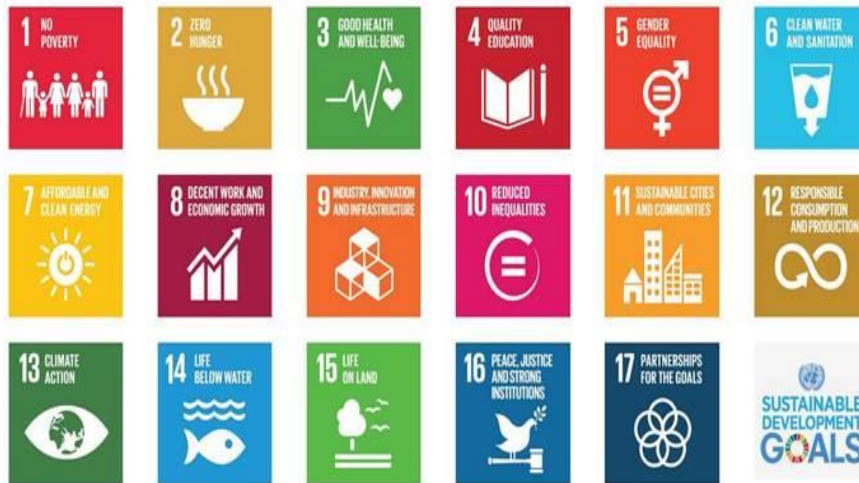

**Terminal Evaluation of the UNEP-GEF Project
“Establishment of efficient and effective data collection
and reporting procedures for evaluating the continued
need of DDT for disease vector control”**

GEF Project ID: 3349



Evaluation Office of UN Environment Programme

February 2020

Evaluation Office of UN Environment Programme

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Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control –

GEF Project ID: 3349

February 2020

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ABOUT THE EVALUATION¹

Joint Evaluation: No

Report Language(s): English

Evaluation Type: Terminal Project Evaluations

Brief Description: This report is a terminal evaluation of a UNEP-GEF project implemented between January 2011 and December 2014. The objective of the project was to protect human health and the environment by supporting the availability of data related to the use of DDT and its alternatives to enable proper evaluation of the continued need of DDT in malaria vector control.

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

Key words: Data collection, DDT reporting, disease vector control, AFRO region, Stockholm Convention, WHO.

¹ This data is used to aid the internet search of this report on the Evaluation Office of UNEP Website

Acronyms and Abbreviation

AFRO	African Regional Office of the WHO
DDT	3-5 Dichloro Diphenyl Trichloroethane
DSSA	Demonstrating and Scaling up of Sustainable Alternatives to DDT
EMRO	Eastern Mediterranean Regional Office of the WHO
FAO	Food and Agricultural Organization
GEF	Global Environment Facility
HQ	Head Quarters
IRS	Indoor residual spraying
IVM	Integrated Vector Management
LLIN	Long Lasting Insecticidal Nets
LOA	Letter of Agreement
M&E	Monitoring and Evaluation
MSP	Medium Size Project
NGO	Nongovernmental Organization
NMCP	National Malaria Control Programme
NPC	National Project Coordinator
PIR	Project Implementation Review
POP	Persistent Organic Pollutant
PSC	Project Steering Committee
RPC	Regional Project Coordinator
SAICM	Strategic Approach to International Management
SSC	Secretariat of the Stockholm Convention
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
UN	United Nations
UNEP	United Nations Environment Programme
WHO	World Health Organization

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Project Identification Table

Executing Agency:	World Health Organisation		
Sub-programme:	Harmful substances and hazardous waste (MTS 2010-2013) / Chemicals and Waste (MTS 2014-17)	Expected Accomplishment(s):	MTS 2010-13: EA(a) and EA(b) MTS 2014-17: EA(1) and EA(2)
UNEP approval date:	July 2008	Programme of Work Output(s) (PoW 2016-2017):	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.
GEF project ID:	3349	Project type:	Medium-Size Project
GEF Operational Programme #:	GEF IV	Focal Area(s):	Persistent Organic Pollutants
GEF approval date:	July 2009	GEF Strategic Priority:	Strategic Program 1 (Strengthening Capacities for NIP Development and Implementation) for the POPs focal Area under GEF 4.
Expected start date:	August 2009	Actual start date:	January 2011
Planned completion date:	December 2012	Actual completion date:	December 2014
Planned project budget at approval:	USD 1,447,540	Actual total expenditures reported as of 22.02.2017	USD 731,400
GEF grant allocation:	USD 761,400		
Expected Medium-Size Project co-financing:	USD 686,140 (in-kind)	Secured Medium-Size Project/Full-Size Project co-financing as of 16.01.2014:	USD 686,140
First disbursement:	22 January 2010	Date of financial closure:	27.06.2016
No. of revisions:	2	Date of last revision:	June 2015

No. of Steering Committee meetings:	4	Date of last/next Steering Committee meeting:	23 October 2013, Harare, Zimbabwe	Next:
Mid-term Review/ Evaluation (<i>planned date</i>):	-	Mid-term Review/ Evaluation (actual date):	30 June 2013 (by WHO)	
Terminal Evaluation (<i>planned date</i>):	End of project	Terminal Evaluation (actual date):	August 2019 – February 2020	
Coverage - Country(ies):	Eritrea, Ethiopia, Gambia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen and Zambia	Coverage - Region(s):	Global	
Dates of previous project phases:	30 th June 2013 MTR	Status of future project phases:	N/A	

Executive Summary

A. Introduction

[1]. The regional medium size project “*Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control*” funded by the Global Environment Facility (GEF) was implemented from January 2011 to December 2014 by the United Nations Environment Programme (UNEP) in Eritrea, Ethiopia, Gambia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen and Zambia. The overall execution was done by World Health Organization Head Quarters, and at national level the project was executed by the National Malaria Control Programme (or equivalent), Ministry of Health.

[2]. The objective of the project was to protect human health and the environment by supporting the availability of data related to the use of DDT and its alternatives to enable proper evaluation of the continued need of DDT in malaria vector control. The purpose of the terminal evaluation was to provide evidence of results to meet accountability requirements, and to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and main project partners.

B. Evaluation findings and conclusions

[3]. For this evaluation, no field visit was undertaken. The assessment was mainly based on an in-depth review of project documentation, skype (or telephone) interviews, and feedback gathered through an online survey targeting key stakeholders such as national counterparts and WHO Country Offices. Based on the findings of the review and the discussions held, a theory of change of the project’s “impact pathways” was proposed by the evaluation and the review of outcome to impacts was also done, which led to the following findings.

[4]. Relevance: The project is complementary to the UNEP Subprogramme - Harmful Substances and Hazardous Waste. It is consistent with the Chemicals Focal Area of the GEF, and in particular it met the objectives of the GEF operational program on POPs (OP#14) to provide incremental assistance to developing countries and countries with economies in transition to reduce and/or eliminate the release of Persistent Organic Pollutants (POPs) into the environment.

[5]. Efficiency: Due to insufficient human resources at WHO to operate and administer the project, and poor response and/or commitment of many countries initially, the start of the project was considerably delayed in the AFRO countries. Thanks to hard work and frequent communication with WHO Country Offices and national counterparts, the dedicated WHO AFRO regional project coordinator was able to put the project on the right track with the help of a hired consultant on DDT reporting. The implementation was built upon pre-existing institutions such as the National Malaria Control Programmes. In many countries, the materialization of co-funding resources made important contributions to implementation of project activities such

establishing inter-sectoral linkages on integrated vector management or pesticide management, strengthening training on spray operations, and strengthening capacity on insecticide resistance. In the end however, not all the outputs were satisfactorily delivered in all countries. However, the project was successful in building capacity for data collection and reporting in all countries to some extent.

[6]. Effectiveness - Availability of outputs, achievement of outcomes and likelihood of impact: Only three of the nine AFRO countries managed to successfully achieve all the five outcomes of the project. The other six countries achieved some of the five outcomes and partially achieved the others.. Despite these short comings, the project was quite successful as seven (which did not report before the project) of the nine countries reported on DDT to the Stockholm Convention Secretariat. Chances for impact of project is considered moderately likely. The intermediate states, proposed in the theory of change, and that need to happen for impact, are occurring to some extent. For example, none of the countries asked for exemption for DDT use according the DDT register of the Stockholm Convention.

[7]. Sustainability: Sustainability of project results is considered moderately likely. Ownership of the project was high in most of the participating countries. The project was built on existing institutions, and the authorities gave strong support to the project. On the other hand, some financial as well as institutional risks have been identified. In some countries, it appears that without external financial assistance, sustainability of results that have been achieved so far would be at risk. A few countries were still lacking the adequate capacity for systematic data collection, and others did not have the adequate vector control surveillance system in place.

[8]. Project implementation and management: The agreed implementation approach was adopted. UNEP was the GEF implementing agency and a task manager was nominated, who provided adequate overall project supervision and oversight through the monitoring and reporting of the project activities and progress reports. WHO was the executing agency, and a regional project coordinator was nominated from the WHO AFRO office to execute the project and was responsible for the day to day running of the project. Although the project started late, the dedicated regional project coordinator managed to get the project on the right track, and significant achievements were made in the end.

[9]. Stakeholders' participation: Although the response of countries was poor initially, participation and cooperation of key stakeholders was satisfactory. They were the ministries of health, environment and agriculture, National Malaria Control Programmes (NMCPs), academia as well as research institutions, and in some countries private sector and NGOs were also involved in the project. These stakeholders participated in all the project activities such as inception / consultative / stakeholder meetings, awareness raising / training workshops and technical meetings to develop or revise documents such guidelines or plans on IVM. In a few cases, an inter-sectoral mechanism was established as part of the strategy to implement the project and to improve linkages / communication between the ministries of health and environment. However, the difficult communication between these two ministries in one country

was reported as the main reason why that country did not report to the Secretariat of the Stockholm Convention (SSC).

[10]. Country ownership and driven-ness: Country ownership was high in most countries. The project benefitted from strong governmental support, and the key stakeholders participated actively in most of the project activities. They contributed to revise and / or develop guidance documents, data collection and reporting systems, and plans on IVM.

[11]. Financial planning and management: The financial information made available to the evaluation clearly indicated that GEF funds were effectively managed. At both the UNEP and WHO levels, the project managers / coordinators were applying the standard procedures of their respective agency for disbursements and expenditures.

[12]. Monitoring and reporting: The monitoring & evaluation plan proposed in the project document was used to monitor progress. The Project Steering Committee was established and all the planned meetings were held, but the reports of these meetings were not available. According to Project Implementation Review (PIR) reports, which were all available on the other hand, it was clear that the project results framework was used a basis for project implementation by the executing agency, and the SMART verifiable indicators therein were used to track progress. Reporting from countries were not regular, and in some cases the quality of the reports were poor. Most of the recommendations made by the midterm review, which was undertaken in 2013, were considered and actions taken.

[13]. The independent terminal evaluation was initiated four and a half years after the closure of the project. The reason given by the UNEP Evaluation Office is that there was insufficient staff capacity to initiate this evaluation, along with the evaluation of other DDT-related projects, any sooner.

Criterion	Rating
A. Strategic Relevance	HS
B. Quality of Project Design	MU
C. Nature of External Context	F
D. Effectiveness	MS
E. Financial Management	MS
F. Efficiency	MS
G. Monitoring and Reporting	MS
H. Sustainability	ML

I. Factors Affecting Performance²	MS
Overall Project Rating	MS

C. Lessons learned

[14]. **Lesson 1:** Strong information management skills at all levels of delivery and implementation of vector control strategies are vital for effective and efficient reporting procedures for evaluating the continued need for DDT for disease vector control.

[15]. **Lesson 2:** Establishing a formal collaboration among key stakeholders facilitates collection and reporting DDT data to SSC.

D. Recommendations

[16]. **Recommendation 1:** UNEP should review its guidance on the storage of key project documentation and ensure it is comprehensive and clear in terms of; which key documents must be kept, where they should be kept and who is responsible for their compilation and storage at the end of a project.

[17]. **Recommendation 2:** For future evaluations, it is recommended that implementing agencies should plan, where evaluation budgets are made available by the project and Evaluation Office staff resources allow, terminal evaluations according to the timeframe planned in the project documents.

[18]. **Recommendation 3:** The results and outcomes of this project should be considered by countries embarking on follow up initiatives during the implementation of these more current initiatives to ensure sustainability and also avoid duplication of efforts.

² 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.

I. Introduction

1. The terminal evaluation of the Medium-Size Project (MSP) *“Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control”*, carried out on behalf of UNEP, covered the implementation period from January 2011 to December 2014. Core funding for an amount of \$ 761,400 was granted by Global Environment Facility (GEF), and secured co-financing for a total amount \$ 686,140 (in-kind) was obtained from World Health Organization (WHO) and national governments. Originally planned for three years, the project was completed in four years. The project was implemented in fourteen countries: Eritrea, Ethiopia, Gambia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen and Zambia. The implementing agency was UNEP, Chemicals Branch, the WHO Global Headquarters in Geneva was the Executing Agency (EA), and the WHO Regional Office for Africa (WHO AFRO) served as a Delegated Executing Agency. At national level, the WHO country offices were required to conduct the day-to-day project coordination tasks in close collaboration with relevant national stakeholders.

2. As indicated in the Project Identification Table above, this project is aligned to Outputs 3 and 4 of UNEP’s Programme of Work (2016-17) and to Strategic Program 1 (Strengthening Capacities for NIP Development and Implementation) for the POPs focal Area under GEF 4.

3. A Mid-Term Review was carried out in 2013, in accordance with GEF requirements. In line with the UNEP Evaluation Policy³ and the UNEP Programme Manual⁴, the terminal evaluation was 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 had two main objectives: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and main project partners. The evaluation identified lessons of operational relevance for future project formulation and implementation.

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

- i) To what level of success did the project deliver - through improved data collection, reporting, and communication - increased availability of comprehensive and representative data sets for rational decision-making on the continued need for DDT

³ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁴ [UNEP Programme Manual May 2013](#). *This manual is under revision.*

- for disease vector control (a) for national malaria control programmes; and (b) for global evaluations?
- ii) To what level of success has information sharing through cross-sectoral alliances (in country) and collaboration between governments in the participating countries been realized as a result of this project?
 - iii) Regarding use of the reporting procedures and guidelines developed by the project, where uptake has been observed by the evaluation to be suboptimal, (a) what have been the main contributing factors? and (b) what is recommended to foster higher levels of ownership and use in future?

II. Evaluation methods

5. The project design did not include a theory of change (TOC) as it was not a requirement at that time. However, based on the information contained in the project document, the evaluation reconstructed the TOC (see section IV). This TOC at evaluation was discussed with the UNEP evaluation office, the UNEP task manager and WHO. Their comments and feedback were considered to improve the TOC (see Figure 2 Section IV).

6. No field mission was undertaken as per the TOR of this terminal evaluation. Instead information was gathered through Skype interviews, questionnaire and through an online survey (Annex II) that was developed by the evaluation team. A list provided by the UNEP evaluation office was used to contact the key stakeholders. Only the previous UNEP task manager was interviewed by Skype. The previous WHO AFRO coordinator, who was contacted, preferred to answer a questionnaire⁵ developed by the evaluation team rather than having a telephone or Skype interview. For the online survey, only 2 of the 7 countries contacted responded⁶. However, none of the two countries answered any questions of the survey pertaining to project execution, they only gave their contact details and involvement in the project. For one representative, who was not involved in the project, it is understood why he could not provide any information on project implementation. For the representative of the other country, however, despite being involved in the project, did not provide any information. Two of the seven WHO country offices responded positively to the online survey, and one WHO country office returned the duly completed questionnaire sent to him by email. As can be seen, while some information was obtained from the implementing and executive agencies, no information could be obtained from national counterparts, which was a serious limitation of this TE. According to information available, this is largely due to retirement or movement of personnel since the end of the projects. It is thus highly advised that, where evaluation budgets are made available by the project and UNEP Evaluation Office staff are available, terminal evaluations should take place according to the timeframe recommended by the GEF.

⁵ See Annex II for a copy of questionnaire

⁶ See Annex I for list of countries that responded to the online survey

7. Another limitation was the incomplete set of documentation submitted to the evaluation team despite several requests made to the project team. The missing documentation include: all country progress and annual reports, co-financing reports, all project steering committee reports, two of the four PIR reports, contracts with countries, documentation and information regarding implementation in Morocco and Yemen, workshop reports, and guidance document for DDT reporting, and assessment reports mentioned in the midterm review report. While it is recognized that this TE was delayed one would expect this kind of documentation to have been institutionalized at the end of the project and therefore be available to the evaluation. A list of persons interviewed and those who responded to the online survey / questionnaire sent by email is given in Annex I, and the list of documentation consulted is found in AnnexIII.

8. To verify factual errors and interpretation of key findings, a presentation of the main evaluation findings, conclusions and recommendations was made to the UNEP evaluation office, UNEP task manager, and WHO through a Skype conference on 5 December 2019. The comments and suggestions made during this conference were taken into consideration in this report.

