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**Mid-Term Evaluation of the UN Environment Project 515.2  
“Operationalization of the Special Programme to support  
institutional strengthening at the national level to enhance the  
implementation of the Basel, Rotterdam and Stockholm  
conventions, the Minamata Convention on Mercury and the  
Strategic Approach to International Chemicals Management”**

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Final Report

Evaluation Office of UN Environment

December 2019



## Evaluation Office of UN Environment

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Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

UNEP Project 515.2  
December 2019

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## **ACKNOWLEDGEMENTS**

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

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**Joint Evaluation:** No

**Report Language(s):** English

**Evaluation Type:** Terminal Project Evaluations

**Brief Description:** This report is a terminal evaluation of a UNEP Programme of Work project implementation began in September 2015 and was ongoing at the time of the evaluation. Whilst the evaluand is described as a project within the UNEP Programme of Work, the intervention pertains to the operationalization of the Special Programme which aims to support, by the issuance of grants to country level partners in the form of small projects; institutional strengthening to enhance the implementation of the Basel, Rotterdam, and Stockholm Conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management.

The evaluation sought to assess the performance (in terms of relevance, effectiveness and efficiency), and determine, as far as feasible, outcomes and impacts (actual and potential) stemming from the Special Programme at mid-point. 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, the BRS Convention Secretariats, SAICM, the GEF, the Special Programme Secretariat, the Special Programme Executive Board and the participating countries.

**Key words:** Capacity building, Basel Convention, Rotterdam Convention, Stockholm Convention, Minamata Convention, chemicals management, waste management enforcement, legislation, regulatory frameworks.

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

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## Acronyms and Abbreviations

BAT	Best Available Techniques
BEP	Best Environmental Practices
BRS	Basel, Rotterdam and Stockholm
CEE	Central and Eastern Europe
COP	Conference of Parties
EA	Executing Agency
EB	Executive Board
GEF	Global Environment Facility
GRULAC	Group of Latin America and Caribbean Countries
LDC	Least Developed Countries
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MTE	Mid-Term Evaluation
MTS	Medium Term Strategy
NGO	Nongovernmental Organization
NIP	National Implementation Plan
PCA	Project Cooperation Agreement
POW	Programme of Work
ProDoc	Project Document
ROM	Results Oriented Monitoring
SAICM	Strategic Approach to International Chemicals Management
SDG	Sustainable Development Goals
SIDS	Small Islands Developing States
SP	Special Programme
SPTF	Special Programme Trust Fund
SSFA	Small Scale Funding Agreements
SSP	Secretariat of the Special Programme
TOC	Theory of Change
ToR	Terms of Reference
UN	United Nations
UNEA	United Nations Environment Assembly

UNEP	United Nations Environment Programme
WHO	World Health Organization

### Project Information (As at October 2019)

Project Number + Project Title	515.2 Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management
Division managing project	Economy Division, Chemicals and Health Branch, UN Environment
Project Manager	Nalini Sharma, Chemicals and Health Branch
Name of Supervisor of UNEP Project Manager	Jacob Duer
Geographical scope	Global
Region	Africa, Asia Pacific, Central and Eastern Europe, Latin America and Caribbean
Geographic Implementation/Countries	<p>Recipient countries for the first round of applications (7): Argentina, Benin, Dominican Republic, Iraq, Kyrgyz Republic, Tanzania, Ukraine</p> <p>Recipient countries for the second round of applications (17): Afghanistan, Belarus, Brazil, China, Ecuador, North Macedonia, Gambia, Ghana, India, Kenya, Kiribati, Nigeria, Papua New Guinea, Republic of Moldova, Serbia, Uganda, Vietnam</p> <p>Recipient countries for the third round of applications (18): Albania, Angola, Bolivia (Plurinational State of), Cambodia, Ethiopia, El Salvador, Eswatini, Iran (Islamic Republic of), Kazakhstan, Micronesia (Federated States of), Nauru, Pakistan, Palau, Palestine (State of), South Africa, Tajikistan, Tunisia, Vanuatu</p>
Donor countries	Austria, Belgium, Denmark, European Union, Finland, Germany, Norway, Sweden, The Netherlands, United States
Programme of Work (PoW)	2016-2017, 2018-2019, 2020-2021
Subprogramme	5. Chemicals and Waste



Expected Accomplishment (EA)	5. (a) Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements
Indicator of the EA to which it contributes to	Increased number and percentage of countries reporting the adoption of policies and regulatory frameworks for the sound management of chemicals and waste, with the assistance of UNEP
PoW Outputs	Output 5 (a) 5. Consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release.
Duration	64 months. Start date: Sep 2016. End date: Dec 2021.
Amount received and pledged as at Oct 2019	US\$26,452,940
Other Divisions/Regional Offices involved: ROA, ROAP, ROE, ROLAC, ROWA, Law Division, Communications Division, Secretariats of the Basel, Rotterdam and Stockholm conventions, Minamata Convention and SAICM	

## Executive Summary

### A. Introduction

[1] This “Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management”<sup>2</sup>, is funded by voluntary contributions from countries and organisations, began implementation in September 2016 and is scheduled to end in December 2021. However, it may be renewed for a further term of five years. It is managed by the Economy Division, Chemicals and Health Branch of the United Nations Environment.

[2] The objective of the Special Programme is to support country-driven institutional strengthening at the national level, in the context of that the Governing Council of the United Nations Environment Programme in 2013 adopted (UNEP/GC.27/12) an integrated approach to address the long term financing of the sound management of chemicals and wastes, composed of three interlinked and mutually supportive components: mainstreaming of sound management of chemicals and waste in national budgets and development assistance plans, industry involvement including designating the responsibilities of industry and the wider business community, and dedicated external financing.

[3] The Special Programme is part of the external financing and takes into account the national development strategies, plans and priorities of each country to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening support under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

[4] The expected outcome of the Special Programme is to promote that sound chemicals and waste management is adequately addressed in international, regional and national decision-making and support that affirmative actions are taken by countries to manage chemicals and waste soundly.

### B. Evaluation Findings and Conclusions

[5] The Mid-Term Evaluation was based on a combination of: (i) in-depth desk review of documents related to the Special Programme; (ii) country missions to Switzerland,

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<sup>2</sup> The Special Programme is formally articulated as a project within UNEP’s Programme of Work.

Belgium and Tanzania; (iii) interviews of stakeholders via face-to-face, Skype or phone; and (iv) information gathered through two survey questionnaires (either English, French or Spanish versions), one on application and another on implementation. In order to assess the likelihood of impact of the Special Programme, a revised theory of change was developed based on the information contained in the project document.

[6] For the first three rounds of applications, 42 project proposals have been approved for funding (1<sup>st</sup> round: 7 projects – US\$ 1.75 million; 2<sup>nd</sup> round: 17 projects – US\$ 5,096,735; 3<sup>rd</sup> round: 18 projects – US\$ 4,703,849). 33 of them are funded to the tune of less than US\$ 251,000 whereas 4 (Angola, Nigeria, Afghanistan and Vietnam) will be in receipt of funding of US\$ 490,000-500,000 by project completion. 25, 14 and 3 projects have a proposed duration of 36, 24-27 and 18-20 months respectively. However only 27 (7 from 1<sup>st</sup> round, 14 from 2<sup>nd</sup> round and 6 from 3<sup>rd</sup> round) are currently being implemented, including the project in Ukraine which has been stopped following the termination of the Project Cooperation Agreement with the implementing agency.

[7] Strategic Relevance. The Special Programme is part of the sub-programme 5 on Chemicals and Waste in the United Nations Environment's Programme of Work, as it provides dedicated support to institutional strengthening at the national level towards the implementation of Strategic Approach to International Chemicals Management, the Minamata Convention on Mercury and the Basel, Rotterdam and Stockholm conventions. It is also in line with the Medium Term Strategy of the United Nations Environment that builds upon the Rio+20 outcome document and the 2030 Agenda for Sustainable Development. The objective of the Special Programme is in line with the Programme of Work of the United Nations Environment, in particular to promote environmental sustainability while contributing to a balanced integration of the economic, social and environmental dimensions of sustainable development. The Special Programme is part of a global effort to promote the sound management of chemicals and wastes. It is complementary to funding provided under the Global Environment Facility and the Special International Programme for the Minamata Convention. Measures, such as the establishment of an Internal Task Team, comprising of representatives of the Secretariats of Basel, Rotterdam and Stockholm conventions, Minamata Convention, Strategic Approach to International Chemicals Management and Global Environment Facility to screen and appraise the country application proposals and the inclusion in guidance documents of what constitutes a Special Programme funded project and what is not, have been correctly addressed to ensure complementarity and avoidance of duplication.

[8] Quality of Design. The Special Programme was properly designed, drawing from lessons learnt from the Global Environment Facility and the Strategic Approach to

International Chemicals Management Quick Start Programme. Many strengths and no major weaknesses were identified. It has a well-structured logical framework with indicators at outcome and output levels, with baseline and targets. The roles and responsibilities of the key partners have been properly described. The proposed Theory of Change has been modified by evaluation to better reflect the changes that need to take place for long-term impact to be realized.

[9] Nature of External Context. As at October 2019, external factors such as conflict and natural disaster did not occur during the implementation of the Special Programme and the Special Programme funded projects. However, the holding of elections and change of government have been reported to delay country project implementation and signing of legal agreement with the recipient countries respectively.

[10] Effectiveness. The Special Programme is currently on target in the delivery of outputs and in some cases already exceeding the set targets within planned budget and timeframe. Outcomes are most likely to be achieved by the end of the Special Programme. No evidence of negative impacts on human health or on the environment as a result of project interventions was observed in the recipient countries. Although too early to predict, there are good chances for achievement of the intended impact - to decrease the negative effects of chemicals and wastes on health – in the long term.

[11] Financial Management. All key and current information on budget and expenditures and financial sheets for the Special Programme and the Special Programme funded projects have been provided. Timely communication was slightly affected due to non-availability of a dedicated budget and finance officer within the Secretariat of the Special Programme in 2017-2019. The amount earmarked was overspent for some activities.

[12] Efficiency. Most of the proposed milestones for the Special Programme have been attained. However, most Special Programme funded country projects are not always implemented as per the initial plan and experienced delays. Signing of some legal agreements took longer than the proposed timeframe.

[13] Monitoring and Reporting. The Special Programme and the country projects have an adequate log frame with SMART indicators proposed and the monitoring and evaluation have been properly budgeted. The log frame was used as basis for monitoring the progress of the Special Programme. Reporting from each country was 'moderately satisfactory' as some delays have been encountered and also the quality of some reports was not satisfactory. Timely progress and update reports are provided to the Executive Board and donor countries as per the terms of reference of the Special

Programme and donor agreements. The reports contain most information required and from interviews with donors, the latter are satisfied with their content and quality. The log frame of the Special Programme may not be adequate to capture changes at national level and all the actions the recipient countries are taking as a result of the implementation of the projects. The addition of a new output and indicators was proposed at the 5<sup>th</sup> Executive Board meeting.

[14] Sustainability. National governments are very committed to soundly manage chemicals and wastes in order to protect the health of their populations and the environment. However, many countries would require to establish cost-recovery mechanisms or need other form of financial assistance for continuation of project benefits. Risks are therefore considered moderate to high. Institutional capacity in most countries is robust enough to continue delivering project benefits beyond the lifetime of the Special Programme.

[15] Preparation and Readiness. There was an adequate mapping of stakeholders and identification of the key actors with proper description of their roles and responsibilities. There is a good relationship and cooperation between the members of the Internal Task Team. Staffing of the Secretariat of the Special Programme improved as work progressed. The amount contributed or pledged by the donors increased by about US\$ 10 million with an increase also in the number of donors. Signing of legal agreements with recipient countries took longer than initially expected.

[16] Quality of Management and Supervision. The approach described in the project document was adopted for the implementation of the Special Programme. Most of the stakeholders recognized the good supervision and coordination work provided by the United Nations Environment, through the Secretariat of the Special Programme. Improved guidance documents were prepared for each subsequent round of applications and the support provided by the Secretariat of the Special Programme in the implementation phase of funded country projects was well appreciated.

[17] Stakeholders Participation and Cooperation. Participation and involvement of the stakeholders in the work of the Special Programme was very satisfactory, which allowed to meet most of the mid-term targets of the Special Programme objectives. The Internal Task Team was actively involved in the appraisal of the country project applications. All the stakeholders contributed to the visibility of the Special Programme by advertising it on their website and also during the various conferences and events organised by them.

[18] Responsiveness to Human Rights and Gender Equity. While the aspect of human rights was not mentioned in the Special Programme project document, that for

indigenous peoples was adequately covered. The involvement of women was adequate at the level of the Secretariat of the Special Programme. However, at funded country project level, whilst it is satisfactory in some countries, in others the attention to gender equity was rather low.

[19] Country Ownership and Driven-ness. High ownership and country driven-ness of projects were seen in the recipient countries. All the countries reported that the projects benefited from a strong government support as well as an active involvement of the key stakeholders.

[20] Communication and Public Awareness. A number of communication tools have been produced that include a website that has been developed to promote the Special Programme, the project results and best practices. E-learning modules are also being developed and are intended to assist countries in developing their application for Special Programme grants. At country level, a number of awareness and training workshops related to the sound management of chemicals and wastes have been held.

#### **Summary of Performance Rating**

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

### **C. Lesson learnt**

During the design of the Special Programme, while planning the log frame for delivery of outputs at the national level, appropriate outputs and indicators should be identified to take into account the sustainability of the country project outcomes and all the actions of the implementing countries.

### **D. Recommendations**

The following recommendations are addressed to:

#### **Secretariat of the Special Programme**

- Revise outcome indicators as the current ones may not be appropriate to capture financial and institutional changes at country level (or reporting to Multilateral Environmental Agreements)
- Provide specific support to countries whose applications had been unsuccessful 2 or more times
- Translate the guidance documents into Russian
- Include a section on human rights and indigenous peoples in the application form
- Put in place a system to ensure appropriate responses from application countries to all comments made by the Internal Task Team on their project proposals
- During notification of country project application outcome, inform officially at least two persons (one should be ideally one full time permanent public officer) and request acknowledgements of the notifications by the recipients
- After approval of country project by the Executive Board, provide a complete list of all requirements and amendments to countries to avoid delays in the signature of the legal agreements
- Monitor progress at both output and results (outcome) level in countries implementing the Special Programme funded projects
- Provide a guidance document on country progress reports which include some examples of good quality reports
- Put in place a system to ensure that countries are fully informed about the Special Programme being a linker linked and mutually supportive element of the integrated approach to long term funding.

## **Secretariat of the Special Programme and the Executive Board**

- Consider including other thematic areas such as marine litter (plastic waste) and health sector, but in the context of Basel, Rotterdam and Stockholm, Minamata conventions or Strategic Approach to International Chemicals Management
- Put an appropriate selection mechanism in place and launch process early enough to ensure that board membership is established before Executive Board meetings
- Introduce alternates for Executive Board members where possible as a replacement in case an Executive Board member is unavailable.
- Ensure that regions / groups of countries be properly represented in the Executive Board
- Provide financial assistance to countries, which already benefited from the Special Programme Trust Fund, but which need further financial assistance for consolidation of country project results
- Increase staffing (at least 1 more staff) at the Secretariat of the Special Programme level due to increasing number of country applications and approved projects and also involve UNEP regional offices where feasible and relevant
- Put a reasonable timeframe (e.g. 6 months) for the signature of legal agreements with the recipient countries
- Consider having E-learning modules in other United Nations languages
- Include the assessment of a sample of completed Special Programme funded projects (e.g. projects having similar themes) in the terms of reference of the terminal evaluation of the Special Programme
- Revise budget allocations for the different planned activities of the Special Programme as the amount earmarked for certain activities has already been overspent

## **Secretariat of the Special Programme and the United Nations Communication Team**

- Provide regular summary of lessons learnt, good practices and success stories and communicating / sharing to relevant groups / stakeholders (e.g. countries and donors)
- Include start and proposed end date for the funded country projects in the project summary found in the Special Programme website



## 1. Introduction

1. The Mid-Term Evaluation (MTE) of the Special Programme (SP) entitled *“Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management”*, which covered the implementation period (February 2016-October 2019), was carried out by an independent consultant for the Evaluation Office of the United Nations (UN) Environment. The Special Programme sought *“To support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle”*. It is expected that institutional strengthening under the SP will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm (BRS) conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management (SAICM). The SP is supported by funds received from donor countries as at October 2019, namely the European Union (US\$ 19,631,656), Sweden (US\$ 3,087,033), United States (US\$ 1,450,000), Norway (US\$ 863,098), Germany (US\$ 815,551), Finland (US\$ 219,954), The Netherlands (US\$ 248,006), Austria (US\$ 65,923), Denmark (US\$ 31,764) and Belgium (US\$ 39,955) for a total contribution and pledge of US\$ 26,452,940.

2. In line with the UN Environment Evaluation Policy<sup>3</sup> and the decision taken at the fourth meeting of the Executive Board (EB) of the SP, the MTE is undertaken to analyse whether the SP is on-track to meeting its objectives, to identify what problems and /or challenges the SP is encountering, and what corrective actions may be required. The MTE will assess the performance and implementation of the SP, its management and governance arrangements and, to the extent possible, if the projects it is funding are contributing to institutional strengthening and building capacity at the national level towards the sound management of chemicals and waste. The evaluation will apply internationally accepted criteria to assess the performance of the SP including: Strategic Relevance; Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; Financial Management; Efficiency; Monitoring and Reporting; and Sustainability. Factors affecting the performance of the SP will also be explored. The evaluation has two primary purposes: (i) to provide evidence of performance and results to meet accountability requirements,

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

and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among the main stakeholders active in the SP including UN Environment, donor and recipient governments. Therefore, the evaluation will identify lessons of operational relevance to the work of the Secretariat of the SP (SSP), of the functioning of the EB and guidance for future formulation and implementation of projects funded by the SP. The Terms of Reference (ToR) of the MTE are given in **Annex 1**.

