countries

*Outputs:*

- UN Environment – New POPs in Global Monitoring Plan
- Organization and participation in an intercalibration study

*Component 5: Availability of regional data for new POPs in core matrices*

*Outcome:* Regional data available for new POPs

*Outputs:*

- Sectoral reports (air, water, blood or PFOS, BFR) produced
- Expert lab mirror analysis results available

8. In the participating countries (see para 11), the laboratory facilities were to be strengthened to reliably analyse new POPs. The project was to build upon existing laboratories that have a basic understanding of the procedures and methods to analyse POPs or to take samples.

9. Participating countries were to contribute by provision of samples and laboratory facilities and benefit by training in sampling, analytical procedures, quality assurance and data management and interpretation as well as learning more about the POPs situation in their countries. The project was to assist in establishing the baseline for new POPs present in the regions.

10. **Implementing structure.** UN Environment Economy Division's Chemicals Branch was to be the executing agency and international coordinator, and to provide administrative and technical supervision in the implementation of the project. Chemicals branch was to closely liaise with the Stockholm Convention Secretariat and its associated expert groups/team, other co-funding partner, including the World Health Organization who was implementing a global mothers' milk survey.

11. For the delivery of pilot testing in the regions, as per the original plan the regional coordinators under the UN Environment/GEF Global Monitoring Plans projects in each sub-region were to assist in the coordination of this project and in interacting and possibly sub-contracting pilot countries. The Regional Coordination Centres were to report to UN Environment Chemicals branch. regional executing coordinators are as follows (at the time of the project design):

1. *Eastern and Southern Africa:* Department of Chemistry/University of Nairobi (UoN), Kenya. Participant countries: Egypt, Ethiopia, Kenya, Mauritius, Uganda, Zambia.
2. *West Africa:* Environmental Toxicology and Quality Control Laboratory, Mali. Participating countries: DR Congo, Ghana, Mali, Nigeria, Senegal, Togo.
3. *Latin America and the Caribbean:* Stockholm Centre, Uruguay. Participating Countries: Antigua and Barbuda, Brazil, Chile, Ecuador, Jamaica, Mexico, Peru, and Uruguay.
4. *Pacific Islands:* Institute of Applied Sciences/ University of South Pacific, Fiji. Participating countries: Fiji, Kiribati, Niue, Samoa, Palau, Solomon Islands, Tuvalu.

12. Further, close linkages were to be established between UN Environment Chemicals Branch and the Regional Organization Groups (ROGs) under the Stockholm Convention Effectiveness Evaluation. At global level, the Global Coordination Group (CGC) after consultation with the Secretariat will be assisting in the development of the guidance documents, pilot testing in the regions, and final assessment and strategy development.

13. **Project budget.** The table 2 below summarizes the budget at the project design.

**Table 2. Project Budget at design (GEF ID 4412)**

<b>Cost of project</b>	<b>US\$</b>	<b>%</b>
Cost to the GEF Trust Fund	700,000	32
<b>Co-financing</b>	<b>1,516,340</b>	<b>68</b>
<b>Cash</b>		
Secretariat of Stockholm Convention	755,000	34
<b>Sub-total</b>	<b>755,000</b>	<b>34</b>
<b>In-kind</b>		
Secretariat of Stockholm Convention	298,340	14
Expert from UN regions working for SSC	300,000	14
National experts' travel	36,000	1
Environment Canada	50,000	2
UNEP	77,000	3
<b>Sub-total</b>	<b>761,340</b>	<b>34</b>
<b>TOTAL</b>	<b>2,216,340</b>	<b>100</b>

14. **Implementation issues.** The PIRs available to the evaluation manager don't identify any major implementation issues. Possible delays and country level capacity issues were mentioned as a medium level risks to the project implementation. As per the initial evaluation discussions the planned regional coordination role was only materialized in Latin America (Uruguay).

## Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

### Key Evaluation principles

15. Evaluation findings and judgments should be based on **sound evidence and analysis**, clearly documented in the evaluation report. Information will be triangulated (i.e. verified from different sources) as far as possible, and when verification is not possible, the single source will

be mentioned (whilst anonymity is still protected). Analysis leading to evaluative judgments should always be clearly spelled out.