III. The Project

A. Context

9. Malaria is considered as a major public health problem and an obstacle to socio-economic development in endemic countries. Indoor Residual house Spraying (IRS) is one effective way of obtaining large-scale benefits at an affordable cost while reducing malaria transmission and the prevention of epidemics.

10. DDT (Dichloro-diphenyl-trichloroethane) is one of the twelve (12) insecticides recommended by the World Health Organization (WHO) for use in IRS and has been in use in several countries around the world. Countries need DDT for insecticide resistance management, particularly now that resistance against synthetic pyrethroids - the most affordable insecticide next to DDT – has become widespread.

11. The Stockholm Convention is a global treaty that aims to protect the environment and human health from Persistent Organic Pollutants (POPs). DDT happens to be one of the twelve (12) POPs listed in the Stockholm Convention which only accepts its use for disease vector control purposes in accordance with related WHO recommendations and guidelines. Like other POPs, DDT poses significant global risks because it is toxic, bio-accumulates in the food chain, and is susceptible to long-range environmental transport (via air and water). DDT is also classified as 'probably carcinogenic' to humans (class 2A according to IARC-WHO) and strong evidence shows that DDT can suppress the immune system and disrupt sex hormones. Its

stability, persistence and widespread use have meant that DDT residues can be found everywhere, even in the Arctic, Antarctic, open oceans and high mountain areas. Among the most affected animals are birds, because DDT causes eggshell thinning. Moreover, DDT is acutely toxic to fish and marine invertebrates⁷.

12. There is urgent need to monitor DDT production and use, and to establish its continued necessity in disease vector control. Paragraph 4, Part II, Annex B of the Stockholm Convention on Persistent Organic Pollutants states that “every three years, each Party that uses DDT shall provide to the Secretariat and the World Health Organization information on the amount used, the conditions of such use and its relevance to that Party’s disease management strategy, in a format to be decided by the Conference of Parties (COP) in consultation with the World Health Organization (WHO)”. Paragraph 6, Part II, Annex B requires that “the Conference of the Parties shall, in consultation with the WHO, evaluate the continued need for DDT for disease vector control on the basis of available scientific, technical, environmental and economic information”.

13. Subsequently, the COP adopted a questionnaire which was to be completed every three years by all Parties that produce, use, export, import or maintain stocks of DDT. The completed questionnaires would assist the DDT Expert Group (which meets every 2 years) in its global assessments to make informed and timely recommendations to the COP regarding the continued need for DDT in disease vector control. The COP also requested the Convention Secretariat, in collaboration with WHO, to undertake activities for strengthening the capacity of Parties to evaluate DDT use and implement alternative strategies to replace it. The GEF is the principal financial mechanism of the Stockholm Convention, to which capacity building and efforts to reduce the need for DDT are priority areas for funding.

14. Although proper reporting and data collection is crucial for the decision on whether to use DDT in a certain situation or not, data collection was found to be insufficient at the time of the project design. Fourteen (14) countries⁸ in the Africa and Eastern Mediterranean regions were selected based on: known (or intended) DDT use for health purposes; poor reporting procedures and infrastructure; and their endorsement of participation in the exercise. All proposed project countries have ratified the Stockholm Convention.

15. This project (hereafter also referred to as “Global DDT Reporting Project”) aimed at providing supporting activities that build and strengthen data collection and reporting capacity at national and regional level. It was also intended to complement ongoing initiatives⁹ in

⁷<https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/persistent-organic-pollutants/alternatives-ddt>

⁸ Eritrea, Ethiopia, Gambia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen and Zambia.

⁹ Regional projects are situated in Mexico & Central America, Africa, North Africa & Middle East, South East Asia & Pacific, Caucasus and Central Asia

demonstrating DDT alternatives, by leveraging the data on DDT application and related issues (like resistance monitoring) and supporting national institutions in fulfilling their reporting requirements to the Stockholm Convention Secretariat.

B. Results framework

16. The development objective or project goal of this project was to protect human health and the environment by supporting the availability of data related to the use of DDT and its alternatives to enable proper evaluation of the continued need of DDT in malaria vector control. The project's immediate objective was: *to develop the capacity of the selected Parties to enable the provision of complete information on the production and use of DDT for disease vector control.* The five substantive project components / outcomes, and the corresponding outputs as indicated in the formal project document are given below.

17. **Component 1:** Identification and strengthening through the development of institutional infrastructure of a central institution responsible for proper registration and regular reporting of data related to import/export/local formulation of DDT, the local application, areas of application, details of the field campaigns, impacts, etc.

- **Expected Outcome:** Central institutions in project countries identified and strengthened
- **Expected Output:** Identified central institutions in project countries strengthened and able to report DDT use, production etc. in an adequate way.

18. **Component 2:** Training of spray team leaders and regional support teams on field data collection and reporting (Regional cascade training to develop critical mass)

- **Expected Outcome:** Capacity of spray team leaders and regional support teams on field data collection and reporting built
- **Expected Output:** Spray team leaders and regional support teams trained on field data collection and reporting.

19. **Component 3:** Training institutionalized as routine in-service training within national vector control programs.

- **Expected Outcome:** Routine in service training within national vector control programmes institutionalized.
- **Expected Output:** Institutionalized training as routine in service training within national vector control programs.

20. **Component 4:** Countries enabled to monitor resistance of vectors to chemicals in an adequate way

- **Expected Outcome:** Capacities of countries to monitor resistance of vectors of chemicals in an adequate way built.

- **Expected Output:** Country monitoring infrastructure developed and operational in each project country.

21. **Component 5:** Establishment of cross-sectoral alliances and implementation of guidelines for data collection and sharing between relevant government and non-government agencies.

- **Expected Outcome:** Cross sectoral alliances established and guidelines implemented.
- **Expected Output:** Cross sectoral alliances created and guidelines collection and sharing drafted

C. Stakeholders

22. Three key stakeholders were mentioned in the project document. WHO, the executing agency, and UNEP, the implementing agency were two of the three stakeholders reported in the document. Their roles and responsibilities were properly described in different sections of the project document¹⁰. The third key stakeholders mentioned were the national authorities, mainly key ministries such as health and environment. It is reported in the project document that during the preparatory phase discussions were conducted in each country with individuals involved in national malaria control programmes and those involved in the National Implementation Plans (NIPs)¹¹. The project document also mentions that local in-country collaborators would have to be identified in all project countries and they would serve as a critical link to the local habits of DDT use, production etc. and the operational context. These collaborators would be actively involved in the efforts designed to strengthen the institutional capacity in each country. As such, their knowledge of local stakeholders would be invaluable. Ultimately, the in-country collaborators would serve as the local advocates for the adoption and use of improved data collection and reporting procedures.

D. Project implementation structure and partners

23. UNEP was the Implementing Agency responsible for overall project supervision to ensure consistency with GEF and UNEP policies and procedures. WHO Global Headquarters in Geneva was the Executing Agency mandated with coordinating the execution of the project at the global level.

24. WHO AFRO served as a Delegated Executing Agency to provide critical coordinating functions for the project. To ensure that all partners worked together in close coordination, the WHO AFRO was given the lead role in project coordination and management. WHO AFRO also assisted with regional trainings and in providing a platform for future extensions of the proposed activities to additional countries.

¹⁰ See Section 6: Monitoring and evaluation plan and Appendices 7 and 8

¹¹ NIP on Persistent Organic Pollutants

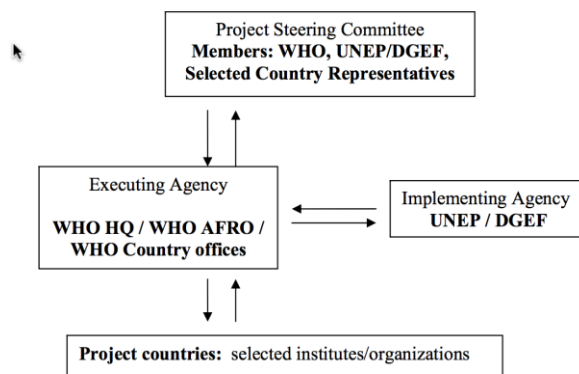
25. A Project Manager, assisted by administrative and financial staff, was responsible for overseeing project implementation and mainstreaming project activities with WHO. The WHO regional offices in Brazzaville (with regards to WHO project activities in the AFRO Region) and in Cairo (with regards to WHO project activities in the Eastern Mediterranean Region) provided technical support and coordination to the project, as well as functioned as the linkage between the project and the participating countries.

26. All project countries had a WHO country office which was required to conduct the day-to-day project coordination tasks in close collaboration with relevant national stakeholders. Local in-country collaborators were identified in all project countries to serve as a link to the local DDT use, production etc., and the operational context based on their knowledge of local stakeholders. They also served as the local advocates for the adoption and use of improved data collection and reporting procedures.

27. A Steering Group, composed of WHO AFRO, UNEP, and representatives from the fourteen in-country collaborating institutions, was established to oversee monitoring and evaluation efforts and ensure that the project was achieving its desired results.

28. Figure 1 below illustrates the Global DDT Reporting Project's organizational arrangements.

Figure 1: Project organizational chart (Source: Project document)



E. Changes in design during implementation

29. The project was designed to be implemented in 14 countries: two (Morocco and Yemen) from the WHO Eastern Mediterranean Region (WHO EMRO) and twelve (Gambia, Eritrea, Ethiopia, Madagascar, Mauritius, Mozambique, Namibia, Senegal, South Africa, Swaziland,

Uganda and Zambia) from the WHO African Region (WHO AFRO). Implementation was ahead in Morocco and Yemen as they greatly benefitted from the MENA project¹² in which they were participating. Project activities were completed during the period 2012 – 2013. The AFRO countries were lagging behind. Eritrea exited the project due to their intention to notify the Secretariat of the Stockholm Convention (SSC) to be removed from the DDT register. Since, Swaziland and Uganda did not submit their plan of actions on time, they were left out. In the end, therefore, project activities were implemented in only nine of the twelve countries of the WHO AFRO region.

F. Project financing

30. The project funding for the GEF grant is given in Table 1 below, which also reports expenditure per component as well as for project management. For co-funding, the total pledged at design, which was US\$686,140, totally materialized during the implementation phase.

Table 1: Budget at design and expenditure by component

Component	GEF (\$)	Co-funding (\$)	Total (\$)
Component 1: Identification and strengthening through the development of institutional infrastructure of a central institution responsible for proper registration and regular reporting of data related to import/export/local formulation of DDT, the local application, areas of application, details of the field campaigns, impacts, etc.	250,000	250,000	500,000
Component 2: Training of spray team leaders and regional support teams on field data collection and reporting (Regional cascade training to develop critical mass for Parties).	150,000	50,000	200,000
Component 3: Follow up activities to institutionalize training activity as routine in-service training within national vector control programmes	30,000	20,000	50,000
Component 4: Training in resistance monitoring activities and establishing/ strengthening vector resistance monitoring infrastructure in 12 countries	200,000	200,000	400,000
Component 5: Establishment of cross-sectoral alliances and implementation of guidelines for data collection and sharing between relevant government and non-government agencies	.45,260	80,000	122,260
Project Management	86,140	86,140	152,280

¹² Morocco and Yemen were participating countries in the MENA project - Demonstration of Sustainable Alternatives to DDT and Strengthening of National Vector Control Capabilities In Middle East and North Africa (GEF Project ID: 2546) – which was implemented from 2009 to 2015.

Component	GEF (\$)	Co-funding (\$)	Total (\$)
Total	761,400	686,140	1,447,540

IV. Theory of Change at Evaluation

Reconstructed Theory of Change at Evaluation

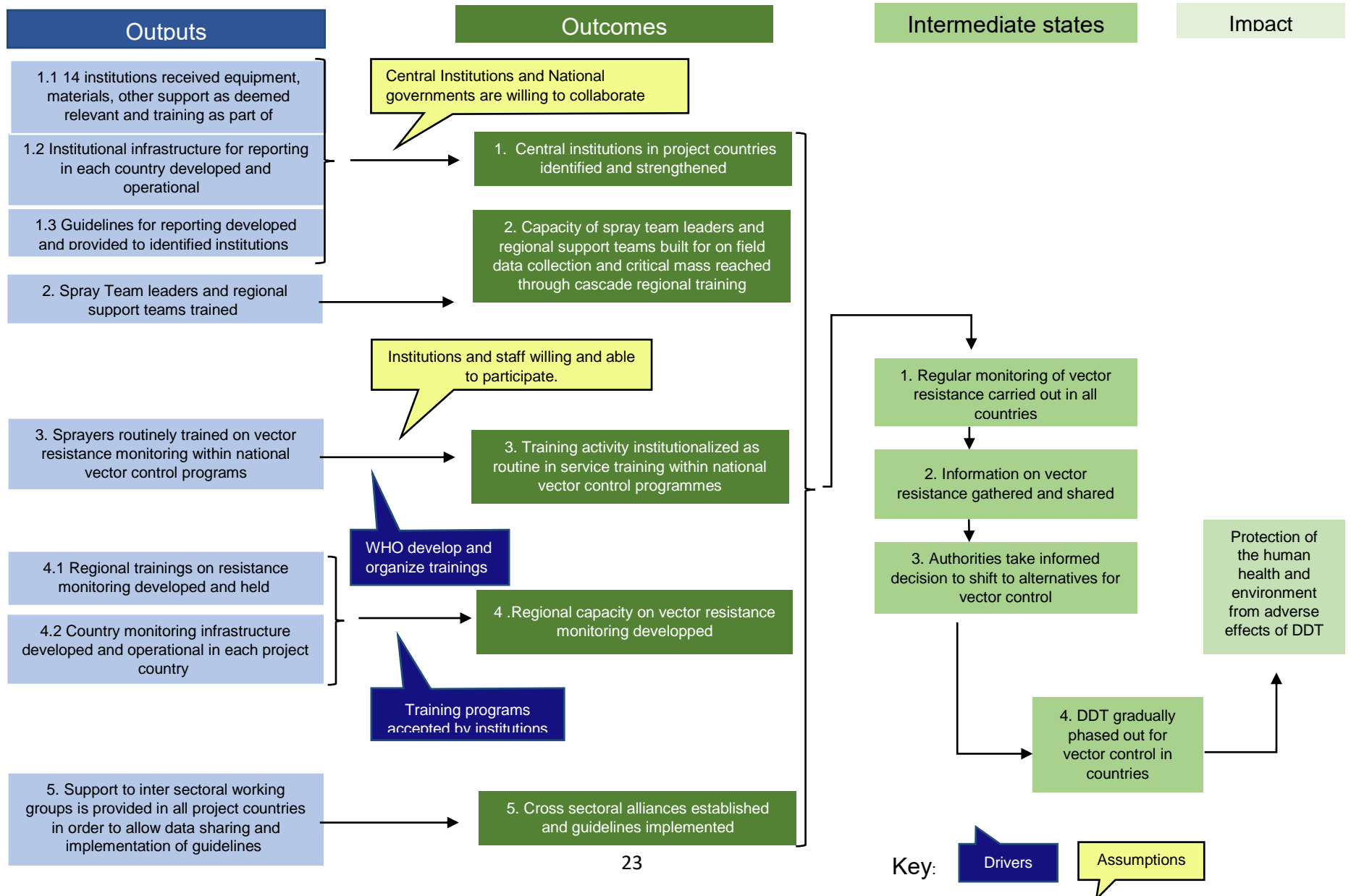
31. The TOC was not given in the project document as it was not a requirement under GEF4. The causal pathways from project outputs through outcomes towards impacts were not clearly and convincingly described in the project document. The intervention logic was described quite briefly in the text and the project results framework given as Annex B did not properly capture the changes that needed to happen for impact. Nevertheless, a reconstructed TOC at implementation was proposed (Figure 2) by the evaluation team. The TOC was shared with UNEP and WHO, but no comment was received.

32. The outputs and outcomes as well as impact mentioned in the reconstructed TOC (Figure 2) are those mentioned in the project results framework of the project document. The necessary preconditions are that the outputs need to be successfully delivered to contribute to the planned outcomes. In order for impact to occur, the evaluation has identified four intermediate states that need to occur at national level in all the participating countries. Having received proper training, it is anticipated that countries undertake regular monitoring of vector resistance (intermediate state 1). These would generate very valuable information that would be shared amongst stakeholders both at national and regional level (intermediate state 2). This information would allow national authorities to take informed decisions to shift to safe alternatives for vector control (intermediate state 3). In doing so, they would gradually move away from DDT (intermediate state 4), and at the same time fulfill their obligations towards the Stockholm Convention.

33. Two important key assumptions, mentioned in the project result framework, have been identified for the TOC to operate. These are: 1. Central institutions and National governments are willing to collaborate, and 2. Institutions and staff are willing and able to participate (Figure 2). Two important drivers¹³ have also been identified and they are related to the organization of training by WHO and willingness of institutions to accept training program

¹³ The drivers are in fact assumptions proposed in the project results framework of the project document

Figure 2: Reconstructed Theory of Change



V. Evaluation Findings

34. As mentioned previously (see Section III.E), two countries (Morocco and Yemen) of the 14 countries completed the project activities in 2012 – 2013 thanks to the significant contribution of the MENA¹⁴ project. Three countries (Eritrea, Swaziland and Uganda) of the WHO AFRO region left the project. The implementation was therefore done in only nine AFRO countries. All the documentation submitted to the evaluation team pertained to implementation in the nine AFRO countries and no information was available regarding implementation in the two EMRO countries. In this context, the assessment has been done for the nine AFRO countries only.