## **2. Evaluation Methods**

3. In order to assess the likelihood of impact of the SP, a revised theory of change (TOC) was developed based on the information contained in the project document (see section 4). This TOC was discussed with the UN Environment Evaluation Office and the Project Manager of SP. Their comments and feedback were considered to improve the TOC (see Figure 2, Section 4). The TOC was also presented at the fifth EB meeting held in Bangkok in October 2019.

4. The MTE was based on a combination of: (i) a desk review of documents related to the SP; (ii) mission to Geneva on 8-10 July 2019 to meet and interview the SSP, the BRS Secretariat, the Minamata Secretariat, the SAICM Secretariat, a representative of the World Health Organisation (WHO) and the fund management officers of the SP; (iii) mission to Bruxelles on 10 July 2019 to meet and interview the European Union representative on EB; (iv) mission to one beneficiary country (Tanzania) on 14-15 August 2019 to meet and interview the main stakeholders; (v) interviews of EB members during the fifth EB meeting in October 2019; (vi) Skype or phone communication with SSP, EB members, Global Environment Facility (GEF) Secretariat, UNITAR, UN Environment and representative of a beneficiary country (Ukraine); and (vii) information gathered through two survey questionnaires (either English, French or Spanish versions), one on application and another on implementation provided in **Annex 2**. The application survey questionnaire was sent by e-mail to all the countries which submitted a project proposal for funding under SP whereas the implementation survey questionnaire was forwarded to all countries which were already implementing their funded projects. The survey questionnaires were sent by e-mail to the designated contact persons of the submitted projects from beginning to mid July 2019, with soft reminders during mid-August to beginning September 2019. At October 2019, 48 filled questionnaires have been received out of a total of 92, classified into four UN regional groups, namely Africa, Asia-Pacific, Central and Eastern Europe (CEE) and Group of Latin America and Caribbean Countries (GRULAC) as shown in Table 1.

**Table 1: Number of application and implementation questionnaires sent and received**

	Africa	Asia-Pacific	CEE	GRULAC	Overall
<b>Application questionnaires sent</b>	22	25	8	15	70
<b>Application questionnaires received</b>	7 (32%)	15 (60%)	6 (75%)	5 (33%)	33 (47%)
<b>Implementation questionnaires sent</b>	7	6	5	4	22
<b>Implementation questionnaires received</b>	4 (57%)	5 (83%)	4 (80%)	2 (50%)	15 (68%)

5. It is noteworthy that a planned mission to another selected beneficiary country of the first round, namely Ukraine, had to be cancelled due to non-issuance of visa to the evaluator. The list of key stakeholders interviewed either face-to-face or via Skype or phone is given in **Annex 3**. The findings and conclusions for this evaluation were based on the above interviews as well as on an in-depth desk review of project documents (**Annex 4**) and feedback obtained from the two survey questionnaires.

6. Depending on their availability, the different stakeholders were interviewed face-to-face, via Skype or phone during the period beginning July 2019 to mid-October 2019. The interviews were in the form of open discussions based on the questions in the Terms of Reference (ToR), complemented by additional questions developed by the evaluator. Specific questions were asked to the different categories of stakeholders for crosschecking and validation purposes.

7. Availability of information was satisfactory and there was no major barrier or limitation that affected the evaluation process. For instance, a complete set of documentation such as application guidelines and forms, agreements with donors, list and details of projects submitted during the three rounds of applications, Project Cooperation Agreements (PCA), progress reports, technical and financial reports, minutes and papers of EB meetings and communications strategy were submitted to the evaluation at the beginning of the evaluation process. Upon request, additional documents were made available to the evaluation.

### 3. The Special Programme

#### 3.1 Context

8. Chemicals and wastes are a constant reality in daily life all over the world. Chemicals bring many benefits to our life and have an important impact on innovation, trade, employment and economic growth worldwide. Global trends such as population dynamics, urbanization and economic growth are rapidly increasing chemical use, particularly in emerging economies. Wastes are increasingly becoming an essential resource for materials. However, chemicals and wastes, if not soundly managed, can have significant adverse effects on the environment and human health, hampering economic growth and disrupting social development.

9. According to the Global Chemicals Outlook, the WHO found that globally in 2004, 4.9 million deaths (8.3% of the total) and 86 million Disability-Adjusted Life Years (5.7% of total) were attributable to exposure to selected chemicals for which data were available. Thus, it is crucial to promote further actions, at national, regional and global levels, to reach the 2020 goal adopted at the World Summit on Sustainable Development in 2002, that *“by 2020, chemicals are used and produced in ways that lead to the minimization of significant adverse effects on human health and the environment”*.

10. In the outcome document of Rio+20, countries have reaffirmed their aim to achieve the 2020 goal and stressed the fact that many countries, particularly the least developed ones, lack the capacity for sound management of chemicals and waste throughout their life cycles and that additional efforts are needed to enhance work towards strengthening capacities, including through partnerships, technical assistance and improved governance structures.

11. Key findings from national chemicals management profiles that have been developed by a number of developing countries and countries with economies in transition include the lack of appropriate legal framework or poor enforcement, absence of coordination/coordination mechanisms within national governments and among stakeholders, unavailability of information and data sharing mechanisms, difficulty of access to existing information, lack of sustainable human and financial resources and technical expertise, limited knowledge of stakeholders and the public in general regarding risks associated with chemicals and waste and sound management of chemicals and waste, among others.

12. In view of the increased need for sustainable, predictable, adequate and accessible financing for the chemicals and waste agenda, the Executive Director of United Nations Environment Programme (UNEP) made a proposal for an Integrated Approach to financing sound management of chemicals and wastes, that was presented at the 27<sup>th</sup> session of the UNEP Governing Council/Global Ministerial Environment Forum, in February 2013. The UNEP Governing Council, in its Decision 27/12 on Chemicals and Waste Management, welcomed the integrated approach and underscored that the three components of an integrated approach, namely mainstreaming, industry involvement and dedicated external finance, are mutually reinforcing and are all important for the financing of sound management of chemicals and wastes. In addition, it invited Governments to consider establishing, through an existing institution, a Special Programme.

13. The first session of the United Nations Environment Assembly (UNEA-1), in June 2014, in resolution 1/5 on Chemicals and Waste, adopted the ToR for a Special Programme, to be funded by voluntary contributions, to support institutional strengthening at the national level to enhance the implementation of the BRS conventions, the Minamata Convention on Mercury and the SAICM. The SP is one of two complementary elements of dedicated external financing under the integrated approach, with the GEF being the other element.

14. The expected outcome of the SP is to ensure that sound chemicals and waste management is adequately addressed in international, regional and national decision-making and affirmative actions are taken by countries to manage chemicals and waste soundly.

15. The design of the SP was pursuant to UNEA-1 resolution 1/5 (June 2014) that requested UN Environment to provide a Trust Fund and a Secretariat to deliver administrative support to the Programme. The main outputs would include: the establishment of a SP EB, the establishment of a Special Programme Trust Fund (SPTF) and its Secretariat, and the development of a **Project Document**<sup>4</sup> to fully operationalize the SP, in accordance with the mandate provided by governments at UNEA-1.

16. The objective of the SP is in line with the Programme of Work of the UN Environment, in particular to promote environmental sustainability while contributing to a balanced integration of the economic, social and environmental dimensions of

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<sup>4</sup> The Project Document defines the evaluand for this Mid-Term Evaluation

sustainable development. It is also in line with the Medium Term Strategy of the UN Environment that builds upon the Rio+20 outcome document and the 2030 Agenda for Sustainable Development.

17. The SP, also known now as the Chemicals and Waste Management Programme, is part of the sub-programme 5 on Chemicals and Waste in UNEP's Programme of Work, as it provides dedicated support to institutional strengthening at the national level towards the implementation of SAICM, the Minamata Convention on Mercury and the BRS conventions.

18. The SP was established in September 2015, together with the SPTF.

### 3.2 Objectives and Components

19. The objective of the SP is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. For the purposes of the SP, institutional strengthening is defined as enhancing the sustainable institutional capacity of Governments to develop, adopt, monitor and enforce policy, legislation and regulation, as well as to gain access to financial and other resources for effective frameworks for the implementation of the BRS conventions, the Minamata Convention and the SAICM for the sound management of chemicals and wastes throughout their life cycle. The goal of the SP was that countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly including the implementation of related provisions in the Multilateral Environmental Agreements (MEAs) and thus negative effects on human health and environment decrease and the positive effects of chemicals and waste on economies increase.

20. The SP's logical framework has one outcome and three outputs, each associated with indicators as given below.

21. **Outcome:** *Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans.*

The expected outcome of the SP is to strengthen the capacities of national institutions to do the following:

- (i) Develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and waste;
- (ii) Promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound management of chemicals and waste;
- (iii) Promote the mainstreaming of the sound management of chemicals and waste into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication;
- (iv) Work in a multi-sectoral, effective, efficient, transparent, accountable and sustainable manner in the long term;
- (v) Facilitate multi-sectoral and multi-stakeholder cooperation and coordination at the national level;
- (vi) Promote private sector responsibility, accountability and involvement;
- (vii) Promote the effective implementation of the BRS conventions, the Minamata Convention and the SAICM;
- (viii) Promote cooperative and coordinated implementation of the BRS conventions, the Minamata Convention and the SAICM at the national level.

***Indicators:***

- Number of countries using the financial support of the SPTF to ratify or are in the process of ratifying the BRS conventions, or the Minamata Convention (Baseline: 0; Target: 10)
- Number of countries using the financial support of the SPTF to implement national implementation plans for chemicals and waste management (Baseline: 0; Target: 5)
- Number of countries using the financial support of the SPTF to develop national legislation on chemicals and waste management (Baseline: 0; Target: 5)

22. **Output A:** *Management of the Special Programme Trust Fund and providing secretariat services to the Special Programme Executive Board.*

The SP will be administered by UNEP, which will provide the SPTF and a secretariat to deliver administrative support to the Programme.

**Indicators:**

- Number of EB meetings (including teleconferences) (Baseline: 2; Target: 7)
- Number of guidance documents and application forms prepared to support development of projects (and include gender considerations) to address the sound management of chemicals and waste (Baseline: 4; Target: 8)
- Number of projects screened, reviewed and appraised by the secretariat for funding by the SPTF (Baseline: 54; Target: 99)

23. **Output B:** *Technical assistance for development of the project applications and the management of the Special Programme approved projects in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board*

**Indicators:**

- Number of application cycles for the SP (Baseline: 0; Target: 6)
- Number of SSFAs with recipient countries (Baseline: 0; Target: 50)
- Number of reports summarising the final project reports and financial audits per project cycle ((Baseline: 0; Target: 2)

24. **Output C:** *Communication products and services developed and activities conducted to influence key stakeholders on the sound management of chemicals and waste*

**Indicators:**

- Number of communications tools and services provided to support the sound management of chemicals and waste (Baseline: 0; Target: 10)
- Targeted communication and outreach events for relevant sectors undertaken (e.g. agriculture, health, environment, labour, industry, gender) (Baseline: 0; Target: 5)

25. The SP is designed to fund projects submitted by national governments aimed at institutional strengthening to implement the BRS conventions, the Minamata Convention and SAICM implementation plans.

26. At October 2019, there have been three rounds of applications. For the first round (April to July 2016), a total of 54 applications were received from 45 countries, out of which projects from 7 countries (Benin, Tanzania, Iraq, Kyrgyz Republic, Ukraine,



Argentina and Dominican Republic) were selected for funding. For the second round (February to June 2017), 37 countries submitted 43 applications and 17 country projects (Afghanistan, Belarus, Brazil, China, Ecuador, North Macedonia, Gambia, Ghana, India, Kenya, Kiribati, Nigeria, Papua New Guinea, Republic of Moldova, Serbia, Uganda and Vietnam) were approved for funding. As for the third round (February to June 2018), out of 34 applications received from 32 countries, projects from 18 countries (Albania, Angola, Bolivia, Cambodia, Ethiopia, El Salvador, Eswatini, Iran, Kazakhstan, Micronesia, Nauru, Pakistan, Palau, Palestine, South Africa, Tajikistan, Tunisia and Vanuatu) were approved.

### **3.3 Stakeholders and Target Groups**

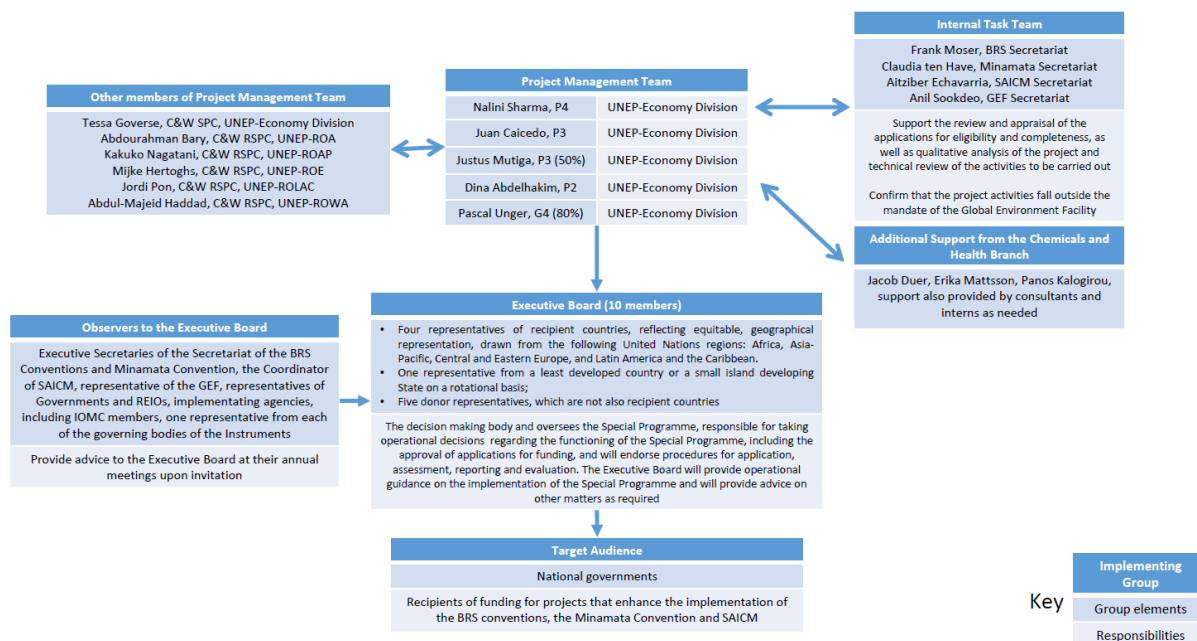
27. The mapping of stakeholders has been properly done. The main stakeholders and beneficiaries of the SP are national governments. The SP design document also recognizes that civil society and the private sector are relevant stakeholders in the sound management of chemicals and waste at the national level, and thus may also be considered as key partners in its design. The secretariat of the BRS conventions, the interim secretariat of the Minamata Convention, the SAICM secretariat and the GEF secretariat have been identified as key stakeholders with whom the SSP will work in close collaboration. The influence, role and responsibilities of these stakeholders as a result of their involvement in the SP were discussed in detail in the design document. The final beneficiaries are the population of the recipient countries as the health of people will be enhanced by the sound management of chemicals and waste.

28. From survey questionnaires, it was observed that the main stakeholders involved in the preparation of SP project proposals were national government or national institutions. Many countries have involved also as stakeholders, academia, the private sector and non-governmental organisations. Involvement of private sector was notable, for example, in Argentina, Benin and Tanzania.

### **3.4 Implementation Structure and Partners**

29. The SP is managed by the Economy Division of the Chemicals and Health Branch of UN Environment. The decision making flowchart and organigram to manage the SP is given below (Figure 1).

**Figure 1: Organizational Chart of the SP**



30. The Project Management Team as at October 2019 comprises a full-time Project Manager who is supported by one Programme Officer, one Associate Programme Officer, one Administrative Officer and one part-time Fund Management Officer. The Project Manager is the day-to-day implementer and coordinator who is responsible for the implementation and reporting of activities for delivery of project outputs. The Project Manager liaises with and works collaboratively with the national project focal points to ensure activities are implemented on time and monitor progress. The Project Manager has the overall responsibility for executing the SP on behalf of UNEP.

31. The EB is the decision-making body and oversees the SP and is responsible for taking operational decisions regarding the functioning of the SP, including the approval of applications for funding, and endorsing procedures for application, assessment, reporting and evaluation. The EB provides operational guidance on the implementation of the SP and provides advice on other matters as required.

32. The EB is reflective of a balance between donors and recipients. The EB is composed of four representatives of recipient countries, reflecting equitable, geographical representation, drawn from the following UN regions: Africa, Asia-Pacific, CEE, and Latin America and the Caribbean, one representative from Least Developed Countries (LDC) or Small Islands Developing States (SIDS) on a rotational basis, and five donor representatives, which are not also recipient countries. The term of the

representatives is a two-year rotation. The EB is generally co-chaired by a representative of one donor member and a representative of one recipient country.

33. It was noted that an EB member representing a recipient country, which had submitted an application would be recused from both the substantive discussion and decision making on the respective application. This was the case for the Board members representing North Macedonia and Pakistan in the first round.

34. Observers to the EB include: Executive Secretaries of the Secretariat of the BRS conventions and Minamata Convention, the Coordinator of SAICM, a representative of the GEF, representatives of Governments and regional economic integration organizations, implementation agencies, and one representative from each of the governing bodies of the Instruments, who may attend EB meetings at their own expense.

35. An Internal Task Team, formalised by the EB at its second meeting, was set up to assist the SSP in the appraisal of the applications received from developing countries and countries with economies in transition. The Internal Task Team comprises representatives from the secretariats of the BRS conventions, the Minamata Convention, the SAICM and the GEF.