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

17. **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.

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

Objective of the Evaluation

19. In line with the UN Environment Evaluation Policy<sup>28</sup> and the UN Environment Programme Manual<sup>29</sup>, the Terminal Evaluation (TE) is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UN Environment and main project partners. Therefore, the evaluation will identify lessons of operational relevance for

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<sup>28</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

<sup>29</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) . *This manual is under revision.*

future project formulation and implementation (especially in terms of the regional POPs monitoring projects).

#### Key Strategic Questions/Issues

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

- (b) In its effectiveness analysis, the evaluation will pay particular attention to the project goal statement and assesses to what extent the project contributed to increased capacity on analysis and data generation for new POPs enabling all regions to comply with Article 16 of the Stockholm Convention.
- (c) The evaluation will consider to what extent this project has built on the lessons and capacities already created by previous POP monitoring initiatives.
- (d) While assessing the project effectiveness and sustainability the evaluation will draw key lessons and recommendations that can further support the sustainability of the project results, especially in the context of the on-going regional projects supporting POPs monitoring capacities.

#### Evaluation Criteria

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

#### Strategic Relevance

The evaluation will assess, in line with the OECD/DAC definition of relevance, *'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'*. The evaluation



will include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

i. *Alignment to the UN Environment Medium Term Strategy<sup>30</sup> (MTS) and Programme of Work (POW)*

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

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

23. Donor, including GEF, strategic priorities will vary across interventions. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>31</sup> (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

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

24. The evaluation will assess the extent to which the intervention is suited, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies, National Implementation Plans on POPs or related regional agreements etc.

iv. *Complementarity with Existing Interventions*

25. An assessment will be made of how well the project, either at design stage or during the project mobilization, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UNDAFs or One UN

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<sup>30</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>31</sup> <http://www.unep.org/GC/GC23/documents/GC23-6-add-1.pdf>

programming. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

26. *Factors affecting this criterion may include:* stakeholders' participation and cooperation; responsiveness to human rights and gender equity and country ownership and driven-ness.

#### Quality of Project Design

27. The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established. This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included.

28. *Factors affecting this criterion may include (at the design stage):* stakeholders participation and cooperation and responsiveness to human rights and gender equity, including the extent to which relevant actions are adequately budgeted for.

#### C. Nature of External Context

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

#### D. Effectiveness

30. The evaluation will assess effectiveness across three dimensions: achievement of outputs, achievement of direct outcomes and likelihood of impact.

#### Achievement of Outputs

31. The evaluation will assess the project's success in producing the programmed outputs (products and services delivered by the project itself) and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, a table should, for transparency, be provided showing the original formulation and the amended version. The achievement of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their usefulness and the timeliness of their delivery. The evaluation will briefly explain the

reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

32. *Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision<sup>32</sup>.

***i. Achievement of Direct Outcomes***

33. The achievement of direct outcomes is assessed as performance against the direct outcomes as defined in the reconstructed<sup>33</sup> Theory of Change (TOC). These are the first-level outcomes expected to be achieved as an immediate result of project outputs. As in 1, above, a table can be used where substantive amendments to the formulation of direct outcomes as necessary. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

34. *Factors affecting this criterion may include:* quality of project management and supervision; stakeholders' participation and cooperation; responsiveness to human rights and gender equity and communication and public awareness.

***ii. Likelihood of Impact***

35. Based on the articulation of longer term effects in the reconstructed TOC (i.e. from direct outcomes, via intermediate states, to impact), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long term impacts. The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the EOU website, [web.unep.org/evaluation](http://web.unep.org/evaluation) and is supported by an excel-based flow chart called, Likelihood of Impact Assessment (see Annex 1). Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

36. The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have

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<sup>32</sup> In some cases 'project management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

<sup>33</sup> UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any changes made to the project design. In the case of projects pre-dating 2013 the intervention logic is often represented in a logical framework and a TOC will need to be constructed in the inception stage of the evaluation.

been identified in the project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>34</sup>

37. The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication<sup>35</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact. Ultimately UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals<sup>36</sup> and/or the high level results prioritised by the funding partner.