A. Strategic Relevance

35. This project, of which the objective was to develop the capacity within the participating countries to enable the provision of complete information on the production and use of DDT for disease vector control, was highly relevant as a study¹⁵ undertaken by WHO revealed the following gaps in many of the countries: lack of, or inadequate, insectaries and associated capacities for entomological evaluations; ineffective capacities for spray team supervision; inadequate capacities for stock management of DDT and other pesticides; weak capacity for data management and weak inter-sectoral collaboration. In building their capacities, the project was also assisting the countries in their reporting obligations to the Stockholm Convention to which they are parties.

36. The project is in line with the UNEP sub-programme - Harmful Substances and Hazardous Waste. In particular, it was complementary to five GEF-funded DDT projects that were being implemented or developed by UNEP in the Middle East and North Africa, Mexico and Central America, Sub-Sahara Africa, and Southeast Asia and the Pacific, and Central Asia. These projects were part of a global programmatic approach aiming at promoting sustainable alternatives for DDT use in vector control.

37. This project is consistent with the Chemicals Focal Area of the GEF, and in particular it met the objectives of the GEF operational program on POPs (OP#14) to provide incremental assistance to developing countries and countries with economies in transition to reduce and/or eliminate the release of POPs into the environment. This project was expected to contribute to the implementation of the GEF Strategic Priority POP-4: Promote partnering in demonstration of innovative technologies and practices for POPs reduction.

38. The rating on Relevance is **Highly Satisfactory**.

¹⁴ See footnote 11

¹⁵ Requested by the COP in its decision SC-1/25 section 8 (c)

B. Quality of Project Design

39. The quality of the project design is based on the completed assessment¹⁶ done for the inception report. This assessment is restricted to information given in the project document and the main **Strengths** identified include:

- Highly relevant global project aiming to build countries' capacities for reporting requirements in the context of the Stockholm Convention.
- Comprehensive problem and situation analysis.
- Adequate stakeholder analysis and mapping undertaken.
- Sustainability and replication strategies proposed.

40. Some identified **Weaknesses** of the project design are:

- No stakeholder consultation during project design process.
- The midterm review reported the following weakness on proper timing of some activities¹⁷: Training activities on data collection and reporting (Outcome 2) and institutionalization of training (Outcome 3) to be conducted in the first part of the Project. Training content (guidance, curriculum) should be available for use from the onset of the Project. However, this is not the case. The development of such training documents is planned during the same period as the execution of activities for Outcomes 2 and 3.
- TOC not easy to reconstruct as the causal pathways from project outputs through outcomes towards impact not clearly and convincingly described in the project document. The logical framework does outline the outputs and activities, but an explanation on each activity, its function and relation to other activities, is missing. Also, activities too vaguely described. For example, for Component 1, not clear what type of equipment the institutions would be provided with. Similarly, for Component 3, not clear on what type of information the participants would be trained to collect.
- No indicators provided for objectives, outputs and outcomes.
- Timing and frequencies of Steering Group meetings not mentioned.
- Given the high number of countries, funds clearly insufficient.

41. Given the weaknesses identified, the rating on quality of project design is **Moderately Unsatisfactory**.

C. Nature of external context

¹⁶ Annex C of the Inception report for this terminal evaluation. It is an Excel sheet rating the different aspects of project design

¹⁷ Mid-Term Review report of the Project. Henk van den Berg. WHO consultant. 30 June 2013

42. Conflict, natural disaster and change of government were not identified as factors that could have likely happened and that would have affected project performance. This proved to be correct as no such external factors occurred during the implementation phase in all the participating countries.

43. Rating for nature of external context is **Favourable**.

D. Effectiveness

i. *Availability of outputs*

44. The project included 18 activities that were designed to deliver six outputs that would contribute to six outcomes. Table 2 below provides a tabulated summary of assessment and ratings for five of the six outputs that contributed to five substantive project outcomes. The sixth output was related to project management, and monitoring and evaluation activities.

45. The project performed at the 'moderately satisfactory' level in terms of achievement of outputs. Indeed, delivery for four of the five outputs (Table 2) is rated **Moderately Satisfactory (MS)** and the last one is given **Moderately Unsatisfactory (MU)**¹⁸ rating. These ratings correspond to an average rating between **Moderately Satisfactory** and **Moderately Unsatisfactory**¹⁹.

46. Delivery for **Output 1** has been **Moderately Satisfactory**. Central institutions have been identified in the nine AFRO countries²⁰. Workshops and consensus building meetings took place in a number of countries to strengthen the role of the central institutions documenting and reporting the use of DDT. Countries also conducted consultative meetings of stakeholders and revised and/updated insecticide application documentation and reporting tools with a special emphasis on DDT. Eight of the nine central institutions were provided with materials and other essential support to strengthen their capacities. However, the evaluation has no idea what type of materials and type of support were provided by the project as documentation (e.g. country reports) relative to these activities were not available. Only eight of the nine countries provided commitment letters, and seven out of the nine reported on DDT to the SSC²¹. The delivery of **Output 1** is therefore rated as **Moderately Satisfactory**.

¹⁸ HS: highly satisfactory, S: satisfactory, MS: moderately satisfactory, MU: moderately unsatisfactory, U: unsatisfactory, HU: highly unsatisfactory

¹⁹ HS = 5; S = 4; MS = 3; MU = 2; U = 1 and HU = 0; $4MS + MU = 4 \times 3 + 1 \times 2 = 14$; average rating for 5 outputs = $14/5 = 2.8$; $MS > 2.8 > MU$

²⁰ Ethiopia, Gambia, Madagascar, Mauritius, Mozambique, Namibia, Senegal, South Africa and Zambia

²¹ Information gathered from the Stockholm Convention Website

47. All activities for **Output 2** have been undertaken. However, not all of these have been satisfactorily completed. For instance, only one training instead of two has been developed and undertaken. However, the target of 360 trained participants has been well exceeded. In three countries only (Ethiopia, Gambia and Mozambique) 691 persons have been trained. Figures for the other countries were not available for this evaluation exercise. Generally, all countries with ongoing IRS routinely conduct training on data documentation and report from the field of implementation. The project contributed in this process by supporting a number of trainings in 8 of the 9 countries. Madagascar did not conduct any training. Given the shortcoming on the number of trainings developed, delivery for **Output 2** is rated **Moderately Satisfactory**.

48. Achievement of **Output 3** on '*Training institutionalized as routine in-service training within national vector control programs*' is rated as **Moderately Satisfactory**. This rating is fully justified as all activities were not completed in all the nine AFRO countries. While training materials and programs were produced in all nine participating countries, on the other hand, training curricula were adapted in only 8 of the 9 countries. As IRS was being implemented by a partner in an independent manner in Senegal, training was not institutionalized. The evaluation is of the view that the project in Senegal should have contracted this partner and collaborated with them, involving key national counterparts to institutionalize this training, which is key for long term sustainability of the project results.

49. Delivery of **Output 4** is also rated **Moderately Satisfactory**. Regional/provincial trainings on resistance monitoring were satisfactorily undertaken in all the countries. Only 8 countries developed an insecticide resistance (IR) monitoring action plan and trained staff to conduct monitoring that contributed to the countries' effort to implement the Global Plan for Insecticide Resistance Management²².

50. **Output 5** was the least achieved and is rated **Moderately Unsatisfactory**. All the countries identified stakeholders for sectoral alliances. The midterm review²³ reported weak communication on DDT between the health and environmental ministries in many countries during the first phase of the project. Although the final report mentioned a closer collaboration between these two ministries, due to unavailability of further documentation from country reports it is not known whether these collaborations were very effective and contributed to better reporting to SSC. The former WHO project coordinator, however, mentioned that some countries did not perform well generally due to the weak coordination between these two ministries. The final report as well as the Project Implementation Review (PIR) report state that

²² The *Global plan for insecticide resistance management in malaria vectors* (or GPIRM) is a call to action. Through this document (ISBN: 978 92 4 156447 2), WHO and the Roll Back Malaria Partnership call on governments of malaria-endemic countries, donor organizations, UN agencies, as well as research and industry partners, to implement a five-pillar strategy to tackle the growing threat of insecticide resistance and to facilitate the development of innovative vector control tools and strategies.

²³ See footnote 16

intersectoral working groups were set up in all countries and meetings were held. However, as minutes of those meetings were missing and responses from national counterparts could not be obtained, it is not known what conclusions were reached during these meetings. For the guidelines, there are indications that they have been implemented to some extent as 7 of the 9 countries reported to SSC (see paragraph on **Output 1**). However, no documentation is available to confirm this.

Table 2: Assessment and rating of outputs for the Project

	Outputs	Comments	Rating*
	Output 1: Identified central institutions in project countries strengthened and able to report DDT use, production etc. in an adequate way	<ul style="list-style-type: none"> ➤ 9 central institutions identified in the nine AFRO countries²⁴ ➤ 18 (2 per country) awareness raising, happenings, workshops, meetings conducted ➤ 8 out 9 countries provided commitment letters ➤ 9 lists with provided means of strengthening to each selected Central Institution ➤ Guidelines for reporting available in all countries ➤ 7 of the 9 countries reported on DDT²⁵ 	MS
	Output 2: Spray Team leaders and regional support teams trained	<ul style="list-style-type: none"> ➤ 1 (instead of 2) training developed ➤ Trainings held in 8 of 9 project countries ➤ Number of trained persons exceeded the 390 planned at design 	MS
	Output 3: Training institutionalized as routine in-service training within national vector control programs	<ul style="list-style-type: none"> ➤ Training materials & programs produced in all 9 countries ➤ Training curricula adapted in 8 of 9 countries. As IRS being implemented by a partner in an independent manner in Senegal, training not institutionalized 	MS
	Output 4: Countries able to monitor chemicals resistance of vector in an adequate way	<ul style="list-style-type: none"> ➤ 9 regional/provincial training on resistance monitoring held ➤ 9 regional training on resistance monitoring held ➤ 8 countries, except Madagascar, developed Insecticide Resistance monitoring action plan, training of staff, and conducting IR monitoring contributing to the ongoing countries' effort to implement the Global Plan for Insecticide Resistance Management 	MS
	Output 5: Cross sectoral alliances established and guidelines implemented	<ul style="list-style-type: none"> ➤ All countries identified stakeholders and held intersectoral working groups ➤ Data not shared in many of the participating countries ➤ No information whether guidelines have been implemented in countries 	MU

*HS: highly satisfactory, S: satisfactory, MS: moderately satisfactory, MU: moderately unsatisfactory, U: unsatisfactory, HU: highly unsatisfactory

ii. ***Achievement of project outcomes***

51. As indicators were not proposed for the outcomes in the project logical framework, the assessment was based on the table of status of achievements of project implementation towards the five outcomes given in the final narrative report of the project and in the final PIR report. This table reported the status of each outcome for all countries as '*existed at baseline*'

²⁴ See footnote 19

²⁵ See footnote 20

'achieved', 'partially achieved' and 'not achieved'. Unfortunately, this measure of achievement has limited interpretive value because the scale and quality of implementation, and reasons explaining the outcomes, remain unknown. As this table was the only source of information, the data it contained was nevertheless used to assess the achievement of project outcomes. Table 3 summarizes this assessment and it also contains some information regarding the achievement of outputs and activities for the outcome to justify the rating given for each outcome.

52. The rating given to each outcome was mainly based on the achievement of this outcome by the nine countries. For **Outcome 1** for example, this outcome existed at baseline in two countries, it was achieved in four countries and partially achieved in three countries (Table 3): only six countries out of nine were successful. But as there is information that seven countries reported to SSC, a **Moderately Satisfactory** rating was awarded to **Outcome 1**. **Outcomes 2, 3 and 4** were also rated **Moderately Satisfactory** given that one country did not achieve the outcome and seven achieved it. Having obtained **Moderately Unsatisfactory**, **Outcome 5** was the worst rated outcome. This is fully justified as five countries partially achieved it, one did not achieve, and only three countries achieved it (or existed at baseline).

53. In view of the ratings of the different outcomes and as seven out of nine countries have reported to SSC indicative that capacity has been built to some extent in most of the countries, achievement of project outcomes is rated **Moderately Satisfactory**.

Table 3: Assessment of achievement of project outcomes.

Outcome	Comments	Rating*
1. Identified central institutions in project countries strengthened and able to report DDT use, production etc. in an adequate way	<ul style="list-style-type: none"> • Outcome existed at baseline in 2 countries, achieved in 4, and partially achieved in 3 • 7 out of 9 countries reported on DDT to SSC 	MS
2. Spray Team leaders and regional support teams trained	<ul style="list-style-type: none"> • 7 countries achieved outcome, 1 partially achieved and 1 did not achieve • Target value of 360 persons trained exceeded 	MS
3. Training institutionalized as routine in service training within national vector control programs	<ul style="list-style-type: none"> • Outcome existed at baseline in 8 countries. Not achieved in 1 country • Training materials & programs produced in all 9 countries • Training curricula adapted in 8 countries, not in Senegal 	MS
4. Countries able to monitor chemicals resistance of vector in an adequate way	<ul style="list-style-type: none"> • Outcome achieved in 8 countries, not achieved in last one • 9 regional training on resistance monitoring held • 7 countries developed and made monitoring infrastructures available 	MS

Outcome	Comments	Rating*
	<ul style="list-style-type: none"> 8 countries, except Madagascar, developed insecticide resistance monitoring action plan, training of staff, and conducting IR monitoring contributing to the ongoing countries' effort to implement the Global Plan for Insecticide Resistance Management (GPIRM) 	
5. Cross sectoral alliances established and guidelines implemented	<ul style="list-style-type: none"> Outcome existed at baseline in 2 countries, achieved in 1, partially achieved in 5, and not achieved in 1. No information available on status of implementation of guidelines 5 Countries organized inter-sectoral meetings and/ sensitization workshops, about collaboration in documentation, information sharing reporting of DDT use; but these did not result in memorandum of understandings (MoUs) 	MU

*HS: highly satisfactory; S: satisfactory; MS: moderately satisfactory; MU: moderately unsatisfactory; U: unsatisfactory; HU: highly unsatisfactory

iii. Likelihood of impact

54. Assessment of impact can be associated to the extent to which project interventions have brought about changes in the human condition or in the environment. Changes, whether intended or unintended, can be positive or negative. For this project, the evaluation did not find any evidence of negative impacts on human health or on the environment as a result of project interventions in the participating countries. Likelihood of impact can also be assessed on the extent of occurrence of the intermediate states proposed in the TOC (see Figure 2) in the participating countries. Unfortunately, none of the national counterpart of the participating countries responded to the survey organized by the evaluation team. Nevertheless, assessment of the status of intermediate states was done based on available information and is summarized in Table 4.

55. As reported in Table 4, **Intermediate State 1** has occurred in all nine countries. Furthermore, eight of the nine countries are currently involved in a follow up GEF funded project (AFRO II) entitled '*Demonstration of effectiveness of diversified, environmentally sound and sustainable interventions, and strengthening national capacity for innovative implementation of integrated vector management (IVM) for disease prevention and control in the WHO AFRO Region*' – GEF ID 4668. This follow up initiative was approved for implementation in 2016 and the countries involved were: Botswana, Ethiopia, Gambia, Kenya, Liberia, Madagascar, Mozambique, Namibia, Senegal, South Africa, Tanzania, Uganda, Zambia, and Zimbabwe²⁶. According to available information, information was shared in only seven of the nine countries indicative that **Intermediate State 2** has not occurred in all countries. The available set of documentation did

²⁶ <https://www.thegef.org/project/demonstration-effectiveness-diversified-environmentally-sound-and-sustainable-interventions>

not allow to conclude whether **Intermediate State 3** has occurred or would likely occur as a result of the project intervention. However, as all countries (except Mauritius) are involved in the AFRO II project, and whose objective is *'To strengthen national capabilities for implementation and scaling up of evidence-based, innovative, diversified and environmentally sound disease vector control interventions (with special emphasis on malaria) with multi-stakeholder participation within context of IVM'*, it is anticipated that **Intermediate State 3** is likely to occur in the countries. For Intermediate State 4, prior to 2010 most countries asked for exemption for DDT use for malaria control. While many (including Mauritius) have stopped its use, four countries were still using DDT for vector control after 2011. Although 8 of the 9 countries are implementing the AFRO II project²⁷, there is no indication yet whether **Intermediate State 4** would occur in all countries. Despite the significant contribution of the project for the other intermediate states, likelihood of impact of the project is rated **Moderately Likely**.

²⁷ Mauritius, the ninth country, stopped DDT use for vector control in 2011 and soundly disposed of its DDT stock in 2014 through a GEF funded and UNDP implemented project - *Sustainable Management of POPs in Mauritius* - GEF ID 3205. However, it is still keeping 5 tons of DDT in case of emergency.