### **3.5 Changes in Design during Implementation**

36. In October 2019, the evaluation was made aware that the UN Environment project *“Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (SAICM)”* is undergoing a revision to, amongst other things, reflect the additional pledges and contributions received since October 2016. However, the evaluation will be mainly based on documentation made available up to September 2019. Furthermore, only minor comments will be made on the outcome of the fifth EB meeting.

37. The implementation of SP funded projects by countries encountered some delays due to a variety of reasons. For the seven projects funded during the pilot cycle (1<sup>st</sup> round), four no-cost extensions were granted to allow for completion of project activities and one project was stopped pending further development (Refer to section 5.6).

### 3.6 Financing

38. Funding for the SP is provided through voluntary contributions. The contributions and pledges by donors since the establishment of the SPTF in September 2015 up to 31 August 2019 are shown in Table 2. The total amount of contributions and pledges as at 31 August 2019 is US\$ 26,452,940, with the European Union being the major donor.

39. In addition, some donors provided financial resources towards the operations of the SP (e.g. convening of the EB meetings, outreach and communications) and the SSP.

40. In line with the ToR of the SP, all signatories and parties to the conventions and other Governments with the capacity to do so, as well as the private sector, including industry, foundations and non-governmental organizations and other stakeholders, are encouraged to contribute to the SPTF.

41. It is noteworthy that the contributions and pledges and the number of donors have increased since the inception of the SP. In April 2016, there were seven donors with a total contribution of US\$ 16,469,383 (source: ProDoc) whereas at May 2018 and at 31 August 2019, a total contribution and pledge of US\$ 17,188,907<sup>5</sup> and US\$ 26,452,940<sup>6</sup> respectively from ten donors were secured. Thus, an additional US\$ 10 million in contributions from donors have been pledged or received.

**Table 2: Contributions and pledges received (2015-2019)<sup>7</sup>**

Donor	Total amount pledged* /contributed (US\$) at April 2016	Total amount pledged* /contributed (US\$) at August 2019
European Union	11,820,000	11,676,996
European Union (top-up)*	-	7,954,660
Sweden*	2,879,232	3,087,033
United States	1,237,750	1,450,000
Norway		863,098
Germany	201,117	815,551
Finland	220,000	219,954
The Netherlands	66,592	248,006

<sup>5</sup> Progress report on the SP for the period February 2016 to August 2018

<sup>6</sup> Update on the operations of the Special Programme, including the secretariat and budget, Fifth meeting of EB, 6-7 Oct 2019

<sup>7</sup> Update on the operations of the Special Programme, including the secretariat and budget, Fifth meeting of EB, 6-7 Oct 2019

Donor	Total amount pledged* /contributed (US\$) at April 2016	Total amount pledged* /contributed (US\$) at August 2019
Austria	44,692	65,923
Denmark		31,764
Belgium		39,955
<b>Total contributions and pledges*</b>	<b>16,469,383</b>	<b>26,452,940</b>

#### 4. Theory of Change at Evaluation

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

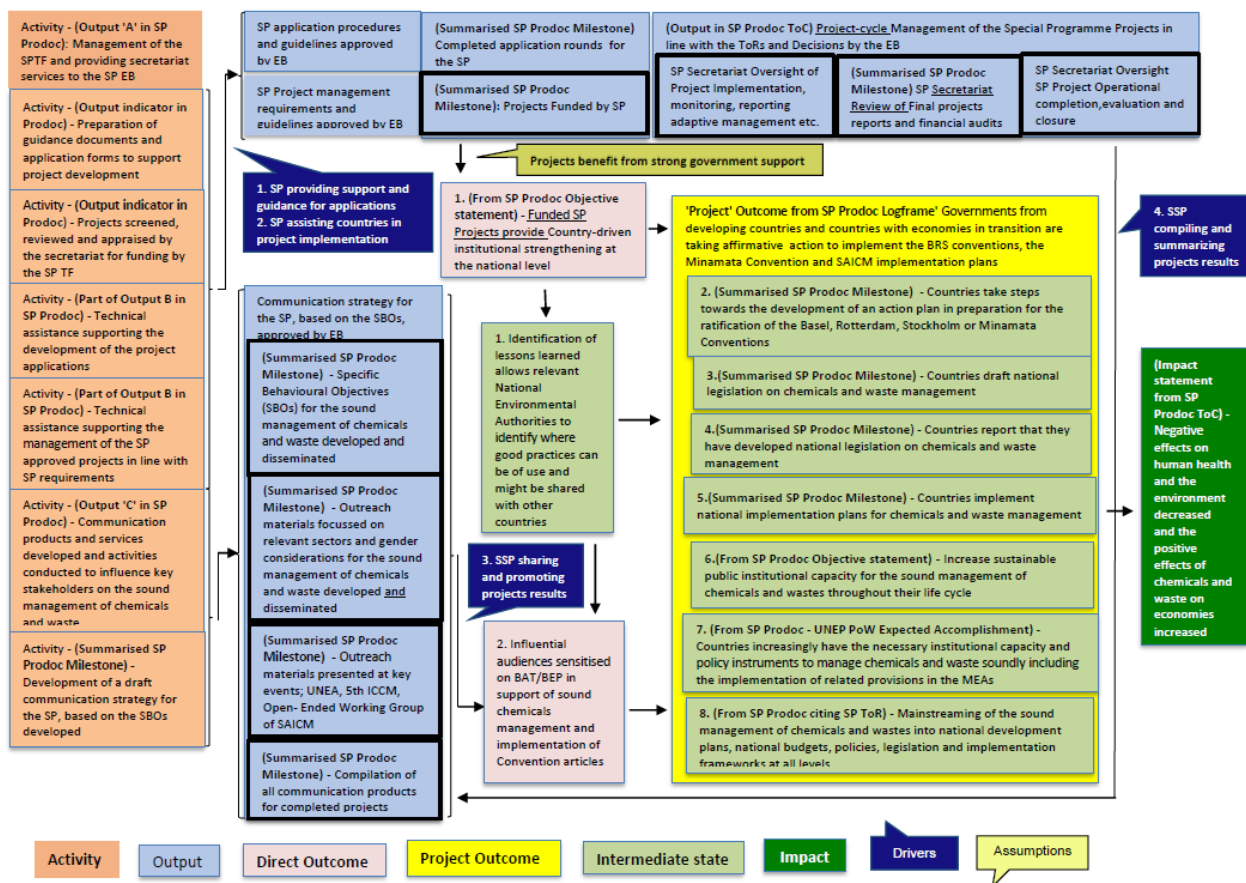
42. A TOC has been proposed in the project document<sup>8</sup>, and it supports the overall TOC for the UN Environment's Chemicals and Waste sub-programme, and in particular it is responding to expected accomplishment of policies and legal, institutional and fiscal strategies and mechanisms for sound chemicals management developed or implemented in countries within the framework of relevant MEAs and the SAICM.

43. Although the TOC seems adequate to explain the changes that need to operate for impact, it does not however clearly explain the causal pathways from outputs, through direct outcomes (changes in stakeholder behaviour) and intermediate states towards impact. It could also have benefited from some assumptions and drivers, which would have guided management of the SP on key actions to ensure that the likelihood of intended impact is maximised. In that regard, the proposed modified TOC (Figure 2) includes a set of activities, two direct outcomes and a new set of intermediate states as well as assumptions and drivers, which better explains the behavioural changes that need to occur at national level to achieve impact. Except for direct outcomes, assumptions and drivers, the activities, outputs and intermediate states are directly adapted from the project document as indicated in Figure 2. For example, the set of activities proposed are in fact outputs, output indicators or milestones given in the logical framework.

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<sup>8</sup> Section 3.1 of the project document

Figure 2: Proposed Theory of Change for the Special Programme



44. The key features of the modified TOC are the inclusion of direct outcomes, assumptions and drivers that highlight the key causal pathways to realize impact. For instance, it is essential that influential key stakeholders are aware of the benefits of Best Available Technologies (BAT) and Best Available Practices (BEP) in support of sound management of chemicals and fulfilling their obligations towards the MEAs (Direct Outcome 2). This would contribute to influence policymakers and other key national stakeholders to take informed decision that would increase the likelihood of the proposed intermediate states and help realize impacts in the long term. Effective communication and sharing of information is therefore one of the key aspects of the TOC for impact and the SSP has a vital role to play by regular summarization of project results and their sharing (Drivers 3 and 4 in TOC).

## 5. Evaluation Findings

### 5.1 Strategic Relevance

45. The operationalization of the SP to support institutional strengthening at the national level to enhance the implementation of the BRS conventions, the Minamata Convention on Mercury and the SAICM is directly relevant to the role of the UN Environment, which is the leading global environmental authority that sets the global environmental agenda and promotes the coherent implementation of the environmental dimension of sustainable development within the UN system. It is noteworthy that the UN Environment is heavily involved in the above four MEAs and in the policy framework of SAICM, notwithstanding the important roles played by the Food and Agriculture Organization in the Rotterdam Convention, the WHO and the Inter-Organization Programme for the Sound Management of Chemicals (IOMC) in SAICM.

46. The SP is highly relevant as by supporting the implementation of the MEAs and SAICM in the recipient countries, chemicals and wastes will be managed in a more effective manner and there would be a decrease in adverse effects on human health and the environment. In addition, the objective of the SP to support country-driven institutional strengthening at the national level would help in instilling ownership of the national governments in chemicals and wastes. The funded projects have to be designed so as to be consistent with national development plans and strategies.

47. According to the Global Chemicals Outlook II<sup>9</sup>, the WHO in 2018 estimated the burden of disease from exposure to selected chemicals for which reliable global data exist at around 1.6 million lives and around 45 million disability-adjusted life years in 2016. The lives of many more are negatively impacted. International treaties and voluntary instruments have reduced the risks of some chemicals and wastes, but implementation gaps remain. Addressing legislation and capacity gaps in developing countries remains a priority. Also, resources have not matched needs, thus the importance and relevance of the SP in helping recipient countries in improving their sound management of chemicals and wastes.

48. The SP is also highly relevant to the recipient countries as the expected outcomes of institutional strengthening include amongst others, to promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound

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<sup>9</sup> Global Chemicals Outlook II From Legacies to Innovative Solutions: Implementing the 2030 Agenda for Sustainable Development – Synthesis Report (2019)  
[https://wedocs.unep.org/bitstream/handle/20.500.11822/27651/GCOII\\_synth.pdf?sequence=1&isAllowed=y](https://wedocs.unep.org/bitstream/handle/20.500.11822/27651/GCOII_synth.pdf?sequence=1&isAllowed=y)

management of chemicals and wastes; to promote the mainstreaming of the sound management of chemicals and wastes into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication; and to promote the effective implementation of the BRS conventions, the Minamata Convention and SAICM.

49. The SP is also of significant relevance for implementing the 2030 Agenda for Sustainable Development and its 17 Sustainable Development Goals (SDGs) adopted by the General Assembly of the United Nations in September 2015. SDG 3 (Ensure healthy lives and promote well-being for all at all ages) Target 3.9 (*By 2030, substantially reduce the number of deaths and illnesses from hazardous chemicals and air, water and soil pollution and contamination*), SDG 12 (Ensure sustainable consumption and production patterns) Target 12.4 (*By 2020, achieve the environmentally sound management of chemicals and all wastes throughout their life cycle, in accordance with agreed international frameworks, and significantly reduce their release to air, water and soil in order to minimize their adverse impacts on human health and the environment*) and SDG 6 (Ensure access to water and sanitation for all) Target 6.3 (*By 2030, improve water quality by reducing pollution, eliminating dumping and minimizing release of hazardous chemicals and materials, halving the proportion of untreated wastewater, and substantially increasing recycling and safe reuse globally*) are specifically related to the sound management of chemicals and waste. While Targets 3.9, 12.4 and 6.3 are of direct relevance to chemicals and waste management, the sound management of chemicals and waste cuts across the 17 SDGs as chemicals and waste affect many aspects of development. Supporting implementation of BRS conventions, the Minamata Convention and SAICM will make significant contributions towards implementation of the 2030 Agenda.

50. As at October 2019, 187, 161, 183 and 114 countries are parties to the Basel, Rotterdam, Stockholm<sup>10</sup> and Minamata conventions<sup>11</sup> respectively. In addition, reporting rates under Basel and Stockholm conventions are less than 52% for both the 2017 National Report on the Basel Convention (97 submitted) and the 4<sup>th</sup> National Report on the Stockholm Convention (78 submitted), with many of them submitting after the deadline. Out of the 42 recipient countries of the first three rounds of funding from SP, all of them are already party to the Basel and Stockholm conventions whereas 8 and 19 are not parties to Rotterdam and Minamata conventions respectively. In addition, 26 of them have not yet submitted their national reports on the Basel Convention and

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<sup>10</sup> Basel, Rotterdam and Stockholm conventions website, <http://www.brsmeas.org/>

<sup>11</sup> Minamata Convention website, <http://www.mercuryconvention.org/>



Stockholm Convention. The SP is thus relevant as one of the outcome indicators is the number of countries using the financial support of the SPTF to ratify or are in the process of ratifying the BRS conventions, or the Minamata Convention (Baseline: 0; Target: 10), and the SP aims also to strengthen the institutional capacity of the recipient countries to implement the MEAs as the countries face several challenges in fully implementing the MEAs such as lack of appropriate legal framework, poor enforcement of existing legal framework, absence of coordination among the institutions responsible for chemicals and waste management, lack of access to information, and inadequate human capacity and financial resources.

51. There may be a possible overlap with projects under other funding mechanisms, in particular the GEF and the newly launched Special International Programme (SIP) for the Minamata Convention. Complementarity and avoidance of duplication is ensured by the establishment of an Internal Task Team, comprising of representatives of the Secretariats of BRS conventions, Minamata Convention, SAICM and GEF. The Internal Task Team supports the SSP in the appraisal of the project applications. Complementarities between projects funded under the SP and the GEF-funded Minamata Initial Assessment (MIA) in Argentina and Tanzania have also been observed.

52. Based on the above, the rating for Strategic Relevance is '**Highly Satisfactory**'.

## 5.2 Quality of Design

53. The quality of the SP design is based mainly on the completed assessment<sup>12</sup> done for the inception report. This assessment was done using the project design assessment tool of the UN Environment Evaluation Office and was restricted to information given in the ProDoc.

54. The main **Strengths** identified include:

- Development of SP through a consultative process involving governments, intergovernmental agencies, civil society, industry and experts
- Benefited from GEF and SAICM experience for the design
- The ProDoc provides a clear and consistent presentation problem and a comprehensive situation analysis of countries lacking institutional capacity for the sound life cycle management of chemicals and associated wastes.

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<sup>12</sup> Annex C of the Inception report for this mid-term evaluation. It is an Excel sheet rating the different aspects of project design.

- Highly relevant initiative built within a larger global effort in order to strengthen the sound management of chemicals and waste by building institutional capacity in the relevant national environmental authorities taking into account national needs and priorities and new emerging issues
- Adequate mapping of stakeholders considered and identification of key ones with proper description of their roles and responsibilities
- Proposed SP organigram is adequate. Membership as well as ToR of EB clearly spelled out in ProDoc.
- Well-structured logical framework with indicators at outcome and output levels, with baseline and targets, for dialogues or data collection and sharing, or reporting to Convention Secretariats.
- Adequate consideration of the gender issue, aiming particularly to promote a multi-stakeholder approach to ensure the participation of women and vulnerable populations in policy developing and decision-making processes
- Proposal of a MTE to gauge the progress and performance of the SP and propose any recommendations.

55. No major weaknesses have been identified. However, the TOC could have benefited from assumptions and drivers. The proposed TOC has been modified by evaluation to better reflect the changes that need to take place for long-term impact to be realized. In addition, indicators for outcome may not be appropriate to capture actual changes at national level such as the establishment and functioning of national mechanisms / tools (e.g. committees or database).

56. Rating for Quality of Design is '**Highly Satisfactory**'.

### **5.3 Nature of External Contact**

57. As at October 2019, external factors such as conflict and natural disaster did not occur during the implementation of the SP and the SP funded projects. However, the holding of elections has been reported to delay implementation for one funded country project (Tanzania) and change in government in delay in signing of legal agreement in another (Brazil). As project implementation has not been much impeded, rating for this criterion is '**Favourable**'.

## 5.4 Effectiveness

### 5.4.1 Achievement of Outputs

58. The achievements of outputs as at October 2019 are based on those proposed for the reconstructed TOC (Figure 2). The three outputs were designed to contribute to one outcome, namely *“Governments from developing countries and countries with economies in transition are taking affirmative action to implement the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and SAICM implementation plans”*. The first output A pertains to the management of the SPTF and providing secretariat services to the SP EB. The second output B is concerned with technical assistance for the development of the project applications and of the management of the SP approved projects in line with the ToR of the SP and guidance by the SP EB. Finally, the last output C is related to communications products and services developed, and activities conducted to influence key stakeholders on the sound management of chemicals and waste.

59. For the first output A (management of the SPTF and provision of secretariat services to SP EB), three indicators were proposed, namely: (i) number of EB meetings, (ii) number of guidance documents and application forms, and (iii) number of projects screened, reviewed and appraised by Secretariat for funding by the SPTF. As at October 2019, five EB meetings have already been held as planned, ten guidance documents and application forms have been prepared to support development of projects, exceeding the target of 8 planned before the end date of the SP, and in the first three rounds of applications, the SSP has already screened, reviewed and appraised 99 proposals (Table 3) which meets the target set for the end of the SP.