38. *Factors affecting this criterion may include:* quality of project management and supervision, including adaptive project management; stakeholders participation and cooperation; responsiveness to human rights and gender equity; country ownership and driven-ness and communication and public awareness.

#### E. Financial Management

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

40. *Factors affecting this criterion may include:* preparation and readiness and quality of project management and supervision.

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<sup>34</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses/>

<sup>35</sup> *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

<sup>36</sup> A list of relevant SDGs is available on the EO website [www.unep.org/evaluation](http://www.unep.org/evaluation)

## F. Efficiency

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

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

43. *Factors affecting this criterion may include:* preparation and readiness (e.g. timeliness); quality of project management and supervision and stakeholders participation and cooperation.

## G. Monitoring and Reporting

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

### *i. Monitoring Design and Budgeting*

45. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART<sup>37</sup> indicators towards the achievement of the projects outputs and direct outcomes, including at a level disaggregated by gender or groups with low representation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

### *ii. Monitoring of Project Implementation*

46. The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. It will also consider how information generated by the monitoring system during project implementation was used to adapt and improve project execution,

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<sup>37</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

*iii. Project Reporting*

47. UN Environment has a centralised Project Information Management System (PIMS) in which project managers upload six-monthly status reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Projects funded by GEF have specific evaluation requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews, Tracking Tool and CEO Endorsement template<sup>38</sup>), which will be made available by the Task Manager. The evaluation will assess the extent to which both UN Environment and donor reporting commitments have been fulfilled.

48. *Factors affecting this criterion may include:* quality of project management and supervision and responsiveness to human rights and gender equity (e.g. disaggregated indicators and data).

H. Sustainability

49. Sustainability is understood as the probability of direct outcomes being maintained and developed after the close of the intervention. The evaluation will identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes. Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

*i. Socio-political Sustainability*

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

*ii. Financial Sustainability*

51. Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced

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<sup>38</sup> The Evaluation Consultant(s) should verify that the annual Project Implementation Reviews have been submitted, that the Tracking Tool is being kept up-to-date and that in the CEO Endorsement template Table A and Section E have been completed.

for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of a project have been extended into a future project phase. The question still remains as to whether the future project outcomes will be financially sustainable.

*iii. Institutional Sustainability*

52. The evaluation will assess the extent to which the sustainability of project outcomes is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

53. *Factors affecting this criterion may include:* stakeholders participation and cooperation; responsiveness to human rights and gender equity (e.g. where interventions are not inclusive, their sustainability may be undermined); communication and public awareness and country ownership and driven-ness.

I. Factors and Processes Affecting Project Performance

54. These factors are rated in the ratings table, but are discussed as cross-cutting themes as appropriate under the other evaluation criteria, above.

*i. Preparation and Readiness*

55. This criterion focuses on the inception or mobilisation stage of the project. The evaluation will assess whether appropriate measures were taken to either address weaknesses in the project design or respond to changes that took place between project approval, the securing of funds and project mobilisation. In particular the evaluation will consider the nature and quality of engagement with stakeholder groups by the project team, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements. (Project preparation is covered in the template for the assessment of Project Design Quality).

*ii. Quality of Project Implementation and Execution*

56. Specifically for GEF funded projects, this factor refers separately to the performance of the executing agency and the technical backstopping and supervision provided by UN Environment, as the implementing agency.

57. The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures;

maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UN Environment colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive project management should be highlighted.

*iii. Stakeholder Participation and Cooperation*

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

*iv. Responsiveness to Human Rights and Gender Equity*

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

60. The report should present the extent to which the intervention, following an adequate gender analysis at design stage, has implemented the identified actions and/or applied adaptive management to ensure that Gender Equity and Human Rights are adequately taken into account. In particular, the evaluation will consider to what extent project design (section B), the implementation that underpins effectiveness (section D), and monitoring (section G) have taken into consideration: (i) possible gender inequalities in access to and the control over natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

*v. Country Ownership and Driven-ness*

61. The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs and interests of all gender and marginalised groups.



*vi. Communication and Public Awareness*

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

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

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

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

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

- Relevant background documentation, inter alia Stockholm convention related updates/guidance notes etc, POPs related project documentation (concerning participating countries), National Implementation Plans on POPs etc.
- Project design documents (including minutes of the project design review meeting at approval); Annual Work Plans and Budgets, revisions to the project (Project Document Supplement), the logical framework and its budget;
- Project reports such as six-monthly progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence and including the Project Implementation Reviews and Tracking Tool etc.;
- Project deliverables (plans/reports/studies etc)
- Mid-Term Review or Mid-Term Evaluation of the project;
- Evaluations/reviews of similar projects.