Table 4: Status of intermediate states of the TOC

Intermediate State	Comments / observations
<p>1.Regular monitoring of vector resistance carried out in all countries</p> <p>2.Information on vector resistance gathered and shared</p> <p>3.Authorities take informed decision to shift to alternatives for vector control</p> <p>4.DDT gradually phased out for vector control in countries</p>	<p>1. Nine AFRO countries developed and made operational a monitoring infrastructure for vector resistance. All countries (except Mauritius) involved in AFRO II project</p> <p>2. Data was shared in 7 out of 9 countries</p> <p>3. No information available from documents but all countries (except Mauritius) involved in AFRO II</p> <p>4. Most countries asked for exemption for use before 2010. None asked after 2010</p>

E. Financial management

56. As agreed, the overall execution of the project was done by WHO. In this context a letter of agreement (LOA) was signed between the Head Quarters of WHO (WHO HQ) and UNEP in December 2009 for a total amount of US\$731,400. According to information available, the management of GEF funds were compliant with the relevant UN financial procedures. For instance, once the LOA was signed, the UN task Manager informed the UNEP financial office for an initial cash disbursement of US\$200,000 as per the terms of the LOA. The transfer was done in January 2010. For subsequent disbursements, the UNEP task manager ensured that financial and other technical reports were received before informing the financial officer to release the funds. For example, a second disbursement for an amount US\$100,000 was done in December 2011 after submission of expenditure and PIR reports by WHO.

57. At the level of the executing agency, the WHO internal procedures were applied to manage the GEF funds. From feedback gathered, it was ensured that all necessary procedures and protocols were followed for payments and disbursement of funds²⁸. Due to delays in project execution (see Efficiency section), two extensions were granted to allow for completion of activities. UNEP was helpful to re-phase the unspent funds over the extended periods. The WHO AFRO project coordinator also coordinated with UNEP for reallocation project funds. As seen in Table 5, there have been significant reallocation of funds for many budget lines. The variance ranged from +2.5% for communication to +163.5% for meetings/conferences. Reasons for these reallocations are not known. As of 4 June 2016 the total amount of GEF funds (\$731,400) has been disbursed. It appears that the total amount of co-financing secured at design materialized during implementation. However, no final financial report regarding co-financing was available.

²⁸ Interview data from former WHO AFRO project coordinator

58. In general, the funds have been effectively managed but as significant variances are noted for many of the budget lines and financial report on co-financing was not available, financial management is rated **Moderately Satisfactory**.

Table 5: Expenditures for GEF Funds at 4 June 2016

UNEP budget line	Budget at design (\$)	Revised budget (\$)	Variance (%)	Expenditures (\$)	%*
1. Project Personnel	63,000	75,685	+20.1	75,685	9.9
2. Consultants	50,000	47,325	-5.35	47,325	6.2
3. Travel	0	33,913	N/A	33,913	4.5
4. Sub-contracts	41,500	88,377	+113.0	88,377	11.6
5. Training, workshops, etc.	448,000	349,562	-22.0	349,562	45.9
6. Meetings / conferences	23,760	62,615	+163.5	62,615	8.2
7. Equipment	110,140	57,123	-48.1	57,123	7.5
8. Communication	3,000	2,725	+2.5	2,725	0.4
9. Hospitality	7,000	0	-100.0	0	0
10. Evaluation	15,000	14,075	-6.2	14,075	1.8
Total**	761,400	731,400		731,400	

*Percentage with respect to total budget; **total between at design and revised differ by \$30,000, this amount kept by UNEP for terminal evaluation

F. Efficiency

59. The project was approved for implementation in July 2009, and an LOA was signed in December 2009 between the implementing and the executing agencies. This three-year project was supposed to be completed in December 2012. For various reasons, discussed in the following paragraphs, the project was delayed (by 24 months) and it was completed in December 2014.

60. Due to insufficient human resources at WHO to operate and administer the project, the start of the project was considerably delayed in the AFRO countries. The limited available funds coupled with the high number of countries was also reported as a serious factor that impeded implementation. As reported in the mid-term review, the poor design of the project (See Section V.B – Quality of project design) caused a serious common misinterpretation of the project's scope. This resulted in a lack of focus of project activities in some countries, with some activities being outside of the immediate scope of the project. Specifically, countries could not utilize the developed guidance at the time of their action planning. Shortage of staff to manage the project and implement activities in some countries also caused delays. The poor response and/or commitment to the project in other countries resulted in delayed execution of activities such as development of national action plans.

61. Table 5 reports the expenditures as per UNEP budget line of the project. The GEF funds appear to have been effectively used as 49.5% (item 5 in Table 5) of the total funds has been

used for capacity building on vector resistance monitoring. Similarly, the expenditure for project management has been kept within the 10% limit allowed by GEF. According to information available, all the co-financing expected at design (\$686,140) materialized. As reported in the mid-term review report, due to the narrow focus and limited budget, the successful implementation of the project was partly dependent on the efficient linkages created with other projects on public health pesticide management. These co-funding resources made important contributions to implementation of project activities by establishing inter-sectoral linkages on integrated vector management or pesticide management, strengthening training on spray operations, and strengthening capacity on insecticide resistance monitoring in a number of project countries. Five relevant projects were identified from which the countries benefitted:

- (1) Morocco and Yemen have been supported by the GEF/EMRO project on demonstration of sustainable alternatives to DDT in order to reduce the reliance on DDT (2009-2014);
- (2) Ethiopia and Madagascar have been supported by the GEF/AFRO project on demonstration of sustainable alternatives to DDT in order to reduce the reliance on DDT;
- (3) Gambia, Madagascar, Morocco and Mozambique have been supported by the Bill and Melinda Gates Foundation (BMGF) funded project to improve the management of public health pesticides (2008-2012) (BMGF project 1);
- (4) Madagascar and Mozambique have been supported by the BMGF funded project to strengthen delivery of vector control interventions to safeguard the efficacy of current tools for malaria control (2008-2011) (BMGF project 2); and
- (5) All project countries except Namibia and Yemen completed their NIP on POPs (NIP).

62. The project has been able to build upon pre-existing institutions or systems. For example, for Outcome 1, many countries already had an institution with some capacity to collect information and report to SSC. Similarly, for Outcome 3, in most countries training on vector control was already institutionalized. However, despite those favourable factors, effective use of funds, and materialization of co-financing, given the delays encountered and the short comings regarding availability of outputs (Table 2), the rating on Efficiency is **Moderately Satisfactory**.

G. Monitoring and reporting

i. Monitoring Design and Budgeting

63. A plan consistent with UNEP standard procedures for monitoring and evaluation (M&E) was proposed in the project document. Substantive and financial project reporting requirements are summarized in Appendix 8 of the project document. The project results framework proposed in the project document²⁹ included SMART indicators only for activities and not for outputs or outcomes, which the evaluation considers as a major deficiency for tracking progress at results

²⁹ Appendix 4 of project document.

level. On the other hand, the proposed table of key milestones and benchmarks³⁰ as well as the costed M&E plan³¹ are considered adequate for proper monitoring of progress. The costed activities were interviews with NIP coordinators and POPs national focal points, the mid-term review and the independent terminal evaluation, and the total amount (US\$35,000) budgeted for these activities are considered insufficient. The project document mentioned that a project steering committee (PSC) would be responsible for the M&E of the project. It did not, however, mention on the timing and frequency of the meetings of the PSC.

ii. Monitoring of Project Implementation

64. Except for the report of a regional meeting held in October 2013, in Harare, Zimbabwe, to review project progress, no PSC meeting reports were made available to the evaluation. However, as reported in the mid-term review, a PSC was established and an inception meeting was held in July 2011 in Marrakesh, Morocco, organized back-to-back with another WHO meeting³². During this meeting, an implementation action plan was developed for the AFRO countries as the project was very much delayed due to lack of capacity at WHO (See Section F, Efficiency). A second PSC meeting was held in July 2012 in Cairo, Egypt, again organized back-to-back with a WHO meeting³³. The main recommendation of this meeting was to organize a training workshop for AFRO countries, which subsequently took place in August 2012 in Nairobi, Kenya. In June 2013, the PSC met informally in Khartoum, Sudan, and had a short but productive discussion on the status of activities, problems faced, and mitigating measures for the coming year. During the meeting held in Zimbabwe in October 2013, and attended by UNEP, WHO HQ, WHO AFRO, SSC and representatives of participating countries, project progress was reviewed and discussed, and recommendations were made. This would tend to indicate that the PSC was functioning properly; it was monitoring project implementation as required, and was providing adequate supervision and guidance to the executing agency and the countries.

65. Due to delays, the mid-term review of the project was undertaken in 2013 instead of 2012, and a number of recommendations (listed below), most of which have been considered and actions taken.

- (1) Recommendation 1: WHO Countries Offices and their national counterparts should improve progress reporting and communication to the Regional Office, in accordance with their terms of reference.

³⁰ Appendix 6 of project document

³¹ Appendix 7 of project document

³² Meeting organized in the context of the GEF project entitled "*Demonstration of Sustainable Alternatives to DDT and Strengthening of National Vector Control Capabilities In Middle East and North Africa*", GEF Project ID 2546

³³ See footnote 31

Action taken: No evidence that countries improved on their reporting as no country reports were available.

- (2) Recommendation 2: As some countries have planned for activities that are outside the Project's scope in their action plans, it is recommended that countries revisit their action plans and budgets, if feasible at this advanced stage of the Project, in order to refocus their activities within the Project's scope.

Action taken: Countries were requested to refocus their activities within the project's scope during the regional meeting held on 23 – 25 October 2013 in Zimbabwe.

- (3) Recommendation 3: Additional staff support is urgently needed to assist the AFRO Focal Point in management of Project activities in the Region.

Action taken: WHO engaged staff to support project execution. Additionally a consultant on DDT reporting was hired for project execution.

- (4) Recommendation 4: To improve M&E in AFRO countries, it is recommended that a regional workshop for representatives of the 10 AFRO project countries (excluding Uganda) should be organized in 2013. The objectives would be for countries to present their progress report and to prepare plans for finalization of any remaining country activities.

Action taken: Workshop was organized on 23 – 25 October 2013 in Zimbabwe, during which countries reported on progress made.

- (5) Recommendation 5: It is further recommended that funds for Uganda should be used for funding the proposed regional workshop. The justification of this measure is that Uganda did not submit an action plan by mid-2013 and was excluded from the project.

Action taken: Regional workshop undertaken, but no evidence whether it was the country budget earmarked for Uganda was used for this workshop.

- (6) Recommendation 6: The opportunity for incorporating training activities on information exchange, reporting on vector control operations and insecticide resistance monitoring, as specified in the Project's document, into this regional workshop should be explored. Funds for holding a separate regional training course are not currently available in the Project budget.

Action taken: Training activities were not incorporated in the regional workshop

66. The independent terminal evaluation was initiated four and a half years after the closure of the project. The reason given by the UNEP Evaluation Office is that there was insufficient staff capacity to initiate this evaluation, along with the evaluation of other DDT-related projects, any sooner. This greatly affected the TE as many of the key stakeholders, more specifically the national counterparts, directly involved in the project could not be reached for interviews as either they retired or moved to other positions. However, gaps in project documentation also suggest that project information and records have not been properly institutionalized.

iii. Project Reporting

67. According to available information, WHO was regularly reporting to UNEP³⁴. However, while all the progress reports were available in the set of documentation submitted to the evaluation, two of the four PIR reports were missing. Based on these reports, it was clear that project monitoring was based on the project logical framework and the SMART indicators proposed for activities were used to track progress. According to available information, reporting from countries was inconsistent and the quality of some of the reports was average to poor. While some countries were reporting regularly, others were not. It is to be noted that none of the reports produced by the countries was available, which was a major limitation for this TE. Rating on Monitoring and Reporting is **Moderately Satisfactory**.

H. Sustainability

68. Sustainability is understood as the likelihood of continued benefits after an intervention ends. This criterion has been assessed in terms of the risks confronting the project, the higher the risks the lower the likelihood of endurance of project benefits. For this TE, all the three dimensions or aspects of risks to sustainability as mentioned in the terms of reference, namely socio-political, financial, and institutional risks were assessed.

i. Socio-political sustainability

69. All the participating countries are parties to the Stockholm Convention, and at the time of the design of the project several countries had already submitted their NIP on POPs to SSC³⁵. Subsequently, many (if not all) of these countries have benefitted from GEF funding to manage their obsolete stock of POPs and associated wastes. For instance, in 2008 Mauritius³⁶ benefitted from GEF funding to soundly dispose of all its obsolete stock of DDT. Similarly, two (Gambia and Senegal) and five (Madagascar, Mauritius, Namibia, Swaziland and Zambia) of the participating countries also benefitted from GEF funds for capacity building and management of POPs through two regional projects respectively³⁷. Moreover, all the countries have signed (and ratified in some cases) a number of multilateral environmental agreements such as the Basel Convention on the transboundary of hazardous wastes or the Minamata Convention on mercury. These efforts clearly indicate the strong political will to soundly manage hazardous chemicals and wastes. Prior to the project, the respective governments were committed to protect the health of their populations against vector borne diseases through existing NMCPs or equivalent. While it is not possible to foresee the priorities of future governments, there is no particular

³⁴ Interview with former WHO AFRO project coordinator

³⁵ Currently all the countries have submitted their NIP

³⁶ Sustainable management of POPs in Mauritius – GEF ID 3205, approved in 2008

³⁷ (i) Capacity Strengthening and Technical Assistance for the Implementation of Stockholm Convention National Implementation Plans (NIPs) in African Least Developed Countries (LCDs) of the ECOWAS Sub-region – GEF ID 3969, approved in 2011; (ii) Disposal of PCB Oils Contained in Transformers and Disposal of Capacitors Containing PCB in Southern Africa – GEF ID 5532, approved in 2016

reason to expect that this will change in the long term. However, given that only seven of the nine countries have reported to SSC, rating for socio-political sustainability is **Moderately Likely**.

ii. Financial sustainability

70. According to the final report of the project, access to national funding for project activities was very challenging in many countries. The report also mentioned that planning of vector control was very dependent on external sources of funding (e.g. Global Fund). It appears that without external financial assistance, sustainability of results that have been achieved so far would be at risk. However, as all the countries except Mauritius are participating in the AFRO II project (see Section V.D iii Likelihood of impact), and whose objective is '*To strengthen national capabilities for implementation and scaling up of evidence-based, innovative, diversified and environmentally sound disease vector control interventions (with special emphasis on malaria) with multi-stakeholder participation within context of IVM*', the risks are mitigated to some extent. Therefore, this dimension of sustainability is rated **Moderately Likely**.

iii. Institutional sustainability

71. Prior to the project, vector control units or equivalent existed in all the countries, within the NMCPs in most cases. The project aimed to build the capacities of these institutions for data collection and reporting and for vector resistance surveillance. According to available information, the project did not achieve complete success as some countries were still lacking the adequate capacity for systematic data collection, and others did not have the adequate vector control surveillance system in place. Given that most of the countries are involved in the AFRO II project, it is anticipated that the capacities of these institution would be further enhanced such that they would be able to implement and scale up evidence-based, innovative and environmentally sound disease vector control interventions in the context of IVM. Institutional capacity is thus rated **Moderately Likely**.

72. Overall rating for the sustainability criteria is **Moderately Likely**.

I. Factors Affecting Performance

Preparation and Readiness

73. As pointed out earlier (See Section V.E – Efficiency), due to insufficient staffing at the level of WHO, the start of the project in the countries of the AFRO region was significantly delayed. Project execution in Morocco and Yemen, countries of the EMRO region, was not affected because of the prior establishment of focal points and communication linkages in the context of GEF Project 2546³⁸. As reported earlier (See Section V.F – Efficiency), the poor design

³⁸ See footnote 11

of the project caused a serious common misinterpretation of the project's scope in the AFRO countries³⁹ and caused confusion. A short advocacy document was prepared in 2012, which was disseminated to national counterparts to raise awareness about the project. The document outlined the background, objectives, expected outcomes, and management structure of the project, and presented the responsibilities of national focal points. The document was received by focal points, but did not result in the intended inception meetings in the respective countries. Due to lack of commitment of many of the countries, an inception workshop was held in Nairobi, 29-31 August 2012 to kick-start the project in the AFRO region. During this workshop, the project was officially launched, and the scope and objective of the project were clearly explained. The roles and responsibilities of key stakeholders, work plans as well as each country situation were also discussed and recommendations made. Although serious shortcomings have been noted, as corrective measures have been taken, preparation and readiness is rated **Moderately Unsatisfactory**.

Quality of Project Management and Supervision

74. The agreed approach described in the project document was adopted for project implementation. UNEP was the GEF implementing agency and a task manager was nominated, and was providing adequate overall project supervision, and close oversight of progress through the monitoring and reporting of the project activities and progress reports. The task manager changed twice during the course of the project. According to available information the task managers attended all the PSC meetings, but as no reports of these meetings were available, it was not possible to assess the quality of guidance provided by the task managers.