**Table 3: Number of applications received by SSP and number of applications considered by EB for the first three rounds**

		Africa	Asia-Pacific	CEE	GRULAC	Overall
Round 1	No of applications received	20	19	5	10	54
	No of applications considered by EB	16	11	5	10	42
	No of applications approved	2	2	1	2	7
Round 2	No of applications received	12	20	5	6	43
	No of applications considered by EB	7	15	5	6	33
	No of applications approved	5	6	4	2	17

		Africa	Asia-Pacific	CEE	GRULAC	Overall
Round 3	No of applications received	13	14	2	5	34
	No of applications considered by EB	8	9	2	5	24
	No of applications approved	5	9	2	2	18
Overall	Total number of received applications	45	53	12	21	131
	<b>Total number of considered applications</b>	31	35	12	21	99
	<b>Total number of approved applications</b>	12	17	7	6	42

60. Feedback received, either from interviews conducted face-to-face or through Skype, indicated that EB members were highly appreciative of the secretariat services provided by SSP to the SP EB. The agenda and papers, including the summary of appraisals of project applications, if applicable, are normally sent to the Board members one month before the scheduled meetings to enable members to have enough time to go through the papers and applications.

61. The guidance documents and application forms developed during the launch of the first round of applications were revised before the launch of the second round of applications based on feedback from applicants and EB members to facilitate the application process. The revised application guidelines, available on the SP website, provided detailed steps on how to complete the forms and what information would be required for the submission of applications. The above forms were again revised before the launch of the third round of applications. More explanations and examples of proposed measures, associated domestic measures, budget and funding summary, detailed description of each proposed measure, detailed description of associated domestic measures, detailed information on project management and implementation, description of project logical framework at the outcome and output level, project assumptions and mitigation measures, project gender consideration and mainstreaming component, and project work plan were provided to ease the application process by application countries. It was also recommended that each country submits preferably only one application. In addition, the application guidelines were translated into Arabic, French and Spanish and were made available on the SP website. Moreover, the revised version contains guidance on what constitutes an SP project and what is not. At its fourth meeting, the SSP was requested by EB to review the guidelines and application forms for the fourth round of applications taking into account, as

appropriate, the lessons learnt and best practices from previous rounds of applications. Revised application guidelines taking on board the comments provided by proponents of previous applications and those provided by the EB of the SP at its third and fourth meetings were considered and approved at the fifth meeting of EB in October 2019. The guidelines have been separated into two documents: *"Guidance on the scope of the Special Programme"* and *"Guidelines on the completion of Special Programme Application Forms"*.

62. Two questions related to the effectiveness of the application process were asked in the survey questionnaires, namely: *"Were the guidelines provided adequate to develop the project proposal? If not, what were the main challenges? How were they overcome? Was language a barrier for the application?"* and *"Any modification you might think of that would improve on the application process?"*.

63. Out of 33 country responses received for the first question, 17 replied that the developed guidelines were adequate with no comments whereas one (Moldova) stressed that the improvements made in the text of the guidelines for the 2<sup>nd</sup> round of applications were beneficial as the revised guidelines provided more specific information for some sections in the form of box description, and were clearer and proved quite useful. Representatives from 15 countries considered that the guidelines were somewhat adequate but mentioned or made the following challenges/comments:

- Challenging regarding indicators and means of verification (*Benin, Bolivia*)
- Challenging to provide detailed budgets (*Côte d'Ivoire, Bolivia*)
- Some language problems (*Côte d'Ivoire, Belarus, Dominican Republic*)
- Guidelines in Russian requested (*Tajikistan*)
- Time consuming and quite challenging if doing it first time (*South Africa*)
- Guidelines rather complicated particularly for the Work Plan format (*Tanzania*)
- Not much written guidelines during second round of applications (*Bhutan*)
- Provision of internship programs or workshop to equip proposal drafters with required skills and technicalities (*Iran*)
- Need for support in preparing and writing the proposal along with well scoped guidelines (*Iraq*)
- Application forms were a bit cumbersome to complete with some overlapping sections (*Kyrgyz Republic*)
- Guidelines very complicated (*Palestine*)
- Some difficulties in the costing of the project (*Belarus*)

- Questions in the application form are sometimes redundant (*Tajikistan*)
- As proposals had to be submitted in English, there are difficulties in translating technical terms (*Bolivia*)
- In countries where the management of chemicals is guided by several ministries, project funding applications can be led by any of those ministries (*Colombia*)
- The maximum amount (5%) established for contracting an executing agency is very small and hence it is not of interest to any Agency (*Colombia*).
- In the guidelines for the item “*Personnel and service-related expenses to be hired should not exceed 50% of the amount requested from the SP Trust Fund*”, more clarity is requested whether the term “*personnel*” includes the hiring of technical experts or administrative personnel (*Colombia*).
- Initial proposal be in the native language of the proponents (*Panama*)
- Coordination with potential project participants (*Panama*)

64. Comments received for the second question included the following:

- Some clarification on budget items “*Supplies Commodities and Materials*” and “*Operating and Other Direct Costs*” (*Benin*)
- Acceptance of proposals in other languages such as French and Russian (*Benin, Côte d’Ivoire, Belarus*)
- Guidance in the native language of the proponents will be of great help. Training would also be helpful (*Panama*)
- SP application form too long and cumbersome, needs simplification (*Gambia*)
- Give opportunity to island states and developing countries (*Madagascar*)
- Speed at which applications are processed and feedback from SSP too long and should be significantly improved to keep track of the development of the proposal and the momentum thereof (*South Africa*)
- Format of the Work Plan need to be simplified (*Tanzania*)
- More clarification on eligibility or not to GEF funds (*Afghanistan*)
- Online tracking system during the application stage could be put in place (*India*)
- Addition of interactive links to external sources might prove helpful in meeting the requirements of application (*Iran*)
- The SSP should be involved at the early stages of developing the proposal (*Iraq*)
- The outputs of the SP are general and broad. Need for more precise components (*Iraq*)

- It could be helpful to make the application less cumbersome and reduce overlapping sections (*Kyrgyz Republic*)
- A better definition of what would be acceptable and what not (*Lebanon*)
- SSP could try and make such programmes and opportunities more visible to small island states (*Nauru*)
- The contribution from countries seems high. The endorsement letters from the stakeholders should be requested after the initial approval of the proposed project (*Palestine*)
- Principles of calculation and approximate cost of international expert to be described in more detail (*Belarus*)
- Putting the deadlines for the application in summer may jeopardize submission due to vacation period (*Moldova*)
- The process should be more consistent and faster (*Tajikistan*)
- A permanent Support Advisory Group could be made available to resolve doubts and queries arising during the formulation period of proposals (*Colombia*)
- All the data in the form be requested at the same time together from the first time so as not to delay the process (*Dominican Republic*).
- The main reason for the non-approval of the proposal was to have exceeded the maximum of 5% for administrative fees, a situation that was a strong limitation because an executing agency whose costs were sufficiently low could not be identified (*Colombia*).
- Our proposal emanating from the Ministry of Health was not selected. We could not get the support of the GEF Focal Point in our country, who is under the authority of the Ministry of Environment, and we do not know about the management of the program funds (*Panama*).

65. From the responses received, more than half were satisfied with the guidance documents and application forms and did not encounter major problems in submitting their application proposal. On the other hand, various comments and challenges indicated by representatives of the countries have already been taken up on board in the revised guidance documents and application forms which have greatly improved from the first to the third round of applications. It is to be noted that many comments were made by first round and second round applicants who were expressing their views at the time of their application proposal.

66. The evaluation is of the view that the SSP, following feedback received from EB and recipient countries and donors, has made substantial efforts to simplify and facilitate the submission of application proposals by countries by revising for each

round the application form and guidance documents. However, it is to be noted that in common with the observations made by the European Commission Results Oriented Monitoring (ROM) review of the SP, the guidance documents do not include information such as the tentative timeline from the submission of the proposals to the signature of the contracts and to the start of the implementation, and more details on the proposals' evaluation criteria. It is noteworthy that the revised guidance documents prepared currently for the fourth round of applications and presented at the fifth EB meeting have provided information on the above. The evaluation noted also that though Russian is one of the official UN languages, no translation of the guidance document into Russian was made available which proved to be a challenge for one CEE country.

67. For the first three rounds of applications as indicated in Table 3, by the application deadline a total of 131 proposals were received by the Secretariat. After screening the applications for their eligibility and completeness, 99 country project proposals were reviewed and appraised by the SSP, supported by an Internal Task Team consisting of members from the Secretariat of the GEF, SAICM, BRS and Minamata Conventions. During the screening process the SSP may request additional information or clarifications from the applicant to facilitate the eligibility and completeness process, which have been verified by the evaluation. It is noteworthy that for the first round of applications, the Internal Task Team did not comprise a representative from the GEF Secretariat but the latter reviewed the applications before the EB meeting.

68. For the second output B (*Technical assistance for development of the project applications and the management of the SP approved projects in line with the ToR of the SP and guidance by the SP EB*), the three proposed indicators were: (i) number of application cycles for the SP (Baseline: 0; Target: 6); (ii) number of Small Scale Funding Agreements (SSFAs) with recipient countries (Baseline: 0; Target: 50); and (iii) number of reports summarising the final project reports and financial audits per project cycle (Baseline: 0; Target: 2).

69. The evaluation noted from responses from survey questionnaires and from progress reports on SP that the SSP has indeed provided technical support and responded to a large number of questions and queries from developing countries and countries with economies in transition in support of the development of their application packages during the different rounds, especially for the second and third round of applications. The SSP even responded to questions and queries in Arabic, French and Spanish. Provision of appropriate assistance to potential applicants had been confirmed from interviews with SSP which mentioned also the holding of "daily open



clinics and face-to-face interactions” during the 2017 Conference of the Parties of the BRS conventions. Information on the application process and detailed guidance on how to complete the applications were provided in a number of webinars and bilateral meetings convened by the UN Environment Regional Offices and the SSP in Latin America and the Caribbean on 4 May 2018, Central American countries on 15 May 2018 and in Africa on 10 May 2018 for the third round of applications. Webinars were also held for the first and second round of applications. Webinars proved to be a very useful information sharing tool capable of meeting multiple objectives, including among others the guidance to Governments in relation to the application rounds and showcase of lessons learnt in terms of best practices, success stories and challenges faced in projects. It also provided a forum where participants were able to give feedback and ask questions in real time. Ratings obtained on the support provided by SSP during application process by 33 respondents was 4.35 out of a maximum of 5 (Table 4), which is indicative of a high level of support from SSP to the applicants.

**Table 4: Rating on support provided by SSP during application**

	Africa	Asia-Pacific	CEE	GRULAC	Overall
<b>Application questionnaires received</b>	7	15	6	5	33
<b>Rating</b>	4.14	4.33	4.83	4.10	4.35

70. Comments and reasons for the non-selection of project proposals were provided to the unsuccessful applicants who were encouraged to apply for the next round with an improved or revised proposal. For instance, some country responses from the survey undertaken by the evaluation were: *“We received useful comments for our proposal in 1<sup>st</sup> round, and in 2<sup>nd</sup> round our improved proposal was approved”*; *“Initially there were some observations, however thanks to the support of the Secretariat, the approval of the Project could be achieved”*; and *“In the first round, the project proposal was qualified as GEF partially eligible, thus it was rejected. However, in the second round the project proposal was redeveloped and improved, so the project was approved in the second round”*. The evaluation noted that application proposals from 17 countries were approved for funding after a second application and three country application proposals were successful after a third application. However, proposals from two countries who applied successively in the first three rounds were not successful. From interviews with SSP, it was noted that the countries have not changed their proposals accordingly despite comments and clarifications from EB and SSP. The evaluation observed from a sample of responses sent to unsuccessful applicants that the reasons given were sometimes

too generic and insufficient information was provided to improve the proposal, this being the main reason why many unsuccessful countries did not reapply or were unsuccessful again. Some comments obtained from the survey questionnaires were: *“During the first attempt we were told to resubmit in the next round with some comments. Based on the comments we have improved our proposal and resubmitted in the next round, but were not successful – EB response: narrow focus on health, not broad enough”*; *“French-English translation not always consistent; confusion in the details of the budget”*; and *“We were unsuccessful three times, and each time we did our best but the number of requirements increased every year”*. In addition, some unsuccessful applicants asserted that they did not receive any reply concerning the outcome of their application. When queried on the latter, the SSP provided evidence that it had sent a reply to the unsuccessful applicants but that the latter did not communicate the reply to the concerned persons. One response was: *“Our application was not successful. The Secretariat did not reply officially and give reasons for the unsuccessful application. This was a disappointment for the country and we decided not to submit for the 2nd round. Also the criteria of passing an application was not clear”*. The evaluation noted that the reply was sent to the minister of the applicant country who was the sole contact person and that the latter did not communicate apparently the outcome to the technical persons. It is observed that a minister may not be the appropriate contact person for a project proposal and that it should be ideally a public officer who is working full-time in the ministry. To ascertain that the unsuccessful applicant has received a reply, it is advisable to ask for an acknowledgement from the recipient.

71. For the first three rounds of applications, 42 country project proposals have been approved for funding (1<sup>st</sup> round: 7 projects – US\$ 1.75 million; 2<sup>nd</sup> round: 17 projects – US\$ 5,096,735; 3<sup>rd</sup> round: 18 projects – US\$ 4,703,849). 33 of them are funded to the tune of less than US\$ 251,000 whereas 4 (Angola, Nigeria, Afghanistan and Vietnam) will be in receipt of funding of US\$ 490,000-500,000 by project completion. 25, 14 and 3 projects have a proposed duration of 36, 24-27 and 18-20 months respectively. However only 27 are currently being implemented, including the project in Ukraine which has been stopped pending development. The activities of SSP in the management of approved projects include mainly monitoring of timely submission of progress and financial reports and attending to queries from the beneficiaries.

72. From the 15 survey questionnaires received from countries whose projects are being implemented, it was observed that the support provided by SSP during implementation is highly appreciated, with a rating of 4.57 out of a maximum of 5 as shown in Table 5.

**Table 5: Rating on support provided by SSP during implementation**

	Africa	Asia-Pacific	CEE	GRULAC	Overall
<b>Implementation questionnaires received</b>	4	5	4	2	15
<b>Rating</b>	4.75	4.60	4.75	3.75	4.57

73. Some comments obtained from the survey questionnaires as regards to the adequate and timely support provided by SSP during project implementation are as follows:

- Very supportive and has given very good advice, e.g. in the preparation of interim progress reports (*Uganda*)
- So far, it has been adequate (*Afghanistan*).
- The SSP actively reaches out to us during the implementation of the project and advises us to identify and remove potential barriers (*China*).
- SSP tries to provide different means of support, including the media support to the project implementation (*Iraq*).
- The SPP promptly and constructively responds to all emerging issues that need to be resolved in the framework of the project (*Kyrgyz Republic*).
- Support was adequate (*Gambia, Tanzania, India, Belarus, Macedonia, Serbia*).
- At both regular communication and reporting level the guidance of SPP was highly satisfactory (*Moldova*).
- From the beginning of the project until the first months of 2019, the support and guidance provided by the UN and the SSP have been adequate (*Dominican Republic*).

74. The main challenges faced by the countries during project implementation and how they were overcome are given hereunder:

- Voting of law by the National Assembly. Delay due to legislative elections (*Benin*)
- Conflicting schedules of stakeholders thus affecting full participation in project activities – Participatory planning of events with stakeholders (*Gambia*).
- Relocation of government offices; delay in receiving information requested from key stakeholders (capacity needs assessment); delay in receiving

stakeholders' comments; delay due to changing of guidelines for preparation of database systems from government agencies – Fast track implementation of some of the delayed activities and request for no-cost extension of project duration (*Tanzania*)

- Government co-funding delayed; change of project manager; delay in development of awareness programs (*Uganda*)
- Difficult to involve the synergy and co-benefit of the MEAs in the existing cooperation scheme (*China*)
- Internal financial and administrative arrangement; lack of international expertise (especially in GHS) – UNEP/ROWA assisted in identifying and contracting qualified international consultant (*Iraq*).
- Delay in the accession to Minamata Convention to avoid social disturbances; frequent change at decision-making level – Constantly informing incoming decision makers (*Kyrgyz Republic*)
- Considerable professional and government staff turnover; institutional reform; and change of government (*Moldova*)
- Search for international experts to assist in trainings and seminars – Substantial support from Secretariat of Rotterdam Convention (*Belarus*)
- Change in executing agency (EA) – Look for new EA and new contract between SP and EA (*Macedonia*)
- Bureaucracy for hiring consultants or procurement of goods – Good support of national authorities mitigated this challenge (*Dominican Republic*)

75. As at October 2019, there had been three application cycles for the SP out of a target of 6 which seems appropriate for a programme which is at its mid-term. The next application cycle is scheduled for April-June 2020 though it is observed that it should have been in 2019 as planned in the original ProDoc. The number of SSFAs or legal agreements signed with recipient countries amounted to 27 which is within reach of the target of 50. Note that 42 project proposals have been approved for funding in the first three rounds and there are 3 more application cycles. However, the evaluation noted with concern that three proposals approved in the second round of applications have still not started their implementation due to delay in finalizing the PCA. Comment from one successful proponent was: *"The application has been going back and forth between our country and SP Secretariat in terms of strengthening it and providing clarity on certain items in the proposal. This has been ongoing for more than 6 months, with about 4 or 5 exchanges, and still no final approved project document"*. Investigation indicated that the delay was due to issues related to obtaining banking information from a project partner. The evaluation could not comment on the achievement of the third output, namely

number of reports summarising the final project reports and financial audits per project cycle (Baseline: 0; Target: 2) as at October 2019 no project has yet been completed. Out of seven projects funded in the first round of applications, two (Benin and Kyrgyz Republic) are scheduled to be completed as planned in January 2020, one (Ukraine) has been temporarily discontinued following termination of PCA and awaiting communication with the Government, and the other four are expected to be completed in March, June or December 2020 following granting of a no-cost extension. It is noteworthy that one project from The Gambia funded in the second round of applications is due to be completed in October 2019.