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

- UN Environment Task Manager (TM);
- Project management team;
- UN Environment Fund Management Officer (FMO);
- Sub-Programme Coordinator;
- Project partners at regional and country level as well as test laboratories;
- Other relevant resource persons identified in the inception state.

(c) **Surveys (defined in the inception phase)**

(d) **Field visits – subject to additional funding (Stakeholder meeting in Europe in January 2018)**

(e) **Other data collection tools as deemed necessary and decided in the inception phase**

#### Evaluation Deliverables and Review Procedures

65. The evaluation team will prepare the following concerning each project evaluation:

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

66. **Review of the draft evaluation report.** The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation team where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors

of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation team for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

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

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

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

The Consultants' Team

70. The evaluation team will consist of one Evaluation consultant who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager Saila Toikka in consultation with the UN Environment Task Manager Kevin Helps Fund Management Officer Anuradha Shenoy and the relevant Sub-programme Coordinators. The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, the consultants' individual responsibility to arrange for their visas and immunizations as well as to plan meetings with stakeholders, organize online surveys, obtain documentary evidence and any other logistical matters related to the assignment. The UN Environment Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

71. The consultant will be hired over the period 15 November, 2017 to 15 May, 2018 and should have: an advanced university degree in natural or environmental sciences, international development or other relevant political or social sciences area; a minimum of 20 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of Persistent Organic Pollutants, excellent writing skills in English; where possible, knowledge of the UN system, specifically of the work of UN Environment.

72. The consultant will be responsible, in close consultation with the Evaluation Office of UN Environment, for overall management of the evaluation and timely delivery of its outputs,

described above in Section 11 Evaluation Deliverables, above. The consultant will ensure that all evaluation criteria and questions are adequately covered.

Schedule of the evaluation

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

**Table 3. Tentative schedule for the evaluation**

<b>Milestone</b>	<b>Deadline</b>
Contracting Procedures	November 17 (2017)
Submission of the inception report (first draft)	January 2 (2018)
Submission of the inception report (final)	January 10
<i>Evaluation Missions (Stakeholder meeting – date will be confirmed as soon as possible) SUBJECT TO ADDITIONAL FUNDING</i>	<i>January 30</i>
Telephone interviews, surveys etc.	February 30
Powerpoint/presentation on preliminary findings and recommendations	February 30
Draft report to Evaluation Manager (and Peer Reviewer)	March 15
Draft Report shared with UN Environment Project Manager and team	March 22
Draft Report shared with wider group of stakeholders	April 20
Final Report	May 15

Contractual Arrangements

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

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

76. Schedule of Payment for the Consultant:

<b>Deliverable</b>	<b>Percentage Payment</b>
Approved Inception Report ( <i>as per annex document 7</i> )	30%
Approved Draft Main Evaluation Report ( <i>as per annex document 13</i> )	30%
Approved Final Main Evaluation Report	40%

77. Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorised travel mission will be paid up front. Local in-country travel will only be reimbursed where agreed in advance with the Evaluation Office and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

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

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

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

### Annex 3: List of persons interviewed

Date	Time	Person interviewed	Contact
9/04/2018	11H30 – 12H45	Heidelore Fiedler, former project coordinator, UN Environment	<a href="mailto:Heidelore.Fiedler@oru.se">Heidelore.Fiedler@oru.se</a>
24/04/2018	12H00 – 12H45	Jorge Ocana, former task manager, DGEF, UN Environment	<a href="mailto:Jorge.OCANA@unitar.org">Jorge.OCANA@unitar.org</a>