75. WHO was the executing agency and WHO Global Headquarters, Geneva, was responsible to coordinate the execution of the project at the global level. A dedicated part time Project Manager was appointed to oversee these activities and to mainstream project activities into WHO global activities related to this project. A regional coordinator from WHO AFRO regional Office in Brazzaville was responsible to coordinate activities in the AFRO countries and WHO EMRO in Cairo was responsible to coordinate for activities in Morocco and Yemen. Although the project started with significant delays in the AFRO countries, the regional project coordinator from WHO AFRO, with the help of a consultant on DDT reporting, was able to get the project on the right track and significant progress made.

76. As no country reports were available and as none of the key national counterparts directly involved in the project could be contacted, it was not possible to properly assess quality of project management at national level. However, according to the final regional report of the project, despite facing challenges such as inadequate capacity for systematic data collection, collation and analysis and reporting or inadequate vector control surveillance systems, most

³⁹ The EMRO countries being involved in the MENA project (GEF ID 2546) were not confused

countries were able to perform quite satisfactorily thanks to enabling factors such as adequate involvement of key stakeholders, multi-sectoral partnerships (honouring commitments from technical working groups), and availability of strategies, policies and guidelines / framework on IRS both at international and country levels.

77. As information could not be verified by triangulation from different sources (in particular due to unavailability of project documentation), quality of project management and supervision is rated **Moderately Satisfactory**.

Stakeholder Participation and Cooperation

78. As no country (annual and progress) reports as well as meeting, training and workshop reports were available, the assessment of this criteria was done based on the mid-term review report, feedback from the former WHO AFRO regional project coordinator and the final regional report. Information gathered from these sources indicate a satisfactory stakeholder participation and cooperation of key stakeholders that comprised the ministries of health, environment and agriculture, NMCPs, academia as well as research institutions, private sector and NGOs in some countries. Generally, they participated in all the project activities such as inception / consultative / stakeholder meetings, awareness raising / training workshops and technical meetings to develop or revise documents such guidelines or plans on IVM. In a few cases, an inter-sectoral mechanism was established as part of the strategy to implement the project and to improve linkages / communication between the ministries of health and environment. The difficult communication between these two ministries in one country was reported as the main reason why that country did not report to SSC.

79. As information could not be verified, rating on stakeholder participation and cooperation is **Moderately Satisfactory**.

Responsiveness to Human Rights and Gender Equity

80. The aspect of human rights and indigenous peoples as well as gender equity was not covered in the project design as they were not requirements under GEF-4. However this is not considered as an oversight given the nature of the project, whose goal was to protect human health and the environment by supporting the availability of data related to the use of DDT and its alternatives to enable proper evaluation of the continued need of DDT in malaria vector control. POPs are highly toxic chemicals that pose risks to all human populations causing severe health problems such as reproductive and developmental problems, interfere with hormones and can cause cancer. For example, research has shown that POPs can cause birth

defects, and premature birth or to low-weight babies⁴⁰. Men can also be specifically affected such as reduced sperm count⁴¹. In achieving success, the project would be beneficial to all the population including indigenous peoples. They would be less exposed to DDT and thereby reducing risks of developing the above-mentioned health problems. As it was not considered in the design, this criteria has not been rated.

Country Ownership and Driven-ness

81. As described earlier (Stakeholder participation and cooperation section), involvement of national key stakeholders in the project has been satisfactory. They participated in most of the project activities and they contributed to revise and / or develop guidance documents and plans on IVM indicative of a high ownership. The former WHO AFRO regional project coordinator confirmed that the national governments gave full support to the project. As information could not be triangulated country ownership and driven-ness is rated **Moderately Satisfactory**.

Communication and Public Awareness

82. According to the final regional report of the project, the key stakeholders of all the participating countries were adequately informed about the project and on the need for DDT reporting in fulfilment of the countries' obligations towards the Stockholm Convention. This was done through sensitization workshops or consultative meetings during the initial phases of the project. In Ethiopia for example, the NMCP organized a sensitization workshop for 30 participants from central and regional levels. Similarly, in Gambia, a one-day consultative meeting was organized in April 2013 to sensitize stakeholders about the project. Twenty five participants from different government bodies and academia such the Department of Agriculture, Department of Water Resources, Environmental Health Unit, Ministry of Health, Medical Research Council, NMCP, National Environment Agency, University of The Gambia (UTG) and the Gambia College School of Public Health attended the meeting. Given the nature of the project, the design did not include specific activities to raise the awareness of the general public. No such activities were undertaken in all countries, except in Mozambique where information education and communication materials on IRS were produced and distributed to households during IRS campaigns. Rating on communication and public awareness is rated **Satisfactory**.

⁴⁰ Toichuev, et al.. 2017b. "Organochlorine Pesticides in Placenta in Kyrgyzstan and the Effect on Pregnancy, Childbirth, and Newborn Health." *Environ Sci Pollut Res*. <https://doi.org/10.1007/s11356-017-0962-6>.

⁴¹ <https://www.scientificamerican.com/article/ddt-linked-to-abnormal-sperm1/> High DDT and PCB exposure during adolescence and adulthood is associated with abnormal chromosomes in sperm

VI. Conclusions and Recommendations

A. Conclusions

83. In the terms of reference for this terminal evaluation, the evaluation was asked to address the strategic / substantive questions listed below. The questions have been addressed based on the findings of the TE

- (a) *To what level of success did the project deliver - through improved data collection, reporting, and communication - increased availability of comprehensive and representative data sets for rational decision-making on the continued need for DDT for disease vector control (a) for national malaria control programmes; and (b) for global evaluations?*

In all countries, efficient data collection and reporting system on the use of DDT were developed and distributed to key stakeholders. In the course of the project, many countries stopped the use of DDT for disease vector control. However, as no information is available, it is not known whether this decision-making was a direct consequence of the project. On the other hand, the efficient data collection and reporting system helped countries in their responses to the DDT questionnaire in 2012, which improved considerably both in the number of countries responding and in the quality of responses as compared to the responses they made in 2009. By the end of the project, seven of the nine countries reported on DDT to SSC.

- (b) *To what level of success has information sharing through cross-sectoral alliances (in country) and collaboration between governments in the participating countries been realised as a result of this project?*

Collaboration and sectoral alliance were established between key stakeholders in most but not in all countries. In countries where these alliances have been established, there has been closer collaboration between the ministries of health and environment, and contributed to reporting to SSC. But in countries where no alliance was formed, collaboration between the two ministries was difficult, and gathering data on DDT was a challenge.

Results and data have been shared among countries during the terminal workshop of the project, but there is no evidence whether there has been collaboration between governments in the participating countries.

- (c) *Regarding use of the reporting procedures and guidelines developed by the project, where uptake has been observed by the evaluation to be suboptimal, (a) what have been the main contributing factors? and (b) what is recommended to foster higher levels of ownership and use in future?*

As no information was available regarding the use of the reporting procedures and guidelines developed by the project, the evaluation cannot conclude on the main reasons why uptake has been suboptimal (if that was the case). Similarly, given the

absence of information, it is very challenging to propose recommendations to foster higher levels of ownership and use in the future.

84. Due to insufficient human resources at WHO to operate and administer the project, and poor response and/or commitment of many countries initially, the start of the project was considerably delayed in the AFRO countries. Thanks to hard work and frequent communication with WHO Country Offices and national counterparts, the dedicated WHO AFRO regional project coordinator was able to put the project on the right track with the help of a hired consultant on DDT reporting. The implementation was built upon pre-existing institutions such as the National Malaria Control Programmes. In many countries, the materialization of co-funding resources made important contributions to implementation of project activities such as establishing inter-sectoral linkages on integrated vector management or pesticide management, strengthening training on spray operations, and strengthening capacity on insecticide resistance. In the end, not all the outputs were satisfactorily delivered in all countries. However, the project was successful in building capacity for data collection and reporting in all countries to some extent.

85. Only three of the nine AFRO countries managed to successfully achieve all the five outcomes of the project. The other six countries could manage to fully achieve only some of the outcomes, and partially the rest. Despite these shortcomings, the project was quite successful as seven (which did not report before the project) of the nine countries reported on DDT to the Stockholm Convention Secretariat. Chances for impact of project is considered moderately likely. The intermediate states, proposed in the theory of change, and that need to happen for impact, are occurring to some extent. For example, none of the countries asked for exemption for DDT use according the DDT register of the Stockholm Convention.

86. Sustainability of project results is considered moderately likely. Ownership of the project was high in most of the participating countries. The project was built on existing the institutions, and the authorities gave strong support to the project. On the other hand, some financial as well as institutional risks have been identified. In some countries, it appears that without external financial assistance, sustainability of results that have been achieved so far would be at risk. A few countries were still lacking the adequate capacity for systematic data collection, and others did not have the adequate vector control surveillance system in place.

87. Overall project performance is rated **Moderately Satisfactory**. The ratings of the different evaluation criteria are summarized in the table below

Table 6: Summary of Performance Ratings

Criterion	Summary Assessment	Rating
A. Strategic Relevance		HS

Criterion	Summary Assessment	Rating
<i>1. Alignment to MTS and POW</i>	Project is complementary to UNEP's Subprogram 5.	HS
<i>2. Alignment to Donor/GEF strategic priorities</i>	Project consistent with the Chemicals Focal Area of the GEF, especially the objectives of the GEF operational program on POPs (OP#14)	HS
<i>3. Relevance to regional, sub-regional and national environmental priorities</i>	Consistent with priorities set in the NIPs of all countries	HS
<i>4. Complementarity with existing interventions</i>	Complementary to other GEF funded DDT projects in Africa and the Middle East	HS
B. Quality of Project Design	Weaknesses such as no indicators for outcomes or inappropriate timing of activities identified	MU
C. Nature of External Context	No external factors that could affect the project have been identified	F
D. Effectiveness⁴²		MS
<i>1. Delivery of outputs</i>	Only some countries achieved the target of delivering all outputs	MS
<i>2. Achievement of direct outcomes</i>	Only 4 of the 9 AFRO countries successfully achieved all direct outcomes	MS
<i>3. Likelihood of impact</i>	Some of the intermediate states proposed in the TOC occurring to some extent in some of the countries.	ML
E. Financial Management		MS

⁴² 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.

Criterion	Summary Assessment	Rating
<i>1. Completeness of project financial information</i>	Reports on co-financing not available	MS
<i>2. Communication between finance and project management staff</i>	Adequate communication between finance and project teams	S
F. Efficiency	Delays in project execution and not all outputs delivered	MS
G. Monitoring and Reporting		MS
<i>1. Monitoring design and budgeting</i>	No indicators proposed for outcomes. M&E plan adequately budgeted	MS
<i>2. Monitoring of project implementation</i>	Planned steering committee meetings held but no reports available. TE significantly delayed	MS
<i>3. Project reporting</i>	Project progress and PIR reports produced and submitted, but inadequate reporting from countries	MU
H. Sustainability		ML
<i>1. Socio-political sustainability</i>	All nine countries parties to the Stockholm Convention but only seven reported on DDT to SSC	ML
<i>2. Financial sustainability</i>	In some countries, external sources of funding required for sustainability of project results	ML
<i>3. Institutional sustainability</i>	Some countries still lacking adequate capacity for systematic data collection and reporting	ML
I. Factors Affecting Performance⁴³		MS

⁴³ 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.

Criterion	Summary Assessment	Rating
1. <i>Preparation and readiness</i>	WHO understaffed at the start of the project	MU
2. <i>Quality of project management and supervision</i> ⁴⁴	Overall project supervision and oversight adequately done by UNEP; WHO adequately coordinating activities. However, significant portion of project documentation not available, and no information available regarding management at national level	MS
3. <i>Stakeholders participation and cooperation</i>	Active participation of key stakeholders according to regional project coordinator, but no information available to confirm this level of engagement	MS
4. <i>Responsiveness to human rights and gender equity</i>	Although participation of women was seen in the project, much more effort could have been done to involve women.	N/A*
5. <i>Country ownership and driven-ness</i>	Strong support from authorities in most countries	MS
6. <i>Communication and public awareness</i>	Key stakeholders adequately informed about the project	S
Overall Project Rating		MS

*Not applicable: criteria not rated

B. Lessons Learned

Lesson Learned #1:	Strong information management skills at all levels of delivery and implementation of vector control strategies are vital for effective and efficient reporting procedures for evaluating the continued need for DDT for disease vector control.
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⁴⁴ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP 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 UNEP, as the Implementing Agency.

Context/comment:	In countries where a good information system existed and that where relevant information (e.g. on implementation of IVM) was adequately shared amongst all key stakeholders, the assessment for continued need for DDT for disease vector control was much easier done.
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Lesson Learned #2:	Establishing a formal collaboration among key stakeholders facilitate collection and reporting DDT data to SSC.
Context/comment:	In some countries, it was found that collecting and reporting data on DDT to SSC was challenging due to the unwillingness of stakeholders to share or provide information. In one country, the formal collaboration that was established between the two key stakeholders (Ministries of Environment and Health) greatly facilitated the process.

C. Recommendations

Recommendation #1:	UNEP should review its guidance on the storage of key project documentation and ensure it is comprehensive and clear in terms of; which key documents must be kept, where they should be kept and who is responsible for their compilation and storage at the end of a project.
Context/comment:	A number of routine project documents were not made available to the evaluation team. Although it is acknowledged that this Terminal Evaluation was carried out several years after the project end date, one would expect such critical documents to have been stored at an institutional level (e.g. all country progress and annual reports, co-financing reports, all project steering committee reports, contracts with countries, documentation and information regarding in-country implementation, workshop reports, and guidance document for DDT reporting, and assessment reports mentioned in the mid-term review report).
Priority Level ⁴⁵:	Important
Responsibility:	Evaluation Office to pass recommendation to Senior Management
Proposed implementation time-frame:	Within six months of finalization of the evaluation process.

Recommendation #2:	For future evaluations, it is recommended that implementing agencies should plan, where evaluation budgets are made available by the project and Evaluation Office staff resources allow, terminal evaluations according to the timeframe planned in the project documents.
Context/comment:	Due to its late planning, this evaluation exercise was faced with many challenges. In particular it was very difficult to obtain the views and feedback of many key stakeholders involved in the project as either they retired or they moved to other positions.

⁴⁵ Select priority level from these three categories:

Critical recommendation: address significant and/or pervasive deficiencies in governance, risk management or internal control processes, such that reasonable assurance cannot be provided regarding the achievement of programme objectives.

Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives. Important recommendations are followed up on an annual basis.

Opportunity for improvement: comprise suggestions that do not meet the criteria of either critical or important recommendations, and are only followed up as appropriate during subsequent oversight activities.

Priority Level:	Important
Responsibility:	UNEP Evaluation Office in consultation with Senior Management
Proposed implementation time-frame:	Within six months of finalization of the evaluation process.

Recommendation #3:	The results and outcomes of this project should be considered by countries embarking on follow up initiatives during the implementation of these more current initiatives to ensure sustainability and also avoid duplication of efforts.
Context/comment:	For countries embarked / that would embark in follow up initiatives (on-going or future), it is recommended that the results and outcomes of the project be considered during the implementation of these initiatives to ensure sustainability and also avoid duplication of efforts.
Priority Level:	Critical
Responsibility:	Project Team to ensure implementing countries receive and acknowledge receipt of the findings of this evaluation.
Proposed implementation time-frame:	Within six months of finalization of the evaluation process.

ANNEX I. PEOPLE CONSULTED DURING THE EVALUATION/SURVEY RESPONDENTS

List of persons interviewed

1. Jan Betlem, former UNEP Task Manager
2. Birkinesh Ameneshewa, former WHO AFRO regional project coordinator
3. Messay Gebremariam, Entomologist, WHO Country Office, Ethiopia
4. Alpha Jallow, Environmental Health and Focal Point for Vector Control WHO Country Office, Gambia

List of persons who responded to online survey

1. Eva De Carvalho, National Professional Officer, WHO Country Office, Mozambique
2. Baltazar Candrinho, Manager, NMCP, Mozambique
3. Christopher Kanema, Principal Inspector and Head Pesticides and Toxic Substances, Zambia Environmental Management Agency, Zambia

ANNEX II. ONLINE SURVEY QUESTIONNAIRE

Survey Questionnaire to Countries

Terminal Evaluation of the GEF Regional Project implemented by UNEP and executed by WHO: Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control” (GEF ID 3349) (also known as the **Global Project**)

Date of Implementation: January 2011 and was closed in December 2014

Section 1: Information regarding the respondent and his involvement in the project:

1) **Personal data:**

Name:

Country:

Name of your organisation:

Position in organisation:

2) **Involvement in the above mentioned project:**

Were you actively involved at the time the project was executed? [Yes/No]

a. If 'Yes', proceed to **Section 2**

b. If 'No', do you have contact details of a **person** that was directly involved?