76. The third output C pertains to communications products and services developed, and activities conducted to influence key stakeholders on the sound management of chemicals and waste. Indicators proposed are: (i) number of communications tools and services provided to support the sound management of chemicals and waste; (ii) Targeted communication and outreach events for relevant sectors undertaken (e.g. agriculture, health, environment, labour, industry, gender).

77. The proposed TOC highlights the importance of communication in achieving the objectives of the SP and particularly its two outputs, namely *“technical assistance and management of the SP approved projects to support institutional strengthening at the national level for implementation of the BRS conventions, the Minamata Convention and SAICM”*, and *“communication products and services developed and activities conducted to influence key stakeholders on the sound management of chemicals and waste”*.

78. A communication strategy for the SP developed in collaboration with a communications expert and the UNEP Communications Division was endorsed by the EB at its third meeting in December 2017. Its main objective is to guide all SP communications, public awareness, outreach and events throughout the duration of the SP. The implementation of the communication strategy started in May 2018 and is scheduled to take place in three phases: Phase I *“Building the Brand”*, Phase II *“Expanding the Audience”* and Phase III *“Replicating Success”*. Based on available documentation and interviews, the evaluation noted that the following have been carried out: a new brand name *“Chemicals and Waste Management Programme”* has been adopted to reflect better its purpose and to facilitate communication with external audiences and partners. An appropriate logo was designed accordingly. However, the full official name: *“The Special Programme to Support Institutional Strengthening at the National Level for Implementation of the Basel, Rotterdam and Stockholm Conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management”* would still be used for

all official and reporting purposes; the SP website was migrated to a new platform in October 2017 and is being regularly updated as verified by the evaluation; a project database giving key information on all the approved projects such as objectives, summary, duration, finance from SP, co-financing and a short project story are provided on the SP's website; and videos featuring some projects financed from the first round in Argentina, Benin and Ukraine are also available on the database. However, though the project duration is provided, information on start and proposed end of project is not specified.

79. The SSP has used a variety of communication tools to disseminate information concerning the programme and/or assist the potential recipients such as face-to-face meetings, briefings, open clinics, webinars, skype calls, participation in workshops, press releases, informal conversations with stakeholders, reports, SP webpage and links to it, guidance materials, and posters. To further support the application process for developing countries and countries with economies in transition and to enable high quality applications to be submitted, an online e-learning tool is currently being developed.

80. Responses from the survey questionnaires substantiate the above as the respondents were made aware of the SP from different sources such UN Environment Regional Office Africa, UN Environment website, website of Minamata Convention, notification from SSP, notification from BRS, during COP8 of Stockholm Convention, WHO Regional Office, South Pacific Regional Environmental Programme, National Focal Point of SAICM, Networking – neighboring countries, and UNEA.

81. As at October 2019, the number of communications tools and services provided to support the sound management of chemicals and waste was 9, very close to the target of 10 and the number of targeted communication and outreach events for relevant sectors undertaken was 9 which exceeded already the original target of 5. For the latter, SSP participated in a number of events, sharing information about the programme and its objectives such as annual meetings of BRS, Minamata and SAICM.

82. Table 5 summarises the progress achieved with respect to the proposed indicators related to the outputs as at October 2019 and Table 6 provides the assessment and rating of outputs delivery. According to the ratings reported in Table 6, it is clear that the SP is currently on target in the delivery of outputs and in some cases already exceeding the set targets. Rating for delivery of outputs is '**Satisfactory**'.

**Table 5: Achievements of outputs as at October 2019**

<b>Outputs</b>	<b>Indicators</b>	<b>Target</b>	<b>Achieved</b>
Management of the SPTF and providing secretariat services to the SP EB	Number of EB meetings	7	5
	Number of guidance documents and application forms prepared to support development of projects to address the sound management of chemicals and waste	8	10
	Number of projects screened, reviewed and appraised by the secretariat for funding by the SPTF	99	99
Technical assistance for development of the project applications and the management of the SP approved projects in line with the ToR of the SP and guidance by the SP EB	Number of application cycles for the SP	6	3
	Number of SSFAs with recipient countries	50	27
	Number of reports summarising the final project reports and financial audits per project cycle	2	0
Communication products and services developed and activities conducted to influence key stakeholders on the sound management of chemicals and waste	Number of communications tools and services provided to support the sound management of chemicals and waste	10	9
	Targeted communication and outreach events for relevant sectors undertaken (e.g. agriculture, health, environment, labour, industry, gender)	5	9

**Table 6: Assessment and rating of outputs delivery**

Outputs	Comments	Rating
A. Management of the SPTF and providing secretariat services to the SP EB	As at October 2019, five EB meetings have already been held as planned, ten guidance documents and application forms have been prepared to support development of projects, exceeding the target of 8 planned till end of programme, and in the first three rounds of applications, the SSP has already screened, reviewed and appraised 99 proposals which is the target set for the end of the programme. EB members are highly satisfied with the secretarial services.	Highly Satisfactory
B. Technical assistance for development of the project applications and the management of the SP approved projects in line with the ToR of the SP and guidance by the SP EB	There was evidence of satisfactory technical assistance by SSP at both stages of country project application and implementation. The number of application cycles is within reach of the target set despite that the application cycle for fourth round has been slightly delayed. The number of SSFAs signed with the countries is satisfactory but could have been more considering the number of projects approved for the first three rounds.	Satisfactory
C. Communication products and services developed and activities conducted to influence key stakeholders on the sound management of chemicals and waste	A variety of communication tools to disseminate information concerning the programme and/or assist the potential recipients were used. A communication strategy has been developed. A new brand name and logo for the SP has been adopted and designed respectively. The website is being regularly updated and contains information on all approved projects. Videos featuring some approved projects are available on the website. Since the communication strategy is still in its early phases, the impact will only be felt after the MTE	Satisfactory

#### 5.4.2 Achievement of Direct Outcomes

83. The SP was designed to support institutional strengthening at the national level for implementation of the BRS conventions, the Minamata Convention on Mercury and the SAICM. The expected outcome of the SP is to strengthen the capacities of national institutions to do the following:



- (i) Develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and waste;
- (ii) Promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound management of chemicals and waste;
- (iii) Promote the mainstreaming of the sound management of chemicals and waste into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication;
- (iv) Work in a multi-sectoral, effective, efficient, transparent, accountable and sustainable manner in the long term;
- (v) Facilitate multi-sectoral and multi-stakeholder cooperation and coordination at the national level;
- (vi) Promote private sector responsibility, accountability and involvement;
- (vii) Promote the effective implementation of the BRS conventions, the Minamata Convention and the SAICM;
- (viii) Promote cooperative and coordinated implementation of the BRS conventions, the Minamata Convention and the SAICM at the national level.

84. Based on the progress reports submitted by the recipient countries, responses of the implementation survey questionnaires and the country mission effected in Tanzania, the evaluation noted that several recipient countries have already made important headway in preparing, drafting or enacting laws, designing chemical databases, setting up of multi-sectoral committees and implementing policies to achieve the sound management of chemicals and waste. Examples of major legal and policy initiatives or reforms undertaken include:

- **Argentina:** (i) Establishment of the Directorate of Chemicals and Waste; (ii) Law on Sound Management of Chemicals drafted; (iii) Different Working Groups (Inter-ministerial, Civil Society Organizations and Academic) on Chemicals Management established; (iv) Timely submission of Basel, Rotterdam and Stockholm reports in 2018.
- **Belarus:** Preparation of draft law on ratification of Rotterdam Convention.
- **Benin:** (i) Law on Chemicals and Associated Waste drafted and transmitted to government but not yet adopted due to change of government; (ii) Setting up of a permanent committee for chemicals and waste.

- **Dominican Republic:** (i) Regulations for the Transportation of Hazardous Substances and Materials revised and updated; (ii) Database on registration of imports of dangerous chemical substances created; (iii) Preparation of guidelines for the management of risks related to chemical products and hazardous waste.
- **Gambia:** Asbestos policy and regulations drafted.
- **Ghana:** Development of a 5-year Strategic Plan on Sound Management of Chemicals and Waste.
- **Kyrgyz Republic:** (i) An Interdepartmental Working Group (IWG) for coordinating mechanisms in chemicals management established; (ii) 31.01.18 - Decree *"On approval of the Catalog of pesticides and agrochemicals permitted for use in the Kyrgyz Republic"* developed and endorsed; (iii) Amendments *"On measures to protect the environment and public health from the adverse effects of certain hazardous chemicals substances and pesticides"* of 27.07.01, No. 376, approved on 28.06.19. Proposed changes impose a ban on the import and use of some chemicals and pesticides; (iv) Mechanisms developed for the exchange of information between government agencies involved in chemicals and waste management. Draft of the *"Regulation of interaction in the field of chemicals and waste management in the Kyrgyz Republic"* in accordance with an official procedure is being approved by eleven ministries and departments; (v) A National Strategy is being developed to synergize the BRS conventions and other international agreements on chemical safety in the form of a binding legislation; (vi) Action plan to strengthen national chemicals management legal framework developed and endorsed; (vii) 4<sup>th</sup> National Report to the Stockholm Convention submitted in November 2018 and the 2017 National Report of the Basel Convention submitted in January 2019.
- **Moldova:** (i) Law on Chemicals, that embraces the key EU directives and regulations, such as REACH, CLP, PIC and BPR and also provides the support on enforcement of the Law on Waste approved in November 2018, and it benefited from the support of the SP project experts; (ii) Regulation on the export and import of hazardous chemicals drafted; (iii) Update of National Chemicals Profile and the establishment of the Chemical Products Registry initiated.
- **Serbia:** (i) All envisaged policy documents are under preparation: (a) Action plan on the management of the construction and demolition waste; (b) Guidance for customs including notification procedures; (c) Guidance for recycling industry regarding identification and separation of PBDEs from the e-waste; (ii) National Programme for BRS&M synergies will be finalized by the end of 2019.

- **Tanzania:** (i) Regulations on the control of mercury releases under the Environmental Management Act, 2004 already drafted, being circulated among key national stakeholders, final workshop, attorney general office before adoption by Ministry of Environment; (ii) Ratification of Minamata Convention by November 2019; (iii) Setting up of a chemicals database, which is in the pilot phase; (iv) National Strategy on Chemicals and Waste Management initiated.
- **Uganda:** (i) New Environment Act, No.5 of 2019; (ii) Update of National Chemicals Profile and National Database on Chemicals and Waste initiated.

85. The above show that the projects funded by the SP indeed support institutional strengthening at the national level for implementation of the BRS conventions, the Minamata Convention on Mercury and the SAICM. Belarus has already initiated action to enable it to ratify the Rotterdam Convention; Tanzania is considering ratification of Minamata Convention by November 2019; and during the course of the project, Argentina and Kyrgyz Republic have submitted their National Reports to Basel, Rotterdam and Stockholm conventions. Uganda and Moldova have already initiated action to update their National Chemicals Profile.

86. Three indicators are proposed for the assessment of the outcome, namely: (i) number of countries using the financial support of the SPTF to ratify or are in the process of ratifying the BRS conventions, or the Minamata Convention (Baseline: 0; Target: 10); (ii) number of countries using the financial support of the SPTF to implement national implementation plans for chemicals and waste management (Baseline: 0; Target: 5); and (iii) number of countries using the financial support of the SPTF to develop national legislation on chemicals and waste management (Baseline: 0; Target: 5).

87. Table 7 summarises the progress achieved with respect to the proposed indicators related to the outcome as at October 2019 based on documentation available. For the first indicator, only one country, Argentina, has ratified the Minamata Convention. However, the evaluation is of the view that although the ratification took place after the start of the implementation of the project, this cannot be attributed to the funded SP project. It is noteworthy that this view was also expressed in the European Union ROM review report of SP submitted in September 2019. For the second indicator, no country has yet implemented a national plan for chemicals and waste management. Two national legislations on chemicals and waste management have already been developed and enacted whereas several are in the pipeline to be approved. Out of the three indicators, the evaluation noted that the third indicator would be the easiest to achieve. However, the SSP is confident that by the end of the SP, the indicators would

be achieved. Although too early, there are indications that SP is contributing to the occurrence of intermediate states of the TOC proposed by the evaluation.

**Table 7: Progress on Special Programme outcome as at October 2019**

Project Outcome	Indicators	Target	Achieved
Governments from developing countries and countries with economies in transition are taking affirmative action to implement the BRS conventions, the Minamata Convention and SAICM implementation plans	Number of countries using the financial support of the SPTF to ratify or are in the process of ratifying the BRS conventions, or the Minamata Convention	10	1
	Number of countries using the financial support of the SPTF to implement national implementation plans for chemicals and waste management	5	0
	Number of countries using the financial support of the SPTF to develop national legislation on chemicals and waste management	5	2

88. Given that the outcome is most likely to be achieved, the rating for Achievement of direct outcomes is '**Satisfactory**'.

### 5.4.3 Likelihood of Impact

89. 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 the SP, at mid-term 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 recipient 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 recipient countries. This has been done through the survey questionnaires undertaken; the feedback received from fifteen recipient countries are summarized below under the respective intermediate states.

90. Intermediate state 2 – Countries take steps towards the development of an action plan in preparation for the ratification of the Basel, Rotterdam, Stockholm or Minamata Conventions:

- **Kyrgyz Republic:** A National Strategy is being developed to synergize the BRS Conventions and other international agreements (IAs) for chemical safety in the form of a binding legislation. This legal act is aimed at the implementation of all planned activities within the framework of the implementation of BRS conventions and other IAs.
- **Tanzania:** Our country will ratify the Minamata Convention in the coming months.
- **Belarus:** Preparation of draft law on ratification of Rotterdam Convention is scheduled for 2020.
- **Serbia:** National Programme for BRS & Minamata synergies will be finalized by the end of 2019.

91. Intermediate state 3 – Countries draft national legislation on chemicals and waste management:

- **Tanzania:** Regulation on the control of mercury releases is being developed under the Environmental Management Act, 2004.
- **Benin:** The real challenge is the vote of the law on chemicals management by the National Assembly. The delay is due to the fact that there have been general elections this year. The President of the Assembly has just been installed and the procedure is being continued.
- **Uganda:** New Environment Act, No.5 of 2019; development of regulations on sound management of chemicals.
- **Argentina:** Law on Sound Management of Chemicals drafted.
- **Gambia:** Asbestos policy and regulations drafted.
- **Dominican Republic:** Preparation of guidelines for the management of risks related to chemical products and hazardous waste.
- **Moldova:** Regulation on the export and import of hazardous chemicals drafted.

92. Intermediate state 4 – Countries report that they have developed national legislation on chemicals and waste management:

- **Kyrgyz Republic:** (i) 31.01.18 – Decree “On approval of the Catalog of pesticides and agrochemicals permitted for use in the country” developed and endorsed; (ii) Amendments “On measures to protect the environment and public health from the adverse effects of certain hazardous chemicals substances and pesticides” of 27.07.01, No. 376 approved on 28.06.19. Proposed changes to impose a ban on the import and use of some chemicals and pesticides.

- **Moldova:** Law on Chemicals, that embraces the key EU directives and regulations, such as REACH, CLP, PIC and BPR and also provides the support on enforcement of the Law on Waste was approved on November 2018, and it benefited from the support of the SP project experts.
- **Dominican Republic:** Regulations for the Transportation of Hazardous Substances and Materials revised and updated.

93. Intermediate state 6 – Increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle:

- **Argentina:** (i) Establishment of the Directorate of Chemicals and Waste; (ii) Different Working Groups (Inter-ministerial, Civil Society Organizations and Academic) on Chemicals Management established.
- **Kyrgyz Republic:** (i) Mechanisms developed for the exchange of information between government agencies involved in chemicals and waste management. Draft of the “Regulation of interaction in the field of chemicals and waste management in the country” in accordance to an official procedure is currently being approved by eleven ministries and departments; (ii) An Interdepartmental Working Group established for the sound management of chemicals and waste.
- **Tanzania:** Development of a national database on chemicals hosted by the Ministry of Environment.
- **Benin:** Setting up of a permanent committee for chemicals and waste.
- **Serbia:** A National Coordination Mechanism will be established to provide legal and practical arrangements for coordinated and synergistic approach to management of chemicals and wastes.

94. Intermediate state 8 – Mainstreaming of the sound management of chemicals and wastes into national development plans, national budgets, policies, legislation and implementation frameworks at all levels:

- **Benin:** The chemicals management framework will be strengthened and a national strategy is being defined at the national level. The project is already at the national level and it will take into account the sectors of activity that require specific regulation.
- **Gambia:** The process is on to mainstream/ adopt it in national legislation/ policies and strategies. The need to scale up the result is necessary.
- **Tanzania:** A plan for scaling up the project results is crucial, particularly the results from the institutional capacity needs assessment.

- **Afghanistan:** Mainstreaming results into government agenda will be looked into, if possible.
- **China:** We have a promotion plan for the project results. The outcomes of the studies of technical documents of convention and agreement will be transferred to relevant national technical support institutions. The project will also continue to hold a series of training activities to help disseminate and share the project outputs.
- **India:** It is envisaged that the results and recommendations will be adopted upon completion and then policies and/or strategies for chemicals and wastes management will be provided to the Ministry for incorporating it into legislation. Project results will be scaled up.
- **Iraq:** Results achieved are planned to be replicated and scaled up.
- **Macedonia:** Not yet, but mainstreaming in the national legislation/policies is planned.
- **Serbia:** All envisaged policy documents are under preparation – Action plan on the management of the construction and demolition waste; guidance for customs including notification procedures, guidance for recycling industry regarding identification and separation of PBDEs<sup>13</sup> from the e-waste.
- **Dominican Republic:** The project results achieved relate to legislation, policies and national strategies for the sound management of chemicals and wastes. These results would go beyond what is planned because the national emergency plan is a dynamic document, and its implementation will take many years.
- **Uganda:** Subject to availability of funds, some key project results can be scaled up such as chemicals database and awareness programmes.