25/04/2018	11H00 – 12H00	Vincent Madadi, Dept of Chemistry, University of Nairobi	<a href="mailto:vmadadi@uonbi.ac.ke">vmadadi@uonbi.ac.ke</a>
25/04/2018	17H45 – 18H30	Jacob de Boer, Prof. of Toxicology, Dept of Environmental Health, IVM, Netherlands	<a href="mailto:jacob.de.boer@vu.nl">jacob.de.boer@vu.nl</a>
30/04/2018	8H30 – 9H00	Vincent Lal, University of South Pacific, Fiji	<a href="mailto:vincent.vishant.lal@gmail.com">vincent.vishant.lal@gmail.com</a>
2/05/2018	13H00 – 13H45	Bert van Bavel, formerly at MTM, Sweden, now at Institute for water research in Norway since 2015	<a href="mailto:bert.vanbavel@niva.no">bert.vanbavel@niva.no</a>
3/05/2018*	17H00 – 18H00	Katarina Magulova, Secretariat of the Stockholm Convention	<a href="mailto:katarina.magulova@brsmeas.org">katarina.magulova@brsmeas.org</a>
10/05/2018	17H00 – 17H45	Alejandra Torre, Director of regional Stockholm and Basel Convention Center, Latu, Uruguay	<a href="mailto:atorre@latu.org.uy">atorre@latu.org.uy</a>
16/05/2018	12H30 – 13H15	Esteban Abad Holgado, Head of dioxin laboratory, Water Assessment and Environmental Research, Spanish Research Council	<a href="mailto:eaheco@idaea.csic.es">eaheco@idaea.csic.es</a>
20/06/2018	12H40 – 13H40	Jacqueline Alvarez, current Project Coordinator, Senior Programme Officer, UN Environment	<a href="mailto:jacqueline.alvarez@un.org">jacqueline.alvarez@un.org</a>

Skype interviews

\*interview by telephone



## Annex 5: Evaluation bulletin

**Project Title:** Establishing the Tools and Methods to Include the Nine New POPs into Global Monitoring Plan

### About the Project

1. The objective of the project was to build regional capacity for sampling of core matrices and generation of high quality POPs results in the core matrices for the Global Monitoring Plan (GMP) with emphasis on the new POPs
2. Implementation dates:
  - Planned: July 2011 – June 2013 (24 months)
  - Actual : July 2011 – December 2017 (78 Months)
3. Lead division: Economy Division of the UN Environment  
Sub-programme: Harmful substances and hazardous wastes
4. Countries: Fiji, Kenya, Mali and Uruguay
5. Budget:  
GEF: \$ 700,000;  
  
Co-financing: \$ 1,516,340 (UN Environment: 77,000; Secretariat of the Stockholm Convention (SSC): 1,053,340; Environment Canada: 50,000; Expert from UN regions working for SSC: 300,000; National experts' travel: 36,000 )  
  
Total: \$ 2,216,340
6. Date of Evaluation: December 2017 – July 2018

### Relevance

7. The project is complementary to UN Environment Subprogram - Harmful Substances and Hazardous Waste. This project is also consistent with the Chemicals Focal Area of the GEF. The four participating countries have signed and ratified the Stockholm Convention.

### Performance *(approx. 150 words)*

8. The project was adequately managed by the Economy Division of the UN Environment in close collaboration with the Secretariat of the Stockholm Convention. The active involvement of the expert and national laboratories, the important partners of the project, and the timely support and coordination provided by project coordinator with the support of the SSC were key factors for the successful completion of project activities. However, for various reasons such as delays in amending the guidance document or change of project coordinator, the implementation suffered significant delays and it took more than triple the time for completion of project activities, 78 months instead of 24. Nevertheless, quality



outputs such as standard operating procedures for sampling and analysis have been delivered and are being used in the four on-going GMP2 projects to generate data on new POPs. Similarly, all the direct outcomes were also successfully achieved. For example, enhanced global capacity for analysis of core media to generate data on new POPs have been successfully built. As three of the four intermediate states proposed in the reconstructed theory of change are already occurring impact of the project is likely in the medium term.