Name of person:

Email:

Section 2: Information on the implementation of the project in your country

- 1) List the key stakeholders that were actively involved in the project.
- 2) In which activities of the project were these key stakeholders actively involved?
- 3) What were the main difficulties (or challenges) encountered during implementation of the project?
- 4) How were these difficulties (or challenges) overcome?
- 5) Was the support and guidance provided by WHO adequate and timely? Rate this support⁴⁶

Section 3: Information With regards to the Project outcomes

- 1) To what extent did the Project succeed in the following [Likert scale, 5 steps⁴⁷]:
 - a. Improved data collection on DDT use
 - b. Reporting on in-country DDT use
 - c. Communication about DDT use
- 2) To what extent did increased availability of comprehensive and representative datasets support decision-making regarding the continued need for DDT for disease vector control? [Likert scale⁴⁸]
- 3) Did information sharing through cross-sectoral alliances materialise during the Project? [Yes/No]

⁴⁶ Rating: Unsatisfactory – Moderately Unsatisfactory – Moderately Satisfactory – Satisfactory – Highly Satisfactory

⁴⁷ 5-Step Likert scale: Not at all – A bit – Well - Very well – Don't know

⁴⁸ 5-Step Likert scale: Not at all – A bit – Well - Very well – Don't know

- a. If 'Yes', describe how this information sharing happened.
 - b. If 'No', comment on the reason information sharing did not happen
- 4) Were the reporting procedures and guidelines developed by the Project taken up by your country?
 - a. If 'Yes', comment on the main contributing factors to this
 - b. If 'No', comment on the barriers that prevented your country to doing so.
- 5) Overall, to what extent to you consider that the Project responded to the needs and priorities of your country and sub-region [Likert scale]

Thank you for taking the time to fill the questionnaire.

ANNEX III. KEY DOCUMENTS CONSULTED

1. Project Document
2. Letter of agreement between UNEP and WHO
3. Global DDT Reporting MSP – Request CEO Endorsement
4. Rev. No. 2 (extension of LOA)
5. 1st Progress Report Jan-June 2011
6. 2nd Progress Report July-Dec 2011
7. 3rd Progress Report Jan-June 2012
8. 4th Progress Report July-Dec 2012
9. 5th Progress Report Jan-Jun 2013
10. Final report UNEP GEF 3349 annex10
11. Country matrix – Table of achievements
12. Final narrative technical Progress Report March - Dec 2014
13. PIR July2011 – June 2012
14. PIR July 2012 – July 2013
15. PIR July 2013 – June 2014
16. PIR July 2014 – Dec 2014
17. Mid-term review report, June 2013
18. Financial summary report final for GEF funds only
19. Final Rev 3.0 Budget for GEF funds only
20. Final Regional Project Report Jan 2015
21. Regional Meeting Report , 23 – 25 October 2013, Zimbabwe
22. DDT use per country
23. List of Stakeholders

ANNEX IV. EVALUATION TERMS OF REFERENCE

TERMS OF REFERENCE

Terminal Evaluation of the UN Environment-Global Environment Facility project: “Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control” [GEF ID 3349]

Section 1: Background and Overview of the Project

Project general information

Table 1. Project summary

Executing Agency:	World Health Organisation		
Sub-programme:	Harmful substances and hazardous waste (MTS 2010-2013) / Chemicals and Waste (MTS 2014-17)	Expected Accomplishment(s):	MTS 2010-13: EA(a) and EA(b) MTS 2014-17: EA(1) and EA(2)
UN Environment approval date:	July 2008	Programme of Work Output(s) (PoW 2016-2017):	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.
GEF project ID:	3349	Project type:	Medium-Size Project
GEF Operational Programme #:	GEF IV	Focal Area(s):	Persistent Organic Pollutants
GEF approval date:	July 2009	GEF Strategic Priority:	Strategic Program 1 (Strengthening Capacities for NIP Development and Implementation) for the POPs focal Area under GEF 4.
Expected start date:	August 2009	Actual start date:	January 2011

Executing Agency:	World Health Organisation		
Planned completion date:	December 2012	Actual completion date:	December 2014
Planned project budget at approval:	USD 1,447,540	Actual total expenditures reported as of 22.02.2017	USD 731,400
GEF grant allocation:	USD 761,400	GEF grant expenditures reported as of [date]:	USD 761,400
Expected Medium-Size Project co-financing:	USD 686,140 (in-kind)	Secured Medium-Size Project/Full-Size Project co-financing as of 16.01.2014:	USD 686,140
First disbursement:	22 January 2010	Date of financial closure:	27.06.2016
No. of revisions:	2	Date of last revision:	June 2015
No. of Steering Committee meetings:	4	Date of last/next Steering Committee meeting:	23 October 2013, Harare, Zimbabwe
Mid-term Review/ Evaluation (planned date):	-	Mid-term Review/ Evaluation (actual date):	30 June 2013 (by WHO)
Terminal Evaluation (planned date):	End of project	Terminal Evaluation (actual date):	August 2019 – January 2020
Coverage - Country(ies):	Eritrea, Ethiopia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen, Zambia and Gambia	Coverage - Region(s):	Global
Dates of previous project phases:	30 th June 2013 MTR	Status of future project phases:	N/A

Project rationale

1. Malaria is considered as a major public health problem and an obstacle to socio-economic development in malaria endemic countries. Indoor Residual house Spraying (IRS) is one effective way of obtaining large-scale benefits at an affordable cost while reducing malaria transmission and the prevention of epidemics. DDT (Dichloro-diphenyl-trichloroethane) is one of the twelve (12) insecticides recommended by the World Health Organization (WHO) for use in Indoor Residual house Spraying and has been in use in several countries in the World. Countries need DDT for insecticide resistance management, particularly now that resistance against pyrethroids - the most affordable insecticide next to DDT - is widespread.

2. The Stockholm Convention is a global treaty that aims to protect the environment and human health from Persistent Organic Pollutants (POPs). DDT happens to be one of the twelve (12) POPs listed

in the Stockholm Convention which only accepts its use for disease vector control purposes in accordance with related World Health Organization (WHO) recommendations and guidelines. Like other POPs, DDT poses significant global risks because it is toxic, bioaccumulates in the food chain, and is susceptible to long-range environmental transport (via air and water). DDT is also classified as 'probably carcinogenic' to humans (class 2A according to IARC-WHO) and strong evidence shows that DDT can suppress the immune system and disrupt sex hormones. Its stability, persistence and widespread use have meant that DDT residues can be found everywhere, even in the Arctic, Antarctic, open oceans and high mountain areas. Among the most affected animals are birds, because DDT causes eggshell thinning. Moreover, DDT is acutely toxic to fish and marine invertebrates⁴⁹.

3. There is urgent need to monitor DDT production and use, and to establish its continued necessity in disease vector control. Paragraph 4, Part II, Annex B of the Stockholm Convention on Persistent Organic Pollutants states that *"every three years, each Party that uses DDT shall provide to the Secretariat and the World Health Organization information on the amount used, the conditions of such use and its relevance to that Party's disease management strategy, in a format to be decided by the Conference of Parties (COP) in consultation with the World Health Organization (WHO)"*. Paragraph 6, Part II, Annex B requires that *"the Conference of the Parties shall, in consultation with the WHO, evaluate the continued need for DDT for disease vector control on the basis of available scientific, technical, environmental and economic information"*.

4. Subsequently, the COP adopted a questionnaire which was to be completed every three years by all Parties that produce, use, export, import or maintain stocks of DDT. The completed questionnaires would assist the DDT Expert Group (which meets every 2 years) in its global assessments to make informed and timely recommendations to the COP regarding the continued need for DDT in disease vector control. The COP also requested the Convention Secretariat in collaboration with the WHO to undertake activities for strengthening the capacity of Parties to evaluate DDT use and implement alternative strategies to replace it. The GEF is the principal financial mechanism of the Stockholm Convention, to which capacity building and efforts to reduce the need for DDT are priority areas for funding.

5. Although proper reporting and data collection is crucial for the decision on whether to use DDT in a certain situation or not, data collection was found to be insufficient at the time of the project design. Fourteen (14) countries⁵⁰ in the Africa and Eastern Mediterranean regions were selected based on: known (or intended) DDT use for health purposes; poor reporting procedures and infrastructure; and their endorsement of participation in the exercise. All proposed project countries have ratified the Stockholm Convention.

6. This project (hereafter also referred to as "Global DDT Reporting Project") aimed at providing supporting activities that build and strengthen data collection and reporting capacity at national and regional level. It was also intended to complement ongoing initiatives⁵¹ in demonstrating DDT alternatives, by leveraging the data on DDT application and related issues (like resistance monitoring) and supporting national institutions in fulfilling their reporting requirements to the Stockholm Convention Secretariat.

Project objective and components

7. As discussed above, the Global DDT Reporting Project was designed to help countries with known DDT use to report on its application and to monitor its continued usefulness for disease vector control in

⁴⁹ <https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/persistent-organic-pollutants/alternatives-ddt>

⁵⁰ Eritrea, Ethiopia, Madagascar, Mauritius, Mozambique, Morocco, Namibia, Senegal, South Africa, Swaziland, Uganda, Yemen, Zambia and Gambia

⁵¹ Regional projects are situated in Mexico & Central America, Africa, North Africa & Middle East, South East Asia & Pacific, Caucasus and Central Asia.

comparison to alternative insecticides. The project also served countries that no longer actively used DDT but which wanted to remain entitled to use it in future (e.g. if ever required for insecticide rotation purposes, or due to the development of insecticide resistance to alternative measures).

8. The development objective (or goal) of the project is to protect human health and the environment by supporting the availability of data related to the use of DDT and its alternatives to enable proper evaluation of the continued need of DDT in malaria vector control.

9. The main objective is to develop the capacity of the selected Parties to enable the provision of complete information on the production and use of DDT for disease vector control. The Project Document (Prodoc) lists the following Outcomes⁵², which also constitute the project’s main components, and which were expected to be achieved through the implementation of several programmed Activities and Outputs:

- i) Central institutions in project countries are identified and strengthened
- ii) Critical mass is established through cascade regional training of spray team leaders and regional support teams in field data collection and reporting
- iii) Routine in-service training within national vector control programmes is institutionalized.
- iv) Vector resistance monitoring infrastructure is established/strengthened.
- v) Cross-sectoral alliances are established, and guidelines implemented for data collection and sharing between relevant government and non-government agencies.

10. Table 2 below presents a summarised results framework, showing the main project components, expected outcomes, and planned outputs as described in the Project Document (2009).

Table 2. Global DDT Reporting Project Results Framework (abridged version)⁵³

Component	Outcomes	Outputs
Component 1: Identification and strengthening through the development of institutional infrastructure of a central institution responsible for proper registration and regular reporting of data related to import/export/local formulation of DDT, the local application, areas of application, details of the field campaigns, impacts, etc.	Outcome 1: Central institutions in project countries identified and strengthened	<ul style="list-style-type: none"> - Names and contact details of responsible institutions in project countries - Letter of Commitment from each institution to register and report according to the requirements. - 14 institutions received equipment, materials, other support as deemed relevant and training as part of strengthening. - Institutional infrastructure for reporting in each country developed and operational - Guidelines for reporting developed and provided to identified institutions
Component 2: Training of spray team leaders and regional support teams on field data collection and reporting (Regional cascade training to develop critical mass for Parties).	Outcome 2: Training of spray team leaders and regional support teams on field data collection and reporting (Regional cascade training to develop critical mass)	Spray Team leaders and regional support teams trained.

⁵² Outcome statements have been slightly modified

⁵³ Extracted from the Project Document 2009. Emphasis added

Component	Outcomes	Outputs
Component 3: Follow up activities to institutionalize training activity as routine in-service training within national vector control programmes	Follow up activities to institutionalize training activity as routine in-service training within national vector control programmes.	Training institutionalized as routine in-service training within national vector control programs.
Component 4: Training in resistance monitoring activities and establishing/ strengthening vector resistance monitoring infrastructure in 12 countries	Countries able to monitor chemicals resistance of vector in an adequate way.	- Regional trainings on resistance monitoring developed and held - Participants attend training sessions and receive training materials - Country monitoring infrastructure developed and operational in each project country
Component 5: Establishment of cross-sectoral alliances and implementation of guidelines for data collection and sharing between relevant government and non-government agencies	Cross sectoral alliances established, and guidelines implemented.	Support to inter-sectoral working groups is provided in all project countries in order to allow data sharing and implementation of guidelines

Executing arrangements

11. UN Environment was the **Implementing Agency** responsible for overall project supervision to ensure consistency with GEF and UN Environment policies and procedures. The World Health Organization (WHO) Global Headquarters in Geneva was the **Executing Agency** mandated with coordinating the execution of the project at the global level.

12. The World Health Organization Regional Office for Africa (WHO AFRO) served as a **Delegated Executing Agency** to provide critical coordinating functions for the project. To ensure that all partners worked together in close coordination, the WHO AFRO Regional Office was given the lead role in project coordination and management. WHO AFRO also assisted with regional trainings and in providing a platform for future extensions of the proposed activities to additional countries.

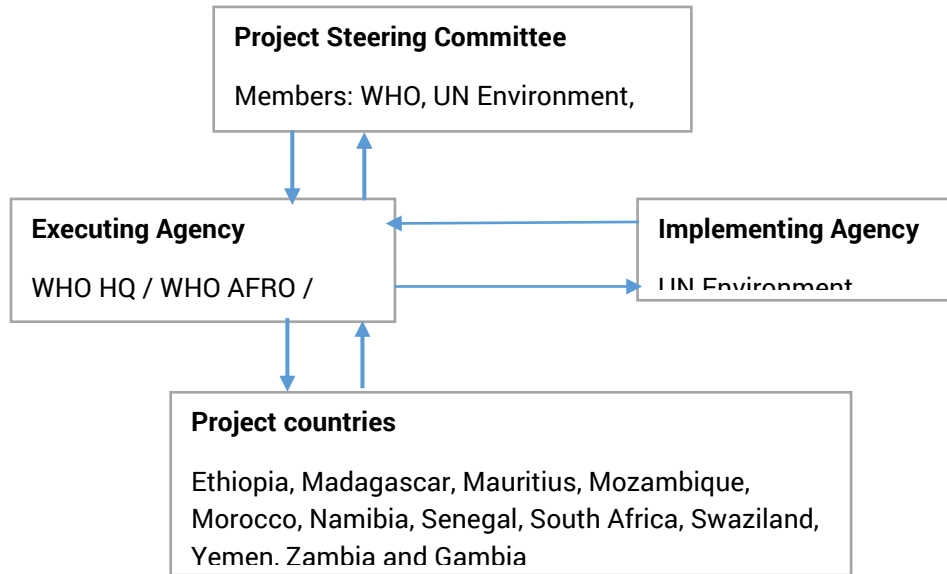
13. A **Project Manager**, assisted by administrative and financial staff, was responsible for overseeing project implementation and mainstreaming project activities with WHO. The WHO **regional offices** in Brazzaville (with regards to WHO project activities in the AFRO Region) and in Cairo (with regards to WHO project activities in the Eastern Mediterranean) provided technical support and coordination to the project, as well as functioned as the linkage between the project and the participating countries.

14. All project countries had a WHO **country office** which was required to conduct the day-to-day project coordination tasks in close collaboration with relevant national stakeholders. Local **in-country collaborators** were identified in all project countries to serve as a link to the local DDT use, production etc., and the operational context based on their knowledge of local stakeholders. They also served as the local advocates for the adoption and use of improved data collection and reporting procedures.

15. A **Steering Group**, comprised of composed of WHO AFRO, UN Environment, and representatives from the fourteen in-country collaborating institutions, was established to oversee monitoring and evaluation efforts and ensure that the project was achieving its desired results.

16. Diagram 1 below illustrates the Global DDT Reporting Project's organizational arrangements.

Figure 1. Global DDT Reporting Project Organizational Chart



Project cost and financing

17. The Global DDT Reporting Project falls into the medium-size project (MSP) category. At design, the total project cost was estimated at US\$ 1,447,540 of which US\$ 761,400 was funded through a GEF Grant, and US \$686,140 was to be provided as in-kind contributions by the World Health Organisation (US \$335,000) and the participating countries (US \$351,140). There was no cash co-financing envisioned in the project document. Table 3 below summarises the budget and financing sources.

Table 3. Global DDT Reporting Project Budget (GEF ID 3349)

Cost of project	US\$
Cost to the GEF Trust Fund	761,400
Co-financing	
<i>Cash</i>	
-	0
Sub-total	0
<i>In-kind</i>	
WHO	335,000
Countries	351,140
Sub-total	686,140

Cost of project	US\$
	TOTAL 1,447,540

Implementation issues

18. The Global DDT Reporting Project was approved by UN Environment in July 2008, planned to commence in August 2009, but the actual starting date was not until January 2011. The project later underwent a mid-term review (MTR) that was completed in 2013. The MTR report mentioned the following issues as being critical to project implementation and achievement of intended results: (1) Delayed start of the project to January 2011 due to a shortage of human resources within the Executing Agency required to manage the project, compounded by reorganization and staff changes; (2) Weak coordination and monitoring of project activities at country level coupled with funds shortage; (3) Weak communication linkages between countries especially within the AFRO Region; (4) shortcomings in the submission of national Progress Reports; (5) Shortcomings in project design and interpretation of the project's scope; and (6) Lack of consultant support to provide much-needed technical expertise. One other main challenge faced in the earlier period, but was eventually overcome, was the lack of response and/or commitment to the project from AFRO countries.