95. The above responses clearly indicate that, from the perspective of the respondents, the SP is significantly contributing to the occurrence of the intermediate states proposed in the TOC. Furthermore, several countries have also indicated that efforts will be undertaken for replication or scaling up of the project results. Although too early to predict with a high degree of certainty, there are good chances for achievement of the intended impact – to decrease the negative effects of chemicals and wastes on health – in the long term. The rating for likelihood of impact is ‘**Likely**’.

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<sup>13</sup> Polybrominated diphenyl ethers (PBDEs) are organobromine compounds and have been classified as POP chemicals under the Stockholm Convention. They have been used as flame retardant in a wide array of products including building materials, electronics, furnishings, motor vehicles, airplanes, plastics, polyurethane foams, and textiles.

96. Given that the outputs have been satisfactorily delivered till now, the direct outcome is mostly likely to be achieved and there is likelihood of impact, the rating on effectiveness is **'Satisfactory'**.

## 5.5 Financial Management

### 5.5.1 Completeness of Financial Information

97. For this MTE exercise, the proposed budget and expenditures for the SP provided in the ToR and the budget and expenditures for the financial years from 2017 to 2019, were made available.

98. A SPTF was provided by UNEP where all the voluntary contributions from donors are credited. Contributions are encouraged from all signatories and parties to the conventions and other Governments with the capacity to do so, as well as from the private sector, including industry, foundations, other non-government organizations and other stakeholders. A fund-raising strategy was developed by SSP in order to mobilize resources during implementation of the SP. The total amount of contributions and pledges as at August 2019 is US\$ 26,452,940 as shown previously in Table 2.

99. The total proposed action budget for the SP is US\$ 15,931,190<sup>14</sup>, out of which US\$ 14,658,243 are direct eligible costs. As of 31 August 2019, the total uncommitted cash under the SPTF, excluding the Programme Support Costs, is US\$ 6,093,847 and a total of US\$ 9,299,182 has been spent on the projects and operations of the SP as shown in Table 8. As the financial documentation provided was comprehensive and complete, the rating for this criterion is **'Highly Satisfactory'**.

**Table 8: Amount spent on the projects and operations of the SP as at 31 August 2019**

Item	2017	2018	2019	Total (all years)
<b>Staff and other personnel costs</b>	383,101 (20.4%)	607,952 (15.0%)	750,174 (28.4%)	1,741,227 (20.3%)
<b>Transfers and Grants</b>	1,447,587 (77.2%)	3,336,988 (82.5%)	1,835,187 (69.5%)	6,619,762 (77.3%)
<b>Travel</b>	42,905	32,043	24,299	99,247
<b>Contractual services</b>	2,501	68,978	32,681	104,160
<b>Total (Direct eligible costs)</b>	<b>1,876,094</b>	<b>4,045,961</b>	<b>2,642,341</b>	<b>8,564,396</b>

<sup>14</sup> Source: The approved UN Environment Project Document for the Special Programme.



Item	2017	2018	2019	Total (all years)
Indirect costs	172,707	330,023	232,056	734,786
Grand Total (Eligible costs)	2,048,801	4,375,984	2,874,397	9,299,182

### 5.5.2 Communication between Finance and Project Management Staff

100. For each approved country project, an Internal Cooperation Agreement (ICA) or Project Cooperation Agreement (PCA) for a maximum amount of US\$ 500,000 is signed between UNEP (UN Environment) and the Government of the recipient country. According to information available, the relevant UN financial procedures were closely followed for the management of SPTF. For instance, once the ICA or the PCA was signed, a first disbursement is made. Subsequent disbursements are done after satisfactory submission of financial and progress reports on project implementation by the authorised officer of the executing agency. Copies of the signed PCAs or ICAs as well as financial and technical progress reports were made available to the evaluation.

101. It is observed that the total spent on staff and other personnel costs as at August 2019 amounted to 20.3% of the direct eligible costs and for the implementation of the projects by the recipient countries about 77.3%, indicative of a fair distribution which is within that planned for the overall SP (72.3%).

102. The proposed costing for 13 activities for the duration of SP is provided and the evaluation noted a satisfactory distribution of funds as follows: output 1 (3%), output 2 (83%), output 3 (4.2%) and evaluation (1.8%). The amount disbursed per activity till 31 August 2019 is shown in Table 9. It is observed that the amount budgeted for activity 2.1 (screening and appraisal of applications) and activity 3.2 (development and implementation of the Communications Strategy) exceeded already the initial amount earmarked. The amount earmarked for 2017-2019 was: staff costs (US\$ 1,421,748), transfers and grants (US\$ 12,524,094), travel (US\$ 212,250) and contractual services (US\$ 239,798). A lesser amount has been disbursed for transfers and grants due to delay in the signing of legal agreements and in country project implementation. In addition, the launch of the 4<sup>th</sup> round of applications has been delayed. As shown in Table 9, a redistribution of funds per activity and a revised budget should be effected, especially as regards activity 2 and also in view of increased amount available for the SPTF due to new contributions and pledges from donors. It was also noted that the non-availability of a dedicated budget and finance officer within the SSP in 2017-2019 has impeded

somewhat the signing of the legal agreements accounting for the lesser amount disbursed for transfers and grants.

103. Based on the above, rating for this criterion is **'Satisfactory'**.

**Table 9: Amount disbursed per activity of the SP as at 31 August 2019**

Activity	Total action budget	Total action spent	Total action budget balance	Staff and other personnel costs	Transfers and Grants	Travel	Contractual services
1.1: Planning and convening of the EB meetings	435,000	361,038	73,962	30,326	153,100	88,859	88,753
1.2: Project application cycles	50,000	10,331	39,669	10,300			31
2.1: Screening and appraisal of applications	703,000	1,013,005	-310,005	1,013,005			
2.2: Development and management of SSFAs	12,396,211	7,018,095	5,378,116	551,433	6,466,662		
2.4: Report on the final project reports and financial audits	100,000	0	100,000				
3.1: Development of Specific Behavioural Objectives	46,540	0	46,540				
3.2: Development and implementation of the Communication Strategy	80,000	87,216	-7216	86,988			228
3.3: Development of outreach materials	105,000	15,148	89,852				15,148
3.4: Compilation of all communication products and services for completed projects under the first round of applications	100,000	0	100,000				
3.5: Findings and promotion of SP projects presented and communicated at relevant forum	335,000	4,667	330,333			4,667	

Activity	Total action budget	Total action spent	Total action budget balance	Staff and other personnel costs	Transfers and Grants	Travel	Contractual services
3.6: Review of the Communication Strategy	20,000	0	20,000				
4.1: Mid-Term Evaluation	87,492	54,896	32,596	49,175		5,721	
4.2: Final Evaluation	200,000	0	200,000				
<b>Sub-total: Direct eligible costs</b>	14,658,243	8,564,396	6,093,847	1,741,227	6,619,762	99,247	104,160
<b>Indirect costs</b>	1,272,947	734,786	538,161	174,679	542,065	8,994	9,048
<b>Grand Total</b>	15,931,190	9,299,182	6,632,008	1,915,906	7,161,827	108,241	113,208

## 5.6 Efficiency

104. The SP officially started in February 2016 with the holding of the first EB meeting in Geneva, Switzerland. As at October 2019, five EB meetings were held (2-3 February 2016, 11-13 October 2016, 2-3 December 2017, 29-31 January 2019 and 6-7 October 2019) and there had been three rounds of applications (April-July 2016, 22 February-20 June 2017 and 23 February-21 June 2018), the first one being considered as pilot. As shown in Table 3 (section 5.4.1), a total of 131 applications were received in the three rounds (54 from 45 countries, 43 from 37 countries and 34 from 32 countries respectively). It is noteworthy that the SSP acknowledged receipts of the applications within a week of receipt of the application package.

105. Steps applied for the screening and appraisal of the applications are as follows: (i) SSP checks the applications for completeness and eligibility; (ii) appraisal of the complete and eligible applications by SSP and Internal Task Team; (iii) first meeting of the Internal Task Team; (iv) SSP sends back applications to countries for their review with comments and suggestions for improvement and resubmission by a deadline; (v) second meeting of the Internal Task Team; (vi) SSP drafts documents for EB meeting with its appraisal of the submitted applications; (vii) appraisal by EB and communication of decisions of the EB on approved applications to countries for their information and subsequent revision, if any; for countries whose projects were not approved, comments and reasons are provided, asking them to resubmit revised project in the next round. The evaluation found that the process and the composition of the Internal Task Team is appropriate for appraisal of the applications. The EB members, when queried during the interviews, also commented favorably on the process, though some members feel that the amount of information provided for each project application could be shortened. It is noteworthy that the number of meetings of the Internal Task

Team has been decreased from four in the first round to two in the second and third rounds. From the interview of a member of the Internal Task Team, mention was made to the fact that when countries were asked to revise their proposals after the first meeting of the Internal Task Team, the resubmissions from countries did not address all the comments made and it demanded a lot of effort from the member to verify whether the comments have been indeed addressed. Thus it is proposed that a system be put in place to ensure that the queries and comments of the Internal Task Team have been attended to or, if not, the country to provide valid reasons. Responses from survey questionnaires and information gathered from the field mission to Tanzania indicated that personnel from some countries are not aware of the responses sent by UNEP for non-approval of funding for their project proposals. It was noted that the response to Tanzania was through an e-mail and not by way of a formal letter from UNEP. It is thus recommended that all responses to application countries be made through a formal letter and that during notification, at least two persons be informed especially if one of them is a political figure, and that the notification be formally acknowledged. Also, the responsible officers of the countries whose projects have been approved should inform the SSP about any change in the contact persons so that their database may be updated accordingly as the evaluation has noticed that many e-mail addresses are no longer valid when the survey questionnaires were sent. The timelines set for screening and appraisal of applications are adhered to.

106. The proposed milestones dates for first output, namely the holding of the EB meetings and their attainment are given in Table 10. It was observed that the 4<sup>th</sup> EB meeting was postponed by approximately one month to enable selection of representatives of recipient countries from some regions on the EB. There were delays regarding the nomination of the representative from Asia-Pacific region as there were more than one expression of interest. After obtaining legal advice, an online voting system was introduced and the voting was scheduled during the 4<sup>th</sup> EB meeting. It is recommended that an appropriate formal selection mechanism be put in place and that the process be launched early enough to ensure that board membership is established before the EB meetings. It was also observed that though the quorum has been attained during EB meetings, some members were absent. Nomination of an alternate member could be considered in case the substantive EB member should be unavailable. It should also be ensured that regions or groups be properly represented and that preference be given to a SIDS LDC if a representative from SIDS is nominated. The 5<sup>th</sup> EB meeting was held before the launch of the fourth round of applications and thus no screening or appraisal of applications could be effected.

**Table 10: Milestones for the holding of EB meetings and their attainments**

Milestone	Planned milestone	Actual milestone	Comment
2nd meeting of the EB held (including the screening for eligibility and completeness by the secretariat)	31 Dec 16	13 Oct 16	Attained
3rd meeting of the EB held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	31 Dec 17	3 Dec 17	Attained
4th meeting of the EB held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	31 Dec 18	29 Jan 19	Delayed. Meeting postponed to allow for regions that have not yet selected their representative on the Board to do so.
5th meeting of the EB held (including the screening for eligibility and completeness, and the review and appraisal by the secretariat)	31 Dec 19	6 Oct 19	Not attained. Meeting held without project proposal screening and appraisal

107. The proposed milestones dates for the number of projects funded by the SPTF and their attainment are given in Table 11.

**Table 11: Milestones for the number of projects funded by the SPTF and their attainments**

Milestone	Planned milestone	Actual milestone	Comment
5 projects funded by the SPTF	30 Jun 17	1 Jun 17	Attained. Seven projects approved for funding (US\$ 1.75 million)
10 projects funded by the SPTF	30 Jun 18	30 Jun 18	Attained. An additional 17 projects approved for funding (US\$ 5,096,735).
10 projects funded by the SPTF	30 Jun 19	30 Jun 19	Attained. An additional 18 projects approved for funding (US\$ 4,703,849).

108. For the second output, milestones for the number of application cycles for the SP and number of SSFAs with recipient countries and their attainments are given in Table 12. As at August 2019, 29 legal agreements have been signed between the governments of recipient countries and UNEP (7 from the first round, 14 from the second round and 6 from the 3<sup>rd</sup> round). It was observed that, on average, signing of ICAs or PCAs take 5 to 6 months instead of three months as initially envisaged. Reasons for delays include, among others, change in implementing agencies, late submission of accompanying documents and co-financing letters, revision of proposal applications, change in government, delays in the processing of bank account information, change in policy

such as introduction of the Umoja 2 module on implementing partners and internal review by UNEP. Signing of legal agreements for 5 countries (Argentina, Dominican Republic, Afghanistan, India and Nigeria) took approximately 12 months. There was also a delay for the start of implementation of the project in Kenya which started only in August 2019 due to delay in submission of banking information from the country project partner. Feedback received indicated that there had been several exchanges between SSP and the country concerning the documentation to be submitted. It is thus recommended that after approval of projects by EB, a complete list of all requirements and amendments should be provided to the countries to avoid delays.

**Table 12: Milestones for the number of application cycles and development of SSFAs and their attainments**

Milestone	Planned milestone	Actual milestone	Comment
1 <sup>st</sup> round of applications for the SP completed	Dec 16	Oct 16	Attained.
Development of SSFAs with recipient countries following approval by the EB at their 2 <sup>nd</sup> meeting	Jun 17	Jun 17	Five legal agreements signed with Benin, Iraq, Kyrgyz Republic, Ukraine and Tanzania. Legal agreements with Argentina and Dominican Republic signed on Oct 17 and Jan 18 respectively.
2 <sup>nd</sup> round of applications for the SP completed	Dec 17	Dec 17	Attained.
Development of SSFAs with recipient countries following approval by the EB at their 3 <sup>rd</sup> meeting and monitoring of existing SSFAs	Jun 18	Jun 18	Eight legal agreements signed (Uganda, Papua New Guinea, Ghana, Belarus, China, Gambia, Serbia). Progress reports for existing SSFAs submitted. Legal agreements signed with Kiribati, Nigeria, Moldova, Kenya, Afghanistan, Macedonia, between Jul 18 and Jun 19.
3 <sup>rd</sup> round of applications for the SP completed	Dec 18	Jan 19	Slightly delayed.
Development of SSFAs with recipient countries following approval by the EB at their 4 <sup>th</sup> meeting and monitoring of existing SSFAs	Jun 19	Aug 19	By August 19, six legal agreements signed (Tajikistan, Micronesia, Palau, Vanuatu, Angola and Palestine). Monitoring of the 7 pilot projects and the 14 of the 17 projects approved from the second round of applications ongoing.
4 <sup>th</sup> round of applications for the SP completed	Dec 19		Not attained. Launch of 4 <sup>th</sup> round of applications is scheduled for next year.

109. The evaluation noted also that as of October 2019, legal agreements for three country projects (Brazil, Ecuador and Vietnam) approved in the second round in

December 2017 have still not yet been signed. The main reasons were identification of new implementing organization(s) and additionally for Brazil due to a change in government. For the 3<sup>rd</sup> round, legal agreements have only been signed with 6 of the 18 countries. Moreover, there were delays in implementation of projects in Ukraine and Macedonia due to the fact that the selected implementing civil society organization, Green Cross Switzerland, encountered financial problems and the PCAs signed with these two countries had to be terminated. A local NGO has already been identified in Macedonia to replace Green Cross. However, legal agreement will only be signed after due diligence and other procedures by UNEP. It is recommended that in future all legal agreements be finalized at latest six months after approval of project funding.

110. Project implementation in the recipient countries via submission of technical and financial annual progress reports is monitored by SSP. It was observed that the annual progress reports were not submitted in a timely manner by the recipient countries. However, from available information provided to the evaluation as at October 2019, all reporting requirements have been fulfilled by the beneficiary countries, albeit with some delays. It was observed that some reports lacked the required information, and had to be revised, some extensively, following comments from SSP. Information provided in the annual progress reports were sometimes insufficient to allow the SSP to monitor the achievements especially for the project outcome. In common with the observation made in the ROM review report, the evaluation noted that there is a lack of a systematic system for monitoring progress and achievements. The level of comments and queries made from members of SSP were also not the same, some being more substantial compared to others. There should be more coordination among the different members about the information that should be made available in the progress reports. A guidance document on submission of progress reports with some good examples could also help in improving the quality of these reports.

111. It is observed that most SP-funded country projects are not always implemented as per the initial plan and experienced delays. Out of the seven projects funded from the first round, only two (Benin and Kyrgyz Republic) are scheduled to be completed by the proposed closing date of January 2020. No-cost extensions of 6-12 months have been approved for four other first round projects (Argentina, Dominican Republic, Iraq and Tanzania) whereas for the Ukraine project, a response has still not been received from the authorities about the way forward following the termination of the PCA despite several reminders. For the second round approved country projects, out of the 14 projects being currently implemented, delays were experienced in four of them (Ghana, Kenya, Kiribati and Nigeria).

112. For the third output pertaining to communication, slight delays were experienced in the development of the Communications Strategy which was endorsed at the 3<sup>rd</sup> EB meeting in December 2017. It was implemented only in May 2018. Outreach materials on the SP have been developed such as website update, new name and logo for the SP. However, not all that are planned will be achieved on time such as the one planned for December 2019 relating to compilation of all communication products and services for completed country projects under the 1<sup>st</sup> round of applications as these projects will only be completed in 2020.