### **Factors Affecting Performance**

9. The project was considerably delayed for various reasons such as timeframe to deliver output too optimistic or because of change of project coordinator. However, this did not affect the project performance as all outputs (of good quality) were delivered within the planned budget.

### **Key Lessons Learned**

10. Some lessons that could be learned are:
  - During project design, while planning the timeframe for delivery of outputs that require institutional adoption or approval such as legislation, policies or guidance documents, one should take into consideration not only the time required but also the timeliness to deliver such output to avoid significant delays during implementation
  - In cases where funds are limited, instead of face to face meetings or workshops planning for other means of communication such as webinars might prove effective and contribute to significant cost savings.

# Tools and Methods Available

1

- General procedure for analysis of PFOS (En. Fr. Sp.)
- General procedure for analysis of PCB and OCP (En.Fr.Sp.)
- General Procedure for analysis of PBDE (En. Fr. Sp.)
- General procedure for the analysis of PFAS water (En. Fr. Sp.)
- General procedure for the analysis of dl-POPs (Fr. Sp.)
- Dioxins with HRMS method (Fr.)
- Standard Operating Procedure for passive air sampling (En. Sp.)
- Standard Operating Procedure for water sampling (En.)
- Standard Operating Procedure for national samples (En. Fr. Sp.)
- Standard Operating Procedure for the sampling of human Brest milk (En. Fr. Sp.)
- Standard Operating Procedure for active air sampling (En.)
- Video of standard operating procedure for the sampling of human Brest milk
- Video of the standard operating procedure for passive air sampling (En. Fr. Sp. Rs)
- Video of the standard operating procedure for active air sampling
- Video of PFC analysis

*<https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/persistent-organic-pollutants/guidance-and-standard>*

- To ensure that over time and between regions, the same basic approaches and quality criteria for acceptance of data and assessment of results are applied.
- Core partners: MTM, IVM, LATU, CSIC, CVUA, RECETOX

## SOPs

### List of tools and methods developed

## New SOPs and videos

- Guidance and video: procedure for air monitoring using active air samplers (HVS)
- Video: brief introduction to the guidelines for organization, sampling and analysis of the UNEP-coordinated survey of human milk for Persistent Organic Pollutants

Video of active air sampling

Video of human milk survey

[https://www.youtube.com/watch?v=7LwJ0x2\\_PXQ&feature=youtu.be](https://www.youtube.com/watch?v=7LwJ0x2_PXQ&feature=youtu.be)

## Annex 7: List of documents consulted

1. Project document
2. Project Cooperation Agreement between DGEF and Economy Division
3. Small Scale Funding Agreement with the University of Nairobi, Kenya
4. Small Scale Funding Agreement with the University of South Pacific, Fiji
5. Small Scale Funding Agreement with Mali
6. Small Scale Funding Agreement with Latu
7. Small Scale Funding Agreement with MTM
8. 2 Small Scale Funding Agreements with IVM
9. Small Scale Funding Agreement with the Spanish Research Council
10. Small Scale Funding Agreement with the key partners International Panel on Chemical Pollution
11. Small Scale Funding Agreements with Recetox
12. Progress report: July - December 2011
13. Progress report: January – June 2012
14. Progress report: July – December 2012
15. Progress report: Jan – June 2013
16. Progress report: June – December 2013
17. Expenditure report for GEF funds: July – Dec 2011
18. Expenditure report for GEF funds: Jan – June 2012
19. Expenditure report for GEF funds: July – Dec 2012
20. Expenditure report for GEF funds: Jan – June 2013
21. Expenditure report for GEF funds: July – Dec 2013
22. Expenditure report for GEF funds for 2014 - 2015
23. Expenditure report for GEF funds for 2015 - 2016
24. Accounts analysis as at 25 May 2018
25. Co-finance reports for 2012, 2013 and 2014
26. Technical report for IVM
27. Technical report for MTM
28. Technical report for Spanish Research Council
29. Country report of Kenya
30. Country report of Mali
31. Country report of Fiji
32. Country report of Uruguay
33. Report of the second international intercalibration study
34. First Global Monitoring report
35. Second Global Monitoring report
36. Updated guidance document for the global monitoring of POPs

## **Annex 8: Brief CV of consultant**

Dr. Nee Sun CHOONG KWET YIVE holds a PhD in Chemistry, obtained from Montpellier University, France. He is currently associate professor at the University of Mauritius where he is lecturing in Physical and Analytical Chemistry at both undergraduate and post graduate levels since more than 20 years.