19. Although the project was initially set to complete in 2012, the MTR recommended a no-cost extension of the Project until June 2014. The MTR report provided other recommendations meant to remedy several implementation concerns, and this evaluation should pay attention to the extent to which these were addressed during the project's lifespan.

20. Eritrea and Uganda eventually exited from the project. In 2012, Eritrea withdrew from the Project following its decision to discontinue the use of DDT. (*Eritrea eventually got on board the DDT Afro I Project⁵⁴ as a late entrant*). In 2013, Uganda also left the project because it had discontinued use of DDT⁵⁵ and wanted to focus national efforts on control measures.

21. Shortcomings in project design (described in the MTR Report, 2013) affected its implementation. For instance, the results framework shows a strong activity focus, as do the progress reports produced during project implementation. On account of this, challenges may be experienced in adequately assessing the achievement of higher-level results (i.e. Outcomes and Impact).

22. A very likely limitation to the implementation of this evaluation would be the loss of institutional memory and/or difficulty in accessing project information due to the duration since its terminal reporting (2014) - although some key persons (e.g. the former UN Environment Task Manger and Project Manager) are still relatively easy to contact.

Section 2. Objective and Scope of the Evaluations

1. Key evaluation principles

23. Evaluation findings and judgements should be based on 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

⁵⁴ GEF ID. 1331 Demonstrating Cost-effectiveness and Sustainability of Environmentally Sound and Locally Appropriate Alternatives to DDT for Malaria Vector Control in Africa

⁵⁵ Stocks were reportedly exported for incineration in 2010

anonymity is still protected). Analysis leading to evaluative judgements should always be clearly spelled out.

24. **The “Why?” Question.** As similar interventions are envisaged for the future, particular attention should be given to learning from the experience. Therefore, the “Why?” question should be at the front of the consultant’s mind all through the evaluation exercise 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.

25. **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**. 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.

26. **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.

2. Objective of the Evaluation

27. In line with the UN Environment Evaluation Policy⁵⁶ and the UN Environment Programme Manual⁵⁷, 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 WHO as well as the country level partners. Therefore, **the evaluation will identify lessons of operational relevance for future project formulation and implementation of similar projects** (e.g. interventions under the GEF “Demonstrating and Scaling up of Sustainable Alternatives to DDT in Vector Management Programme” (Global DSSA Programme)).

3. Special considerations

28. The evaluation of the Global DDT Reporting Project will be handled as a desk-based study. No field missions to any of the participating countries is envisioned.

29. In addition to delivering a terminal evaluation report, the consultants shall be required to produce a supplementary 15-20-page **Synthesis Report** assessing the net result of/ achievements and challenges of UN Environment work in DDT for disease vector management. There are/have been various regional projects under the DDT portfolio implemented by UN Environment (in Mexico & Central America, Africa, North Africa & Middle East, South East Asia & Pacific, Caucasus and Central Asia), all contributing to a common development objective. These initiatives ought to be considered from a more global perspective that assesses their synergies and coherence in achieving higher-level results in the GEF funded Global DSSA Programme. Complementarities with the Malarial Decision Analysis Support Tool (MDAST)

⁵⁶ <https://www.unenvironment.org/resources/other-evaluation-reportsdocuments/evaluation-policy-2016>

⁵⁷ This manual is under revision.

project⁵⁸ should also be considered in trying to piece together the organisations work in promoting sustainable malaria control strategies that are consistent with the successful implementation of the Stockholm Convention on Persistent Organic Pollutants (POPs).

30. Running concurrently with this evaluation are those of the DDT-AFRO⁵⁹ (GEF ID. 1331) and DDT-MENA⁶⁰ (GEF ID. 2546) projects. The terminal evaluation for the DDT Caucasus and Central Asia project⁶¹ (GEF ID. 3614) was completed in August 2018, and that of the DDT Mexico and Central America project⁶² (GEF ID. 1591) in November 2009.

31. The Synthesis Report should be based upon the findings made available through the evaluation report for this Global DDT reporting project (GEF ID 3349), as well as the evaluation reports of the regional DDT projects AFRO I, Middle East and North Africa (MENA), Caucasus & Central Asia, and Mexico & Central America⁶³.

4. Key Strategic Questions

32. In addition to the evaluation criteria outlined in Section 10 below, the evaluation will address the **strategic questions** 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:

- i) To what level of success did the project deliver - through improved data collection, reporting, and communication - increased availability of comprehensive and representative data sets for rational decision-making on the continued need for DDT for disease vector control (a) for *national* malaria control programmes; and (b) for *global* evaluations?
- ii) To what level of success has information sharing through cross-sectoral alliances (in country) and collaboration between governments in the participating countries been realised as a result of this project?
- iii) Regarding use of the reporting procedures and guidelines developed by the project, where uptake has been observed by the evaluation to be suboptimal, (a) what have been the main contributing factors? and (b) what is recommended to foster higher levels of ownership and use in future?

5. Evaluation Criteria

33. In addition to addressing the key questions in section 9 above, the evaluation will compare actual results against the original targets that were specified in the project document. 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)

⁵⁸ Malaria Decision Support Tool: Evaluating health, social and environmental impact and policy trade-off

⁵⁹ Demonstrating Cost-effectiveness and Sustainability of Environmentally Sound and Locally Appropriate Alternatives to DDT for Malaria Vector Control in Africa

⁶⁰ Demonstration of Sustainable Alternatives to DDT and Strengthening of National Vector Control Capabilities in Middle East and North Africa

⁶¹ Demonstrating and Scaling Up Sustainable Alternatives to DDT for the control of vector borne diseases in Southern Caucasus and Central Asia

⁶² Regional Program of Action and Demonstration of Sustainable Alternatives to DDT for Malaria Vector Control in Mexico and Central America

⁶³ The terminal evaluation reports will be made available by the Evaluation Office of UN Environment. The draft reports for DDT Global (3349), DDT AFRO (1331) and DDT MENA (2546) will be produced in the course of 2019 (dates to be confirmed) whereas the reports for DDT Mexico & Central America (1591) and DDT Caucasus and Central Asia (3614) are already available.

Monitoring and Reporting; (H) Sustainability; and (I) Factors Affecting Project Performance. The evaluation consultants can propose other evaluation criteria as deemed appropriate.

34. All evaluation criteria will be rated on a six-point scale. Sections A-I below, outline the scope of the criteria. A link to a table for recording the ratings is provided in Annex 1. A weightings table in excel format is also provided (link in Annex 1) to support the determination of an overall project rating.

A. Strategic Relevance

35. 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. The evaluation should assess:

- the project's alignment with the Medium-term Strategy (MTS) and programme of Work (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.
- whether the project's objectives and implementation strategies were consistent with the GEF focal area strategy for Persistence Organic Pollutants (POPs).
- the extent to which the intervention was suited, or responded to, the stated environmental concerns and priorities of the countries, sub-regions or regions where it was being implemented.
- how well the project was complementary to other interventions, optimized any synergies and avoided duplication of effort. Linkages with other interventions should be described and instances where UN Environment's comparative advantage has been particularly well applied should be highlighted.

Factors affecting this criterion may include:

- Stakeholders' participation and cooperation
- Country ownership and driven-ness

B. Quality of Project Design

36. The quality of project design is assessed during the evaluation inception phase using a template provided by the Evaluation Office. 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.

Factors affecting this criterion may include (at the design stage):

- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity

C. Nature of External Context

37. At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters or 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

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

i. Achievement of Outputs

39. 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.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision⁶⁴

ii. Achievement of Direct Outcomes

40. The project design predates the introduction of Theory of Change (TOC) approach in project planning in UN Environment. Nevertheless, a logical framework was used to illustrate the project's intervention logic. The consultant will develop a reconstructed⁶⁵ Theory of Change at evaluation, based on the logical framework as presented in the ProDoc. Direct outcomes are the first-level outcomes expected to be achieved as an immediate result of use/uptake of project outputs. The evaluation should report evidence of attribution between UN Environment's intervention and the direct outcomes. In this case where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's contribution should be included.

Factors affecting this criterion may include:

- Quality of project management and supervision

⁶⁴ For GEF funded projects, this criterion refers to the project management performance of the executing agency and the technical backstopping provided by UN Environment.

⁶⁵ UN Environment staff are currently required to submit a Theory of Change with all submitted project designs. 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. A comparative table can be used where substantive amendments to the formulation of results statements is necessary.

- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

lii. Likelihood of Impact

41. 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: <https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/theory-change> (also refer 'Likelihood of Impact Decision Tree' in Annex 1). The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects as part of the analysis of Environmental, Social and Economic Safeguards⁶⁶.

42. The evaluation will assess the likelihood of the project to make a substantive contribution to the high-level results prioritised by UN Environment's Expected Accomplishments, the Sustainable Development Goals⁶⁷ and/or the Global DSSA Programme. The evaluation will consider the extent to which the project has played a catalytic role or promoted scaling up and/or replication⁶⁸, and the factors that are likely to contribute to longer term impact.

Factors affecting this criterion may include:

- Quality of Project Management and Supervision (including adaptive management)
- Stakeholders participation and cooperation
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness
- Communication and public awareness

E. Financial Management

43. Financial management will be assessed under two themes: completeness of financial information and communication between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure 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

⁶⁶ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at

<https://www.unenvironment.org/about-un-environment/why-does-un-environment-matter/environmental-social-and-economic>

⁶⁷ A list of relevant SDGs is available on the EO website <https://www.unenvironment.org/about-un-environment/evaluation/our-evaluation-approach/sustainable-development-goals>

⁶⁸ *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.

management policies⁶⁹. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

44. In keeping with the OECD/DAC definition of efficiency, the evaluation will assess the cost-effectiveness and timeliness of project execution. Focusing 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 approaches.

45. 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.

46. The factors underpinning the need for project extensions will also be explored and discussed⁷⁰.

Factors affecting this criterion may include:

- Preparation and readiness (e.g. timeliness)
- Quality of project management and supervision
- Stakeholders participation and cooperation

G. Monitoring and Reporting

47. 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

48. Each project should be supported by a sound monitoring plan that is designed to track progress against SMART⁷¹ indicators towards the achievement of the project outputs and direct outcomes,

⁶⁹ For instance, the Prodoc demands quarterly project expenditure accounts showing details of the project expenditures reported in line with budget codes as set out in the project document, including details of unliquidated obligations, and a final statement of account in line with UNEP project budget codes, reflecting actual final expenditures under the project

⁷⁰ As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties

⁷¹ SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

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.

li. Monitoring of Project Implementation

49. 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, achievement of outcomes and ensure sustainability. The evaluation should establish whether funds allocated for monitoring were used to support this activity.

lii. Project Reporting

50. Projects funded by GEF have specific evaluation requirements with regard to verifying documentation and reporting (i.e. the Project Implementation Reviews), 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.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Responsiveness to human rights and gender equity (e.g. availability of disaggregated indicators and data)

H. Sustainability

51. 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 (e.g. climate change effects on malaria vector control) that may affect the sustainability of direct outcomes may also be included.

i. Socio-political Sustainability

52. 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 capacity development efforts are likely to be sustained.

li. Financial Sustainability

53. The evaluation will assess the extent to which project outcomes are dependent on future funding for the benefits they bring to be sustained. It will consider the likelihood that adequate financial

resources⁷² will be available to implement the programmes, infrastructure, monitoring systems, etc. prepared and agreed upon under the project. Any financial risks that may jeopardize sustenance of project results and onward progress towards impact should also be reported.

lii. Institutional Sustainability

54. 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, cross-sectoral and/or sub-regional agreements, legal and accountability frameworks, monitoring infrastructure, etc. are robust enough to continue delivering the benefits associated with the project outcomes after project closure.

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
- Country ownership and driven-ness

I. Factors and Processes Affecting Project Performance

55. 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

56. 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).

li. Quality of Project Implementation and Execution

57. Specifically for GEF funded projects, this factor refers separately to (a) the performance of WHO as the Executing Agency and (b) the technical backstopping and supervision provided by UN Environment as the Implementing Agency.

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

⁷² Those resources can be from multiple sources, such as the public and private sectors, income generating activities, other development projects etc.

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.

lii. Stakeholder Participation and Cooperation

59. Here the term 'stakeholder' should be considered in a broad sense, encompassing all project partners, duty bearers with a role in delivering project outputs, 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

60. 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.

61. The report should present the extent to which the intervention, implemented any actions to ensure that Gender Equity and Human Rights were taken into account. In particular, the evaluation will consider to what extent project design (or implementation) took into consideration: (a) possible gender inequalities in access to and the control over resources; (b) specific vulnerabilities of women and children to environmental degradation; (iii) the role of women in the use of DDT and alternatives for malaria vector management; and (iii) the role of women in mitigating environmental degradation and/or engaging in environmental protection.

V. Country Ownership and Driven-ness

62. 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 which is necessary for long term impact to be realised.

Vi. Communication and Public Awareness

63. 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 (e.g. cross-sectoral alliances for data collection and sharing between relevant government and non-government agencies that were to be formed as part of Component 5 of the project design) have been established, 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

64. 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 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.)

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

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

- Relevant background documentation, inter alia relevant country programmes and strategies (NIPs and malaria programme documents at country level); evaluations/lessons of other DSSA projects conducted in the past; relevant UN Environment, WHO and GEF programme guidelines and strategies; and relevant studies and publications concerning malaria prevention.
- Project design documents including minutes of the project design review meeting at approval (GEF Secretariat Review for Project); Annual work plans and budgets, revisions to the project (Project Document Supplement), the logical framework;
- 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 outputs: technical reports, evidence concerning capacity building/training events (agendas and participant lists), academic articles, presentations and other communications tools;
- Mid-Term Review report of the project;

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

- UN Environment Task Manager and other relevant staff;

- UN Environment, Head of Chemicals and Health Branch
 - UN Environment Project Fund Management Officer (FMO);
 - Project management team (WHO);
 - Sub-Programme Coordinator (Chemicals and Waste)
 - WHO Headquarters, WHO Regional Offices (AFRO and EMRO), and WHO Country Offices staff, in-country collaborators and central institution staff from the fourteen countries, Steering Group members, and representatives from relevant government ministries;
 - Other relevant resource persons.
- (c) **Surveys** (if deemed useful in inception stage)
- (d) **Field visits:** no field visits envisioned for this assignment
- (e) **Other data collection tools**

1. Evaluation Deliverables and Review Procedures

66. The evaluation consultant will prepare:

- **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. Preliminary findings will be prepared for each project and presented to relevant audiences.
- **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.
- **Synthesis Report:** a 15-20-page summary assessing the net result of/ achievements and challenges of UN Environment work in DDT for disease vector management as described in section 9. *Special Considerations* above.
- **Evaluation Bulletin:** a 2 or 3-page summary of key evaluation findings will be prepared for wider dissemination (the audience would be other DDT related initiatives globally)

67. **Review of the draft evaluation report.** The evaluation consultant will submit a draft report to the Evaluation Office 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 and core team, alerting the Evaluation Office in case the report contains any blatant factual errors. The Evaluation Office 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 Office for consolidation. The Evaluation Office will provide all comments to the evaluation consultant for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

68. Based on a careful review of the evidence collated by the evaluation consultant and the internal consistency of the report, the Evaluation Office will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Office 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.

69. The Evaluation Office 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 consultant. 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.

70. 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.

2. The Evaluation Team

71. For this evaluation process, the evaluation team will consist of a Team Lead and a Supporting Consultant, working under the overall responsibility of the Evaluation Office represented by an Evaluation Manager (Martina Bennett), in consultation with the UN Environment Task Manager (Mr. Kevin Helps), Programme Budget Officer (Ms. Anuradha Shenoy), and the Sub-programme Coordinator of the Chemicals and Waste sub-programme. The evaluation team 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.

72. The Team Lead will be hired for over the period June 2019 to February 2020 and should have an advanced degree in environmental sciences, public health or other relevant area; a minimum of 15 years of technical experience including work on POPs, pesticide management and environmental risk assessment; evaluation of large, regional or global programmes preferably by using a Theory of Change approach; a broad understanding of DDT and malaria control; sufficient regional knowledge; excellent communication (including writing) skills in English; a working knowledge of French and/or Arabic is considered an advantage; and if possible, knowledge of the work of UN Environment and/or WHO.

73. The Supporting Consultant will be hired for 6 months spread over the period August 2019 to January 2020 and should have: an advanced university degree in environmental sciences, public health or other relevant area; a minimum of 10 years of technical experience in integrated vector control and alternatives to DDT; excellent writing skills in English and, where possible, knowledge of the UN system, specifically of the work of UN Environment. Experience in managing partnerships, knowledge management and communication is desirable for all evaluation consultants.

74. The Team Leader 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 Team Lead will ensure that all evaluation criteria and

questions are adequately covered. Detailed guidelines for Consultants can be found on the Evaluation Office website: (<https://www.unenvironment.org/about-un-environment/evaluation>).