113. The SSP was established in September 2015 with a dedicated P4 Programme Coordination Officer servicing the EB and processing the application proposals for approval by the EB. In July 2017, a P3 Programme Management Officer and a G4 Programme Assistant joined the SSP and in May 2018 and in May 2019, the SSP was staffed further by a P2 Associate Programme Management Officer and a 50% P3 Budget and Finance Officer respectively. In 2019, the SSP benefited from the support of 2 interns. The filling of the above positions and the support provided by the interns have led to effective and efficient support provided towards the administration of the SPTF, servicing the EB, processing application proposal cycles, managing approval allocations and implementing the communications strategy. Before the filling of the above positions, it was observed that the work of SSP, especially as regards the monitoring of country approved projects and the signing of the legal agreements, had been impeded due to lack of dedicated administrative and financial support. In addition, the evaluation was informed that one member was reassigned to another unit within the Branch, resulting in redistribution of work and increased workload among other members of SSP. The evaluation is of the view that due to the reassignment of one member, the SSP is currently understaffed. For these reasons, the 4<sup>th</sup> application round due for 2019 has been postponed to 2020<sup>15</sup>. UNEP should consider increasing staffing at SSP level as well as involving the Regional Offices (as far as possible and feasible and where relevant) in view of the increasing number of applications and approved country projects and to monitor properly the project implementation in the recipient countries.

114. As of 31 July 2019, a total of US\$ 9,299,182 has been spent on the country projects and operations of the SP. It is observed that the total spent on staff and other personnel costs amounted to 20.3% of the direct eligible costs and for the implementation of the projects by the recipient countries about 77.3%, indicative of a reasonable distribution and a satisfactorily managed fund. From available

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<sup>15</sup> Interview data with SSP



documentation, a delay was sometimes encountered in the disbursement of funds, even for the first disbursement which in turn delayed implementation of projects in the recipient countries.

115. From the projects database available on the SP website, the amount co-financed by the beneficiary countries is provided. However, as also observed in the ROM review report, co-financing is mostly in-kind and the financial reports do not indicate clearly the amount of co-financing that has materialised in the delivery of the outputs.

116. Based on the above, the rating for Efficiency is **'Satisfactory'**.

## **5.7 Monitoring, Reporting and Evaluation**

### **5.7.1 Monitoring, Design and Budgeting**

117. The log frame of the SP has one outcome and three outputs, each with associated SMART indicators and milestones. Similar to the observations made in the ROM review report, the evaluation notes that the outcome indicators in the log frame of SP may not be adequate to capture changes at national level and all the actions the recipient countries are taking as a result of the implementation of the projects such as the establishment of national coordination mechanisms. It is noteworthy that two new indicators for the project outcome have been proposed at the fifth meeting of EB held in October 2019, namely (i) number of countries that have coordination mechanisms with multiple ministries and organizations to implement national strategies on chemicals and waste management (Baseline: 0; Target: 5); and (ii) number of countries that have institutional arrangements in place after project completion (Baseline: 0; Target: 5). Some indicators have been rephrased and as the duration of the project has been proposed to be extended by three (3) years to December 2025, several of the proposed targets have also been increased. Moreover, a fourth output has been added, namely the monitoring of country projects following their completion to ensure sustainability of the project outcomes. The evaluation considers that the inclusion of the fourth output and the addition of new indicators would increase the effectiveness of the monitoring of SP and project implementation in the recipient countries.

118. A mid-term and a final evaluation of the SP are also planned and adequate funds have been earmarked. At country level, each project has a logical framework with SMART indicators and also a costed Monitoring & Evaluation plan.

## **5.7.2 Monitoring of the Special Programme and of Country Project Implementation**

119. According to information available, it is clear that the logical framework is used as basis to monitor the SP. Monitoring is performed adequately on a half-yearly basis, and the output and outcome indicators are used to track progress. However, information was entered into the database as and when available.

120. Each country is required to submit an annual technical and financial progress report to SSP. Reports for dissemination activities undertaken, setting up of coordination mechanism, meetings held, guidance documents, draft laws and regulation were also available. Reporting from each country was moderately satisfactory as some delays have been encountered and also the quality of some reports was not satisfactory as indicated in section 5.6. Monitoring in terms of delivery of outputs seems adequate. However, SSP should also consider monitoring progress at or towards outcome level in the recipient countries. This would allow better assessment of whether the expected direct outcomes as well as intermediate states are likely to happen in the recipient countries, which would, in turn, allow more robust predictions of the likely impact in the long term.

## **5.7.3 Special Programme and Country Project Reporting**

121. Timely progress and update reports are provided by the SSP to the EB and donor countries as per the ToR of SP and donor agreements. The reports contain most information required and from interviews with donors, the latter are satisfied with their content and quality. According to information available, while some countries do submit quality reports on time or with slight delays, many others submit well after deadlines and the quality of the reports range from average to poor.

## **5.7.4 Evaluation Arrangements**

122. As mentioned in the ProDoc, in line with UNEP policy, the SP will be subject to evaluation. The UNEP Evaluation Office will be responsible for both the terminal as well as the mid-term evaluation of SP and will liaise with the Chemicals and Waste Branch and the project manager throughout each process. The Terminal Evaluation will provide an independent assessment of performance of SP (in terms of relevance, effectiveness and efficiency), and determine the likelihood of impact and sustainability. It will have 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 and executing partners. The direct costs of the evaluation will be charged against the SP evaluation budget.

123. One of the main ToR for the terminal evaluation of SP should include evaluation of completed country projects. As the number of completed projects may be high, it would not be realistic for the terminal evaluation team to assess all the completed country projects. The EB and UNEP may wish to consider the following options when drafting the ToR of the terminal evaluation: (i) detailed assessment of a sample of completed country projects, two from each region; (ii) detailed assessment of completed country projects from one specific region only; (iii) detailed assessment of a sample of completed country projects where the themes or interventions are close or similar. As the assessment of the selected projects would entail field missions to the countries concerned, option (i) may prove to be too costly and also the themes of the country projects may vary and it may be difficult to compare the projects in terms of effectiveness and efficiency. Option (ii) would be more cost effective in terms of field missions as these may be regrouped in a specific time frame but again the themes of the country projects may vary and it may be difficult to compare the projects in terms of effectiveness and efficiency. Option (iii) may be explored as it would provide a good comparison of the country projects and also lessons learnt and good practices can be better identified. The country projects may be identified by SSP and EB and already indicated in the ToR.

124. Based on the above, the rating on Monitoring, Reporting and Evaluation is **'Satisfactory'**.

## **5.8 Sustainability**

125. 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 sustenance of project benefits. For this MTE, sustainability was discussed at two levels, at the SP level itself and at the level of recipient countries. All the three dimensions or aspects of risks to sustainability as mentioned in the ToR, namely socio-political, financial, and institutional risks were assessed.

### **5.8.1 Sustainability at Special Programme Level**

126. As the SP was established after resolution 1/5 during UNEA-1 and given that SSP is embedded within UN Environment, the evaluation considers that there are no risks regarding either institutional or socio-political sustainability. According to expenditures for the first three years (see section 5.6 on Efficiency), about 77% of the SP funds have been used for country projects, and the 23% remaining were used to cover staff, travelling and other costs. As at October 2019, a total amount of US\$ 26.4 million has already been received / pledged from donors. If the expenditure trend is the same as for

the first three years until closure of SP, then about 60-70 country projects could be funded with the already received / pledged amounts<sup>16</sup>. This would mean that the target of 50 SSFAs with recipient countries<sup>17</sup> proposed in the logical framework would be well exceeded. Therefore, there are no risks regarding the financial dimension for SP. As no risk has been identified, sustainability at SP level is considered '**Likely**'.

## 5.8.2 Sustainability at Country Level

127. To assess the three aspects of risks at country level, information was gathered through a structured survey questionnaire that was sent to all recipient countries of the first and second round which have started implementing their projects (see Section 2). The response rate was very satisfactory as 15 out of 22 countries (68% response) that were contacted replied to the survey. The assessment for the three dimensions of sustainability is largely based on the responses received from this survey.

### 5.8.2.1 Socio-Political Sustainability

128. To assess this dimension of sustainability, the following question was asked in the survey questionnaire: *"Are there any social or political factors that may influence positively or negatively the project results?"* In general, the responses from the countries were very positive. For example, Tanzania mentioned the political will from top leadership to protect health and the environment from the effects of chemicals and wastes. The total ban of plastic carrier bags (effective as from 1<sup>st</sup> June 2019) influenced by political will was given as example. China mentioned that political factors may have a positive influence. The country is committed to promoting ecological civilization and has attached importance to the problem of chemicals and wastes. The Five-Year Plan (2016-2020) for Ecological Environment Protection issued in 2016 proposed to enhance the basic ability of risk control, especially focusing on key areas such as hazardous chemicals and wastes. Belarus has undertaken political commitments to accede to the Rotterdam Convention.

129. A few countries reported some negative responses. Kyrgyz Republic reported that change of government as well as change in key experts in ministries and departments or the passivity of government officials in the management of chemicals and waste may complicate the implementation of the project and would require additional efforts on the part of project partners. Afghanistan mentioned that may be

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<sup>16</sup> 75% of US\$ 26.4M represents about US\$ 20M. As funding for a country project is generally limited to a maximum of US\$ 250,000, with some projects up to US\$ 500,000, then funds are available for about 60-70 projects

<sup>17</sup> Indicator for Output B in logical framework

the upcoming Presidential Election would cause some restriction in security, movement and convening events, workshops and other activities.

130. Despite those few negative responses that relate mainly to project execution but not to the political level, the evaluation concludes that the national governments are very committed to soundly manage chemicals and wastes in order to protect the health of their populations and the environment. Therefore, the risks are considered low, so Socio-political Sustainability is **'Likely'**.

#### 5.8.2.2 Financial Sustainability

131. In order to identify whether there are some financial risks for project sustainability, the two following questions were asked: *"To what extent are the continuation of project results and eventual impact dependent on availability of financial resources?"* and *"Can these financial resources be mobilized nationally?"* While some countries mentioned that financial resources would be available nationally for continuation of results, many others (10 out of 15 countries) reported that they would require international financial assistance for long term sustainability of project results. Some responses of countries where national funding would be available are:

- Efforts are already being made to put in place a budget line for the management of chemicals and their wastes (*Benin*).
- For scaling up or replicating the project outcomes, we are making great efforts to mobilize national resources to disseminate and expand the impact of project results (*China*).
- After the completion of the project, resources will be mobilized with support of the Government (*India*).
- National institutions would have the financial capacity to promote the mainstreaming of the sound management of chemicals and wastes into national development plans, policies and legislation (*Serbia*).
- The activities of the National Action Plan for the sound management of chemicals and wastes are embodied in the responsibility matrices and in the plan of actions of the respective institutions, therefore, each of these institutions has a budget for these activities (*Dominican Republic*).

132. Responses from some countries that would require financial assistance are:

- The continuation of the project results is highly dependent on availability of financial resources. This is difficult nationally as the country is in financial difficulty following political impasse and change of government (*Gambia*).

- The country has low capacity for the sound life cycle management of chemicals and wastes. The main challenge is their disposal. Only 25% of the required financial resources can be mobilized nationally (*Tanzania*).
- Resources to regularly update the chemicals database can be available internally, however upgrades may require specific funding (*Uganda*).
- It may not be possible to fund such project through national resources (*Afghanistan*).
- The government financial support for chemical management is not enough and there is need for more financial and technical support to ensure the continuity of the project results and the impact (*Iraq*).
- Financial resources would be required for the continuation of the project results. Only a small part of the necessary financial resources can be mobilized nationally (*Kyrgyz Republic*).
- Need international financial assistance (*Belarus*).
- Highly dependent as the country is in lack of finances for such activities (*Macedonia*).
- Being a country with economy in transition with deficit state budget, it is extremely important to continuously support the co-financing of the major chemicals and waste related projects (*Moldova*).

133. The responses from the countries clearly indicate that many countries would require financial assistance for continuation of project benefits. However, to decrease the dependence on international financial assistance and to ensure the sustainability of the country projects, the countries are highly encouraged to establish cost recovery measures such as the 'polluter pays' principle, wherever applicable and providing a budget line for the sound management of chemicals and waste. Risks are therefore considered moderate to high. Financial Sustainability is thus rated '**Moderately Unlikely**'.

### 5.8.2.3 Institutional Sustainability

134. The recipient countries were asked the following question to assess institutional sustainability: "*Are the capacity built within the project robust enough to continue delivering benefits beyond the lifetime of the Special Programme?*" Most countries either mentioned that it is too early to judge as the projects have just started and will depend on the capacity building activities proposed during the country project or that the capacities built will be adequate to continue deliver benefits in a sustainable manner.

135. Responses from some countries are given below:

- **China:** The project results will serve as basis to assist in the formulation of chemical and waste policies in the country. Moreover, the relevant training sessions are planned to be held regularly after project completion.
- **India:** After the completion, a team of skilled manpower will be available to continue the chain of capacity building and the dedicated centre will also continue with the support of the Government and the Council of Scientific and Industrial Research-National Environmental Engineering Research Institute.
- **Iraq:** Although the project is still in progress, the capacity built and experience provided so far will enable the institutions to benefit from the project even after the end of the project through increase in number of trained staff and develop new projects based on the knowledge gained.
- **Kyrgyz Republic:** An Interdepartmental Working Group was created in the context of the project to resolve issues in chemicals & waste management, and this group will continue its activities after project ends. A number of legal documents have already been adopted that will ensure the implementation of the requirements of international conventions in the field of chemical safety.
- **Belarus:** The Ministry of Health has been identified as the regulatory body and the national authority responsible for the sound management of chemicals in the country.
- **Serbia:** Capacity building activities and the establishment of National Coordination Mechanism will provide legal and practical arrangements for coordinated and synergistic approach to management of chemicals and wastes after the project lifetime.
- **Dominican Republic:** The results of the project will continue to benefit the country beyond the useful lifetime of the SP.
- **Moldova:** The building of capacity and the raising of awareness is critical to the success and sustainability of any technical assistance project, particularly one such as this where the onus on implementation rests with the key stakeholders after this project will be completed.
- **Macedonia:** It is planned to build the capacities in the course of the final phase of the project implementation.
- **Benin:** It is hoped that by the end of the project the building of capacity would have been achieved. However, there should be close monitoring after the end of the project.

136. The above responses clearly indicate that institutional capacity in most countries is robust enough to continue delivering project benefits beyond the lifetime of the SP, provided that there is adequate provision of financial resources (see Section 133). Institutional Sustainability is therefore considered '**Likely**'.

137. Although no risks at the SP level as well as no socio-political or major institutional risks at country level have been identified, and given that there are significant financial risks at country level, the overall rating for the Sustainability criteria is '**Moderately Likely**'.

## **6. Factors Affecting Performance**

### **6.1 Preparation and Readiness**

138. The SP design document proposed relevant and precise information to allow for the achievement of objectives. It was developed through a consultative process involving governments, intergovernmental agencies, civil society, industry and experts and it benefited from GEF and SAICM Quick Start experience for the design.

139. There was an adequate mapping of stakeholders and identification of key ones with proper description of their roles and responsibilities. Communication and cooperation between members of Internal Task Team and SSP was highly satisfactory and there was no major issue in that regard. Staffing of SSP was not optimal in the beginning but improved afterwards. The amount contributed or pledged by the donors increased by about US\$ 10 million with an increase also in the number of donors. Signing of legal agreements with recipient countries took longer than initially expected.

140. Rating on Preparation and Readiness is '**Satisfactory**'.

### **6.2 Quality of Management and Supervision**

141. The approach described in the SP design document was adopted for implementation. The SP is managed by the Economy Division of the Chemicals and Health Branch of UN Environment, which was responsible to provide administrative supervision in the implementation of the SP. According to feedback gathered, most of the stakeholders recognized the good supervision and coordination work provided by the UN Environment, through the SSP. Improved guidance documents were prepared for each subsequent round of applications and the support provided by SSP in the implementation phase of country projects was well appreciated. Action was taken in a timely manner when the UN Environment was informed of the financial problem



encountered by an implementing agency. Quality of management and supervision criterion is rated '**Satisfactory**'.

### **6.3 Stakeholder Participation and Cooperation in Special Programme**

142. The main stakeholders identified were the EB members, the Internal Task Team – BRS, Minamata, SAICM and GEF Secretariats, and active members of the IOMC e.g. UNITAR, UNDP, WHO and UNIDO. Their participation and involvement was very satisfactory, which allowed most of the mid-term targets to be met. Most of the above stakeholders were present during the EB meetings, either as members or observers. It is noteworthy that the non-members of EB attended the meetings at their own cost, indicative of their interest and dedication to the SP. EB members were involved in the selection of projects for funding and also gave various directives to SSP to improve the process, for example, provision of improved guidance application documents. The Internal Task Team was actively involved in the appraisal of project applications. All the stakeholders contributed to the visibility of the SP by advertising it on their website and also during the various conferences and events organised by them. Quality of Stakeholder Participation and Cooperation criterion is rated '**Highly Satisfactory**'.

### **6.4 Responsiveness to Human Rights and Gender Equity**

143. While the aspect of human rights was not mentioned in the SP design document, that for indigenous peoples was adequately covered. In particular, it was mentioned that the multi-stakeholder approach required for the SP would most probably ensure that country projects would reach indigenous people. However, none of the country proposals that have been approved for funding by SP specifically mentioned outreach involving indigenous peoples. Nonetheless, the evaluation considers that in strengthening their national capacities to soundly manage chemicals and wastes under the BRS and Minamata conventions, the recipient countries would be protecting the health of their populations including that of the indigenous peoples. To ensure that countries take into consideration human rights and indigenous peoples, SSP should consider including a section related to this aspect in the application form.