Dr Choong Kwet Yive was a member (2006 – 2013) of the Toolkit Expert Working Group of the Stockholm Convention. And since 2007, he is a member of the Medical and Chemicals Technical Options Committee of the Montreal Protocol.

He has undertaken numerous consultancy assignments in the context of the Stockholm and Minamata Conventions in more than 30 countries for UN agencies (e.g. UNIDO, UN Environment and UNDP), and these include project development and project evaluation.

## Annex 9: Quality Assessment of the Evaluation Report

Evaluation Title:

**GEF Project ID 4412: “Establishing the Tools and Methods to Include the Nine New POPs into Global Monitoring Plan”**

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

	<b>UN Environment Evaluation Office Comments</b>	<b>Final Report Rating</b>
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p>Summary provides a suitable synthesis of the main findings and conclusions. It also includes ratings by criteria, lessons learned and recommendations</p>	5
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p>It is clear and captures most of the required aspects, but misses to mention the results framework to which the project contributes and the target audience of the findings – these are however covered under a different section</p>	5

	<b>UN Environment Evaluation Office Comments</b>	<b>Final Report Rating</b>
<p><b>II. Evaluation Methods</b></p> <p>This section should include a description of how the <i>TOC at Evaluation</i><sup>39</sup> was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/ quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of how data were verified (e.g. triangulation, review by stakeholders etc.).</p> <p>Methods to ensure that potentially excluded groups (excluded by gender, vulnerability or marginalisation) are reached and their experiences captured effectively, should be made explicit in this section.</p> <p>The methods used to analyse data (e.g. scoring; coding; thematic analysis etc.) should be described.</p> <p>It should also address evaluation limitations such as: low or imbalanced response rates across different groups; gaps in documentation; extent to which findings can be either generalised to wider evaluation questions or constraints on aggregation/disaggregation; any potential or apparent biases; language barriers and ways they were overcome.</p> <p>Ethics and human rights issues should be highlighted including: how anonymity and confidentiality were protected and strategies used to include the views of marginalised or potentially disadvantaged groups and/or divergent views.</p>	<p>Section describes data collection and analysis approaches and methods used. Sources of data are described. Ethics and human rights issues are not covered. Use of TOC in implementing the evaluation is mentioned briefly. Limitations are also described</p>	<p>5</p>
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context</i>: Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Objectives and components</i>: Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders</i>: Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners</i>: A description of the implementation structure with diagram and a list of key project partners</li> </ul>	<p>Context is clear and well defined. The objectives and components, stakeholders, implementation structure and partners are described satisfactorily. The project budget has been presented by component. Materialized co-financing is also provided</p>	<p>5</p>

<sup>39</sup> During the Inception Phase of the evaluation process a *TOC at Design* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions). During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

	UN Environment Evaluation Office Comments	Final Report Rating
<ul style="list-style-type: none"> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>		
<p><b>IV. Theory of Change</b></p> <p>The TOC at Evaluation should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow OECD/DAC definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revISED Prodoc logframe/TOC and b) as formulated in the TOC at Evaluation. <i>The two results hierarchies should be presented as a two column table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i></p>	TOC has been presented in both diagrammatic and narrative forms. It is further clarified using a comparative table that shows which aspects of the TOC have been reconstructed by the evaluator. Elements of the TOC are described in a narrative. Specific causal pathways depicted in the TOC diagram could have been better elaborated in the narrative	4.5
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to UN Environment's mandate and its alignment with UN Environment's policies and strategies at the time of project approval. An assessment of the complementarity of the project with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>v. Alignment to the UN Environment Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>vi. Alignment to UN Environment/ Donor/GEF Strategic Priorities</li> <li>vii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>viii. Complementarity with Existing Interventions</li> </ul>	All aspects of relevance required by the TOR have been covered satisfactorily	5
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	Very brief, requires introductory text to the purpose of the exercise and the method used for assessing the quality of the project design. The narrative about weaknesses/strengths could have been elaborated in greater detail	4