75. The Supporting Consultant will make substantive and high quality contributions to the evaluation process and outputs. Both consultants will ensure together that all evaluation criteria and questions are adequately covered. Detailed roles and responsibilities related to data collection and analysis and reporting will be agreed upon within the Team and specified in the Inception Report.

76. Specifically, Evaluation Team members will undertake the following:

Team Leader

The Team Leader will be responsible for overall management of the evaluation, in close consultation with the UN Environment Evaluation Office, and timely delivery of its outputs as described in the evaluation terms of reference. (S)He will lead the evaluation design, data collection and analysis, and report-writing with full support and substantive inputs from the Supporting Consultants. More specifically the Team Leader will:

Manage the inception phase of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (partner survey and user survey);
- plan the evaluation schedule;
- distribute tasks and responsibilities among the evaluation team members; and
- prepare, together with the Supporting Consultant, the inception report, including comments received from the Evaluation Office, project team, key partners, donors and Evaluation Reference Group, where appropriate. The Inception Report should be complete and coherent and follow the Evaluation Office guidelines on Content and Structure of the Inception Report (see Evaluation Office of UN Environment website (<https://www.unenvironment.org/about-un-environment/evaluation>)).

Coordination of the data collection and analysis phase of the evaluation, including:

- carry out, in conjunction with the Supporting Consultant and as agreed with the Evaluation Office, field missions for primary data collection;
- conduct further document reviews and in-depth interviews with key stakeholders of the project;
- provide methodological support to the Supporting Consultant regarding information collection, data analysis, surveys etc.;
- regularly monitor progress of the Supporting Consultant in information gathering and analysis; and
- prepare, together with the Supporting Consultant, preliminary findings to support discussion with in-country respondents or the project team and, where appropriate, the Evaluation Reference Group⁷³.

⁷³ Typically, preliminary findings are expected to be in the form of a PowerPoint which may be presented in country at the end of a field mission or presented to the project team by the evaluation team via Skype. Its purpose is to promote participation by sharing top level findings very shortly after the field mission and to provide a framework for early discussions. Preliminary findings are not intended to become word documents that go through a review loop, unless there is an Evaluation Reference Group or the evaluation is highly strategic/sensitive.

Coordination of the reporting phase, including:

- assign writing responsibilities to the Supporting Consultant(s) for the main report;
- receive and review/edit the first draft of sections written by the Supporting Consultant;
- write key sections of the main report, ensuring a complete and coherent report both in substance and style. The main report should follow the Evaluation Office guidelines on Content and Structure of the Main Evaluation Report (see Evaluation Office of UN Environment website (<https://www.unenvironment.org/about-un-environment/evaluation>));
- submit all elements of the main report (i.e. including case studies) to the Evaluation Office for them to circulate for factual feedback and comments;
- draft key sections of the Synthesis Report assessing the net result of/ achievements and challenges of UN Environment work in DDT for disease vector management;
- respond to consolidated comments received from the Evaluation Office and ensure that comments are taken into account during finalization of the main report; and
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the evaluation team and indicating the reason for their rejection.

Managing internal and external relations of the evaluation team, including:

- maintain a positive relationship with all evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- avoid and resolve any misunderstandings, tensions and performance issues within the team; and
- communicate in a timely manner with the Evaluation Office on any issues requiring its attention and intervention.

The Team Leader shall have had no prior involvement in the formulation or implementation of the Project and will be independent from the participating institutions.

Supporting Consultant

The Supporting Consultant will be responsible for delivering timely and high-quality contributions to the evaluation process and outputs as described in the evaluation terms of reference under the leadership and supervision of the Team Leader. (S)He will participate actively in evaluation design, document analysis, fieldwork and report-writing. The Supporting Consultant will specifically provide:

Substantive contributions to the inception phase of the evaluation, including:

- conduct a preliminary desk review and introductory interviews with Project staff;
- support the Team Leader in drafting the reconstructed Theory of Change of the programme;
- assist in the preparation of the evaluation framework;
- contribute to the desk review and interview protocols;
- contribute to drafting the survey protocols (partner survey and user survey);
- contribute to sections of the inception report as agreed with the Team Leader; and
- any other tasks during the inception phase as requested by the Team Leader.

Substantive contributions to data collection and analysis, including:

- carry out, under the guidance of the Team Leader, field missions for primary data collection;
- conduct further document reviews and in-depth interviews with key stakeholders of the project as assigned by the Team Leader;

- support the Team Leader with the presentation of preliminary findings; and
- any other tasks related to data collection and analysis as requested by the Team Leader.

Substantive contributions to the reporting deliverables, including:

- write key sections of the main report, as assigned by the Team Leader, including case studies;
- review/edit sections written by the Team Leader;
- review comments received from the UN Environment Evaluation Office, project team, key partners, donors and Evaluation Reference Group, where appropriate;
- assist the Team Leader with finalizing the main report; and
- draft key sections of the Synthesis Report assessing the net result of/ achievements and challenges of UN Environment work in DDT for disease vector management.
- any other tasks related to reporting as requested by the Team Leader.

Ensure good team work and external relations, including:

- maintain a positive relationship with evaluation stakeholders, ensuring that the evaluation process is as participatory as possible but at the same time maintains its independence;
- be a team player, avoid and help resolve any misunderstandings, tensions and performance issues within the team; and
- communicate in a timely manner with the Team Leader and/or the Evaluation Office on any issues requiring their attention and/or intervention.

The Supporting Consultant shall have had no prior involvement in the formulation or implementation of the Project and will be independent from the collaborating institutions and other partners of the project.

3. Schedule of the evaluation

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

Table 3. Tentative schedule for the evaluation(s)

Milestone	Deadline
Inception Meeting (Skype)	06 August 2019
Inception Desk Review	August - September 2019
Inception Report (1 st submission)	September 2019
Inception Report (final submission)	September 2019
Document review, telephone/skype interviews, etc.	October-November 2019
Field Mission (if deemed useful)	October-November 2019
Powerpoint/presentation on preliminary findings and recommendations	November 2019
Draft report to Evaluation Office (peer reviewer)	December 2019

Milestone	Deadline
Draft Report shared with UN Environment Task Manager and Project Team	January 2020
Draft Report shared with wider group of stakeholders	January 2020
Final Report	January 2020

4. Contractual Arrangements

78. 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.

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

80. Schedule of Payment for the Team Leader:

Deliverable	Percentage Payment
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%

81. Schedule of Payment for the Support Consultant:

Deliverable	Percentage Payment
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%

82. 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 Manager and on the production of acceptable receipts. Terminal expenses and residual DSA entitlements (25%) will be paid after mission completion.

83. 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.

84. 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.

85. 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 1: Tools, Templates and Guidance Notes for use in the Evaluation

The tools, templates and guidance notes listed in the table below, and available on the Evaluation Office website (<https://www.unenvironment.org/about-un-environment/evaluation>), are intended to help Evaluation Managers and Evaluation Consultants to produce evaluation products that are consistent with each other and which can be compiled into a biennial Evaluation Synthesis Report. The biennial summary is used to provide an overview of progress to UN Environment and the UN Environmental Assembly. This suite of documents is also intended to make the evaluation process as transparent as possible so that all those involved in the process can participate on an informed basis. It is recognised that the evaluation needs of projects and portfolio vary, and adjustments may be necessary so that the purpose of the evaluation process (broadly, accountability and lesson learning) can be met. Such adjustments should be decided between the Evaluation Manager and the Evaluation Consultant in order to produce evaluation reports that are both useful to project implementers and that produce credible findings.

ADVICE TO CONSULTANTS: As our tools, templates and guidance notes are updated on a continuous basis, kindly download documents from these links during the Inception Phase and use those versions throughout the evaluation.

Document	Name	URL link
1	Evaluation Process Guidelines for Consultants	Link
2	Evaluation Consultants Team Roles (<i>Team Leader and Supporting Consultant</i>)	Link
3	List of documents required in the evaluation process	Link
4	Evaluation Criteria (<i>summary of descriptions, as in these terms of reference</i>)	Link
5	Evaluation Ratings Table (only)	Link
6	Matrix Describing Ratings by Criteria	Link
7	Weighting of Ratings (excel)	Link
8	Structure and Contents of the Inception Report	Link
9	Project Identification Tables (GEF and non-GEF)	Link
10	Template for the Assessment of the Quality of Project Design (Word template)	Link
	Template for the Assessment of the Quality of Project Design (Excel tool)	Link
11	Guidance on Stakeholder Analysis	Link
12	Gender Note for Evaluation Consultants	Link
13	Use of Theory of Change in Project Evaluations	Link
14	Possible Evaluation Questions	Link
15	Structure and Contents of the Main Evaluation Report	Link
16	Cover Page, Prelims and Style Sheet for Main Evaluation Report	Link
17	Assessment of the Likelihood of Impact Decision Tree (Excel)	Link

Document	Name	URL link
18	Financial Tables	Link
19	Template for the Assessment of the Quality of the Evaluation Report	Link

ANNEX V. BRIEF CV OF CONSULTANTS

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.

Dr. Bart Geert Jan KNOLS holds a PhD in Medical Entomology, obtained jointly from the Wageningen University, Netherlands and the Research Centre and National Institute for Medical Research, Tanzania. He is currently teaching at the following institutions / universities: (1) Royal Tropical Institute (KIT), Amsterdam: since 2010, MSc course in International Public Health, modules Malaria epidemiology and Malaria vector biology/entomology and Control; (2) Wageningen University & Research Centre, Wageningen: since 2011 PhD level courses on 'Science communication' and 'The route from academia to entrepreneurship'; (3) RadboudUMC, Nijmegen: since 2015, MSc level courses on Malaria epidemiology and vector biology/entomology and Control, and Dengue fever/vector biology and control; (4) Radboud University, Nijmegen: since October 2016 the master track 'Science, Management and Innovation; (5) University of Amsterdam & VU University Amsterdam: since 2015 MSc course international public health.

Dr Knols has a vast and extensive work experience on vector borne diseases and as owner of companies: (1) 5.5 yrs Kenya (malaria & trypanosomiasis); (2) 2.5 yrs Zambia (trypanosomiasis); (3) 2.5 yrs Tanzania (malaria), (4) 3 yrs United Nations (IAEA; Austria); (5) 7.5 yrs Wageningen University & Research Centre (Netherlands)(malaria); (6) 2.5 yrs University of Amsterdam (malaria); (7) 11.5 years Director K&S Consulting. (8) 3.5 yrs Co-owner Twiga Ventures Ltd. (Uganda). (9) 6 yrs Co-owner and Director at In2Care BV.

Dr Knols is also the Founder and Editor of MalariaWorld, the global scientific and social network for malaria professionals with more than 9800 members in more than 140 countries.

ANNEX VI. QUALITY ASSESSMENT OF THE EVALUATION REPORT

Title of the Evaluand (i.e. project, programme etc):

Establishment of efficient and effective data collection and reporting procedures for evaluating the continued need of DDT for disease vector control” GEF Project ID: 3349

All UNEP 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.

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</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>Final Report:</p> <p>Executive Summary reads well – is clear and of appropriate level of detail.</p>	5
<p>I. Introduction</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>Final Report:</p> <p>Complete and concise.</p>	4

	UNEP Evaluation Office Comments	Final Report Rating
<p>II. Evaluation Methods</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>⁷⁴ 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. Is there an ethics statement?</p>	<p>Final Report:</p> <p>Clear and complete, limitations acknowledged. The limitations meant that more elaborate methods could not be applied.</p>	4
<p>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <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). • <i>Results framework:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners 	<p>Final Report:</p> <p>Complete and concise section</p>	5

⁷⁴During the Inception Phase of the evaluation process a *TOC at Evaluation Inception* is created based on the information contained in the approved project documents (these may include either logical framework or a TOC or narrative descriptions), formal revisions and annual reports etc. During the evaluation process this TOC is revised based on changes made during project intervention and becomes the *TOC at Evaluation*.

	UNEP Evaluation Office Comments	Final Report Rating
<ul style="list-style-type: none"> • <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 • <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 		
<p>IV. Theory of Change</p> <p>The <i>TOC at Evaluation</i> 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 UNEP's 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 <i>TOC at Evaluation</i>. <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>	<p>Final Report:</p> <p>All elements covered.</p>	5
<p>V. Key Findings</p> <p>A. Strategic relevance:</p> <p>This section should include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. An assessment of the complementarity of the project at design (or during inception/mobilisation⁷⁵), 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> <ol style="list-style-type: none"> 1. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) 2. Alignment to Donor/GEF Strategic Priorities 3. Relevance to Regional, Sub-regional and National Environmental Priorities 4. Complementarity with Existing Interventions 	<p>Final Report:</p> <p>Clear and concise.</p>	5
<p>B. Quality of Project Design</p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final Report:</p> <p>Adequate summary</p>	5

⁷⁵ A project's inception or mobilization period is understood as the time between project approval and first disbursement. Complementarity during project implementation is considered under Efficiency, see below.

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<p>C. Nature of the External Context</p> <p>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 upheaval⁷⁶), and how they affected performance, should be described.</p>	<p>Final Report:</p> <p>Requirement met</p>	5
<p>D. Effectiveness</p> <p>(i) Outputs and Project Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project 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>Final Report:</p> <p>Good section despite limited information. The justification for ratings is laid out and the assessment is transparent and credible. However, the small number of respondents, lack of project documentation and low response rates weaken the section.</p>	4
<p>(ii) Likelihood of Impact: 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?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Final Report:</p> <p>The justification for ratings is laid out and the assessment is transparent and credible.</p>	5
<p>E. Financial Management</p> <p>This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.</p> <p>Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> • <i>Adherence</i> to UNEP's financial policies and procedures • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>Final Report:</p> <p>Adequate section although all financial information should have been kept centrally after project completion.</p>	4
<p>F. Efficiency</p> <p>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>	<p>Final Report:</p> <p>Clear and concise</p>	5

⁷⁶ Note that 'political upheaval' does not include regular national election cycles, but unanticipated unrest or prolonged disruption. The potential delays or changes in political support that are often associated with the regular national election cycle should be part of the project's design and addressed through adaptive management of the project team.

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<ul style="list-style-type: none"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint. 		
<p>G. Monitoring and Reporting How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor reports</i>) 	<p>Final Report: Adequate section.</p>	5
<p>H. Sustainability 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 project outcomes including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	<p>Final Report: Adequate section.</p>	5
<p>I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. 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"> • Preparation and readiness • Quality of project management and supervision⁷⁷ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness 	<p>Final Report: Adequate section.</p>	5
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. 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</p>	<p>Final Report: Section complete and strategic questions addressed.</p>	4

⁷⁷ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP 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 UNEP.

	UNEP Evaluation Office Comments	Final Report Rating
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.		
ii) Quality and utility of the lessons: 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.	Final Report: Section complete and now formatted as per requirements.	4
iii) Quality and utility of the recommendations: 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. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.	Final Report: Section complete and now formatted as per requirements.	4
VII. Report Structure and Presentation Quality		
i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Final Report: Follows UNEP's Evaluation Office guidelines.	5
ii) Quality of writing and formatting: 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 follow Evaluation Office formatting guidelines?	Final Report: Good quality writing and formatting.	6
OVERALL REPORT QUALITY RATING		4.7

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.

At the end of the evaluation, compliance of the evaluation process against the agreed standard procedures is assessed, based on the table below. *All questions with negative compliance must be explained further in the table below.*

Evaluation Process Quality Criteria	Compliance	
	Yes	No
Independence:		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?	Y	
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?	Y	
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?	Y	
4. Was the evaluator contracted directly by the Evaluation Office?	Y	
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?	Y	
6. Did the Evaluation Consultant raise any concerns about being unable to work freely and without interference or undue pressure from project staff or the Evaluation Office?		N
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		N/A
Financial Management:		
8. Was the evaluation budget approved at project design available for the evaluation?	Y	
9. Was the final evaluation budget agreed and approved by the Evaluation Office?	Y	
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?	Y	
Timeliness:		
11. If a Terminal Evaluation: Was the evaluation initiated within the period of six months before or after project operational completion? Or, if a Mid Term Evaluation: Was the evaluation initiated within a six-month period prior to the project's mid-point?		N
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?	Y	
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?	Y	
Project's engagement and support:		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?	Y	
15. Did the project make available all required/requested documents?	Y	
16. Did the project make all financial information (and audit reports if applicable) available in a timely manner and to an acceptable level of completeness?	Y	
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?		N/A
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?	Y	
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?	Y	
20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?	Y	
Quality assurance:		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?	Y	
22. Was the TOC in the inception report peer-reviewed?	Y	
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?	Y	
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?	Y	

Transparency:		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?	Y	
26. Did the Evaluation Manager disseminate (or authorize dissemination) of the cleared draft report to the project team, Sub-Programme Coordinator and other key internal personnel (including the Reference Group where appropriate) to solicit formal comments?	Y	
27. Did the Evaluation Manager disseminate (or authorize dissemination) appropriate drafts of the report to identified external stakeholders, including key partners and funders, to solicit formal comments?	Y	
28. Were stakeholder comments to the draft evaluation report sent directly to the Evaluation Office	Y	
29. Did the Evaluation Consultant(s) respond to all factual corrections and comments?	Y	
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?	Y	