	UN Environment Evaluation Office Comments	Final Report Rating
<p><b>C. Nature of the External Context</b> For projects where this is appropriate, key <u>external</u> features of the project’s implementing context that limited the project’s performance (e.g. conflict, natural disaster, political upheaval), and how they affected performance, should be described.</p>	Satisfactory coverage. No noteworthy issues could be reported.	6
<p><b>D. Effectiveness</b></p> <p><b>(i) Outputs and Direct Outcomes:</b> How well does the report present a well-reasoned, complete and evidence-based assessment of the a) delivery of outputs, and b) achievement of direct outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>Output section is covered sufficiently, and discussed by component.</p> <p>Assessment of the ‘Outcomes’ tries to draw relevant linkages between outputs and outcomes achievement. Gender issues and vulnerable groups are however not discussed</p>	5
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact? How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed? Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	Suggested revisions have been effected satisfactorily. Rating given for likelihood of impact is consistent with findings. The analysis is also well described	5
<p><b>E. Financial Management</b> This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed ‘financial management’ table. Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff</li> </ul>	<p>Final report:</p> <p><i>This section is rated poorly as a result of limited financial information from the project, this is not a reflection on the consultant per se, but will affect the quality of the evaluation report</i></p> <p>Section provides a general view of financial management as being moderately satisfactory. Specifics on reporting, completeness of information and communication are presented. Not all the required tables (according to the TOR)</p>	4

	UN Environment Evaluation Office Comments	Final Report Rating
	are included in the report due to some missing financial information	
<p><b>F. Efficiency</b> To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UN Environment’s environmental footprint.</li> </ul>	All the required dimensions of efficiency have been discussed, with the exception of the environmental footprint.	5
<p><b>G. Monitoring and Reporting</b> How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor report</i>)</li> </ul>	All the required dimensions of efficiency have been discussed	5
<p><b>H. Sustainability</b> How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved direct outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	All the required dimensions of sustainability are covered to varying degrees. Suggested revisions have been effected satisfactorily. Consistent with the findings presented in the report	5
<p><b>I. Factors Affecting Performance</b> These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>40</sup></li> <li>• Stakeholder participation and co-operation</li> </ul>	All the required factors have been discussed to varying degrees. The coverage is sufficient and is for the most part consistent with the findings presented in the report.	5

<sup>40</sup> In some cases ‘project management and supervision’ will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

	UN Environment Evaluation Office Comments	Final Report Rating
<ul style="list-style-type: none"> <li>• Responsiveness to human rights and gender equity</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>		
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section.</p> <p>It is expected that the conclusions will highlight the main strengths and weaknesses of the project, and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>This section is satisfactory. It covers the main findings and discusses the answers to the key strategic questions prescribed in the TOR. The narrative is consistent with the findings presented in the report. Amendments noted in some of the ratings that were found to be inconsistent in the draft report</p>	5.5
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>All lessons are rooted in real project experiences. Some improvement noted in the formulation of lessons learned from the evaluation in the final report</p>	5
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UN Environment interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>All are rooted in real project experiences. They identify the proposed action and the appropriate acting agents.</p>	5
<p><b>VII. Report Structure and Presentation Quality</b></p>		
<p><b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>The draft is complete and follows EO guidelines.</p>	6
<p><b>ii) Quality of writing and formatting:</b></p> <p>Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report</p>	<p>The writing is clear and the language used is suitable. EO formatting guidelines have been followed satisfactorily</p>	6

	UN Environment Evaluation Office Comments	Final Report Rating
follow Evaluation Office formatting guidelines?		
<b>OVERALL REPORT QUALITY RATING</b>		<b>S</b>

A number rating 1-6 is used for each criterion: Highly Satisfactory = 6, Satisfactory = 5, Moderately Satisfactory = 4, Moderately Unsatisfactory = 3, Unsatisfactory = 2, Highly Unsatisfactory = 1. The overall quality of the evaluation report is calculated by taking the mean score of all rated quality criteria.