144. The SP design document recognized that improved management of chemicals and waste will contribute significantly to improvements in health and well-being, particularly among vulnerable populations, such as women and children. The SP design document also mentions that there is a clear potential through the SP and implementation of projects funded under the SPTF to ensure gender mainstreaming at the national level, when designing and implementing activities aiming at strengthening national institutions. To ensure this gender equity, one of the sections in the application form is "Project Gender Considerations / Mainstreaming". At the level of SSP and EB,

the involvement of women is considered satisfactory. At the SSP, the staff is constituted mainly by women, and at the level of the EB, five of the nine members are women. At the level of recipient countries, except for Tanzania where the evaluation team undertook a field mission, the degree of involvement of women is mainly based on documents submitted by countries. In Tanzania, involvement of women in the project is satisfactory. Three of the five persons interviewed were women, and the national project coordinator confirmed the active involvement of women in project activities such as training or awareness raising workshops. Based on the list of participants in project activities, the involvement of women in some recipient countries has been satisfactory, while in others the participation of women was somewhat low. To ensure gender equity, SSP should consider monitoring closely whether what is proposed in the section “Project Gender Considerations / Mainstreaming” of the countries project documents is actually being implemented. This section is rated **‘Moderately Satisfactory’**.

## **6.5 Country Ownership and Driven-ness**

145. As per the eligibility criteria, only countries can submit proposals to apply for SP grants. A high country ownership and driven-ness of the projects was expected from the recipient countries. To assess this aspect, the following questions were asked in the surveys carried out: (1) *Did the project get strong support from the government (or national authorities)?* (2) *Were the key stakeholders actively involved in project implementation?* (3) *Was the collaboration and interaction amongst the key stakeholders satisfactory?* The feedback gathered through the survey confirmed the high ownership and country driven-ness of the projects. All the countries reported that the project was led by a ministry and benefited from a strong government support as well as an active involvement of the key stakeholders. In most countries, the key stakeholders were government institutions such as ministries of environment, health or agriculture, customs and academia, and in some countries NGOs and industrial associations were also invited to participate in the project. Country Ownership and driven-ness is rated **‘Highly Satisfactory’**.

## **6.6 Communication and Public Awareness**

146. Communication to promote the SP to potential applicant countries has been very successful as according to feedback from survey, the applicant countries reported that they heard about the SP from very different sources: UN Environment Regional Office Africa, UN Environment website, website of Minamata Convention, Notification from SSP, Notification from BRS, during COP8 of Stockholm Convention, WHO Regional Office, South Pacific Regional Environmental Programme, National Focal Point of SAICM, Networking – neighbouring countries and UNEA. The websites of partners also provide links to the SP. In addition, the SSP was present in BRS, Minamata and SAICM

conferences and events to promote the SP and webinars have also been organised (see Section 5.4.1 para 79).

147. According to the ProDoc, the project results would be communicated through a wide selection of high profile / high impact communication tools and products including websites, guidance materials, publications, newsletters and factsheets, sets of best practices, and the planned review and evaluation that will be made available through the UNEP website, as well as through the website of partners to be accessible to as many users including Government officials for decision making purposes and implementing their global environmental obligations.

148. At country level, a number of workshops related to the sound management of chemicals and wastes have been held. During the country mission to Tanzania, the evaluation was briefed on the effectiveness of the training provided to agricultural extension officers, regulatory authorities in oil and gas sector and local government authorities.

149. At mid-term, a number of communication tools have been produced that include a website<sup>18</sup> that have been developed to promote the SP, the project results and best practices. E-learning modules are also being developed and are intended to assist countries in developing their application for SP grants. The evaluation is of the view that it is too early to judge the effectiveness of the e-learning module. The programme has been renamed and also a new logo was designed.

150. Communication and Public Awareness is rated '**Satisfactory**'.

## **7. Conclusions and Recommendations**

### **7.1 Conclusions**

151. The objective of the SP is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional strengthening under the SP will facilitate and enable the implementation of the BRS conventions, the Minamata Convention and the SAICM.

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<sup>18</sup> <https://www.unenvironment.org/explore-topics/chemicals-waste/what-we-do/special-programme>

152. The expected outcome of the SP is to promote that sound chemicals and waste management is adequately addressed in international, regional and national decision-making and support that affirmative actions are taken by countries to manage chemicals and waste soundly.

153. In the ToR for this MTE, the evaluation was asked to assess the performance and implementation of the SP, its management and governance arrangements and, to the extent possible, if the projects it is funding are contributing to institutional strengthening and building capacity at the national level towards the sound management of chemicals and waste.

154. The SP was adequately managed by the Economy Division of the Chemicals and Health Branch of the UN Environment which provided the Secretariat/Project Management Team. The latter as at October 2019 comprises a full-time Project Manager who is supported by one Programme Officer, one Associate Programme Officer, one Administrative Officer and one part-time Fund Management Officer. The Project Manager is the day-to-day implementer and coordinator who is responsible for implementation and reporting of activities for delivery of project outputs. The Project Manager liaises with and works collaboratively with the national project focal points of the countries to ensure activities are implemented on time and monitor progress. The Project Manager has the overall responsibility for executing the SP on behalf of UN Environment. Staffing of SSP is currently satisfactory if there is no transfer of staff. However, due to the increasing number of application proposals and approved country projects, an increase in staffing at the level of SSP is recommended for proper evaluation and monitoring of the country projects.

155. The EB is the decision-making body and oversees the SP. The EB is composed of four representatives of recipient countries, reflecting equitable, geographical representation, one representative from LDC or SIDS on a rotational basis, and five donor representatives, which are not also recipient countries. The term of the representatives is a two-year rotation. A delay was encountered in the nomination of an EB member in 2019.

156. The SP is part of the sub-programme 5 on Chemicals and Waste in UN Environment's Programme of Work and is also in line with the Medium Term Strategy of the UN Environment that builds upon the Rio+20 outcome document and the 2030 Agenda for Sustainable Development. It is also highly relevant to the recipient countries as it would help in institutional strengthening in their objective to promote sound management of chemicals and waste.

157. The SP has been properly designed, drawing from lessons learnt from the GEF and SAICM Quick Start Programme. Many strengths and no major weaknesses have been identified. The proposed TOC has been modified by evaluation to better reconstruct the change that needs to operate for impact.

158. For the first three rounds of applications, 42 country project proposals have been approved for funding (1<sup>st</sup> round: 7 projects – US\$ 1.75 million; 2<sup>nd</sup> round: 17 projects – US\$ 5,096,735; 3<sup>rd</sup> round: 18 projects – US\$ 4,703,849). 33 of them are funded to the tune of less than US\$ 251,000 whereas 4 (Angola, Nigeria, Afghanistan and Vietnam) will be in receipt of funding of US\$ 490,000-500,000 by project completion. 25, 14 and 3 projects have a proposed duration of 36, 24-27 and 18-20 months respectively. However only 27 (7 from 1<sup>st</sup> round, 14 from 2<sup>nd</sup> round and 6 from 3<sup>rd</sup> round) are currently being implemented, including the project in Ukraine which has been stopped pending development.

159. At mid-term, the outputs in the log frame have been satisfactorily delivered to date, the direct outcome is mostly likely to be achieved and impact of the SP is currently assessed as **'likely'**. as there are already indications that five of the intermediate states, identified by the evaluation, are occurring, namely: (i) Intermediate state 2 – *Countries take steps towards the development of an action plan in preparation for the ratification of the Basel, Rotterdam, Stockholm or Minamata Conventions*; (ii) Intermediate state 3 – *Countries draft national legislation on chemicals and waste management*; (iii) Intermediate state 4 – *Countries report that they have developed national legislation on chemicals and waste management*; (iv) Intermediate state 6 – *Increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle*; and (v) Intermediate state 8 – *Mainstreaming of the sound management of chemicals and wastes into national development plans, national budgets, policies, legislation and implementation frameworks at all levels*.

160. It is observed that the amount budgeted for some activities, namely activity 2.1 (screening and appraisal of applications) and activity 3.2 (development and implementation of the Communications Strategy) already exceeded the initial amount earmarked. A lesser amount has been disbursed to transfers and grants due to delay in the signing of legal agreements and in the country project implementation.

161. The launch of the 4<sup>th</sup> round of applications has been delayed. Signing of some legal agreements took longer than what were initially proposed. PCA with three countries whose projects have been approved in the second round of applications have still not yet been signed. Most country projects are also not always implemented as per the initial plan and experienced delays.

162. The ratings of the different evaluation aspects related to project implementation are summarized in Table 13.

Table 13: Summary of Performance Ratings

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<b>A. Strategic Relevance</b>		<b>HS</b>
<i>Alignment to the UN Environment Medium Term Strategy<sup>19</sup> (MTS) and Programme of Work (POW)</i>	The SP is part of the sub-programme 5 on Chemicals and Waste in the UN Environment's POW, as it provides dedicated support to institutional strengthening at the national level towards the implementation of SAICM, the Minamata Convention on Mercury and the BRS conventions. It is also in line with the MTS of the UN Environment that builds upon the Rio+20 outcome document and the 2030 Agenda for Sustainable Development.	<b>HS</b>
<i>Alignment to UN Environment / Donor Strategic Priorities</i>	The objective of the SP is in line with the POW of the UN Environment, in particular to promote environmental sustainability while contributing to a balanced integration of the economic, social and environmental dimensions of sustainable development.	<b>HS</b>
<i>Complementarity with Existing Interventions</i>	The SP is part of a global effort to promote the sound management of chemicals and wastes. It is complementary to funding provided under GEF and the Special International Programme for the Minamata Convention. Measures, such as the establishment of an Internal Task Team, comprising of representatives of the Secretariats of BRS conventions, Minamata Convention, SAICM and GEF to screen and appraise the country application proposals and the inclusion in guidance documents of what constitutes a SP funded project and what is not, have been correctly addressed to ensure complementarity and avoidance of duplication.	<b>HS</b>

<sup>19</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<b>B. Quality of Design</b>	The SP was properly designed and drew lessons learnt from the GEF and the SAICM Quick Start Programme. Many strengths and no major weaknesses were identified. It has a well-structured logical framework with indicators at outcome and output levels, with baseline and targets. The roles and responsibilities of the key partners have been properly described. The proposed TOC has been modified by evaluation to better reflect the changes that need to take place for long-term impact to be realized.	<b>HS</b>
<b>C. Nature of External Context</b>	As at October 2019, external factors such as conflict and natural disaster did not occur during the implementation of the SP and SP-funded country projects. However, the holding of elections and change of government have been reported to delay country project implementation and signing of legal agreements with the recipient countries respectively.	<b>F</b>
<b>D. Effectiveness</b>		<b>S</b>
<i>1. Delivery of outputs</i>	The SP is currently on target in the delivery of outputs and in some cases already exceeding the set targets within planned budget and timeframe.	<b>S</b>
<i>2. Achievement of direct outcomes</i>	The outcome is most likely to be achieved by the end of the Special Programme.	<b>S</b>
<i>3. Likelihood of impact</i>	No evidence of negative impacts on human health or on the environment as a result of project interventions was observed in the recipient countries. Although too early to predict, there are good chances for achievement of the intended impact – to decrease the negative effects of chemicals and wastes on health – in the long term.	<b>L</b>
<b>E. Financial Management</b>		<b>S</b>
<i>1. Completeness of financial information</i>	All key and current information on budget and expenditures and financial sheets for the SP and the SP-funded projects have been provided.	<b>HS</b>
<i>2. Communication between finance and project management staff</i>	Timely communication was slightly affected due to non-availability of a dedicated budget and finance officer within the SSP in 2017-2019. The amount earmarked was overspent for some activities.	<b>MS</b>
<b>F. Efficiency</b>	Most of the proposed milestones for the SP have been attained. However, most SP-funded country projects are not always implemented as per the initial plan and experienced delays. Signing of some legal agreements took longer than the proposed timeframe.	<b>S</b>

<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
<b>G. Monitoring and Reporting</b>		<b>MS</b>
<i>1. Monitoring, design and budgeting</i>	The SP and the SP-funded country projects have an adequate log frame with SMART indicators proposed and the monitoring and evaluation have been properly budgeted.	<b>MS</b>
<i>2. Monitoring of the Special Programme and project implementation</i>	The log frame was used as basis for monitoring progress at both SP and SP-funded country project level. Reporting from each country was moderately satisfactory as some delays have been encountered and also the quality of some reports was not satisfactory.	<b>MS</b>
<i>3. Programme and Project reporting</i>	Timely progress and update reports are provided to the EB and donor countries as per ToR of the SP and donor agreements. The reports contain most information required and from interviews with donors, the latter are satisfied with its content and quality.	<b>S</b>
<i>4. Evaluation arrangements</i>	The log frame of the SP may not be adequate to capture changes at national level and all the actions the recipient countries are taking as a result of the implementation of the country projects. The addition of a new output and indicators were proposed at the 5 <sup>th</sup> EB meeting.	<b>S</b>
<b>H. Sustainability</b>		<b>ML</b>
<i>1. Socio-political sustainability</i>	National governments are very committed to soundly manage chemicals and wastes in order to protect the health of their populations and the environment.	<b>L</b>
<i>2. Financial sustainability</i>	Many countries would require to establish cost recovery mechanisms or other form of financial assistance for continuation of project benefits. Risks are therefore considered moderate to high.	<b>MU</b>
<i>3. Institutional sustainability</i>	Institutional capacity in most countries is robust enough to continue delivering project benefits beyond the lifetime of the SP.	<b>L</b>
<b>I. Factors Affecting Performance</b>		<b>S</b>
<i>1. Preparation and readiness</i>	There was an adequate mapping of stakeholders and identification of the key actors with proper description of their roles and responsibilities. There is a good relationship and cooperation between the members of the Internal Task Team. Staffing of SSP improved as work progressed. The amount contributed or pledged by the donors increased by about US\$ 10 million with an increase also in the number of donors. Signing of legal	<b>S</b>



<b>Criterion</b>	<b>Summary Assessment</b>	<b>Rating</b>
	agreements with recipient countries took longer than initially expected.	
<i>2. Quality of management and supervision</i>	The approach described in the ProDoc was adopted for the implementation of the SP. Most of the stakeholders recognized the good supervision and coordination work provided by the UN Environment, through the SSP. Improved guidance documents were prepared for each subsequent round of applications and the support provided by the SSP in the implementation phase of funded country projects was well appreciated.	<b>S</b>
<i>3. Stakeholders participation and cooperation</i>	Participation and involvement of the stakeholders in the work of the SP was very satisfactory, which allowed to meet most of the mid-term targets of the project objectives. The Internal Task Team was actively involved in the appraisal of country project applications. All the stakeholders contributed to the visibility of the SP by advertising it on their website and also during the various conferences and events organised by them.	<b>HS</b>
<i>4. Responsiveness to human rights and gender equity</i>	While the aspect of human rights was not mentioned in the SP ProDoc, that for indigenous peoples was adequately covered. Involvement of women was adequate at the SSP level. However, at funded country project level, whilst it is satisfactory in some countries, in others the attention to gender equity was rather low.	<b>MS</b>
<i>5. Country ownership and driven-ness</i>	High ownership and country driven-ness of projects were seen in the recipient countries. All the countries reported that the projects benefited from a strong government support as well as an active involvement of the key stakeholders.	<b>HS</b>
<i>6. Communication and public awareness</i>	A number of communication tools have been produced that include a website that have been developed to promote the SP, the project results and best practices. E-learning modules are also being developed and are intended to assist countries in developing their application for SP grants. At country level, a number of awareness and training workshops related to the sound management of chemicals and wastes have been held.	<b>S</b>
<b>Overall Project Rating</b>		<b>S</b>

## 7.2 Lesson Learnt

**Lesson 1:** During the design of the Special Programme, while planning the log frame for delivery of outputs at the national level, appropriate outputs and indicators should be identified to take into account the sustainability of the country project outcomes and all the actions of the implementing countries.

## 7.3 Recommendations

The following recommendations are addressed to:

### **Secretariat of the Special Programme**

- Revise outcome indicators as the current ones may not be appropriate to capture financial and institutional changes at country level (or reporting to Multilateral Environmental Agreements)
- Provide specific support to countries whose applications had been unsuccessful 2 or more times
- Translate the guidance documents into Russian
- Include a section on human rights and indigenous peoples in the application form;
- Put in place a system to ensure appropriate responses from application countries to all comments made by the Internal Task Team on their project proposals
- During notification of country project application outcome, inform officially at least two persons (one should be ideally one full time permanent public officer) and request acknowledgements of the notifications by the recipients
- After approval of country project by the Executive Board, provide a complete list of all requirements and amendments to countries to avoid delays in the signature of the legal agreements
- Monitor progress at both output and results (outcome) level in countries implementing the Special Programme funded projects
- Provide a guidance document on country progress reports which include some good examples of good quality reports
- Put in place a system to ensure that countries are fully informed about the Special Programme being a linker linked and mutually supportive element of the integrated approach to long term funding.

## **Secretariat of the Special Programme and the Executive Board**

- Consider including other thematic areas such as marine litter (plastic waste) and health sector, but in the context of Basel, Rotterdam and Stockholm, Minamata or SAICM
- Put an appropriate selection mechanism in place and launch process early enough to ensure that board membership is established before Executive Board meetings
- Introduce alternates for Executive Board members where possible as a replacement in case an Executive Board member is unavailable
- Ensure that regions / groups of countries be properly represented in the Executive Board
- Provide financial assistance to countries, which already benefited from the Special Programme Trust Fund, but which need further financial assistance for consolidation of country project results
- Increase staffing (at least 1 more staff) at the Secretariat of the Special Programme level due to increasing number of country applications and approved projects and also involve UNEP regional offices where feasible and relevant
- Put a reasonable timeframe (e.g. 6 months) for the signature of legal agreements with the recipient countries
- Consider having E-learning modules in other United Nations languages
- Include the assessment of a sample of completed Special Programme-funded projects (e.g. projects having similar themes) in the terms of reference of the terminal evaluation of the Special Programme
- Revise budget allocations for the different planned activities of the Special Programme as the amount earmarked for certain activities has already been overspent

## **Secretariat of the Special Programme and the United Nations Communication**

### **Team**

- Provide regular summary of lessons learnt, good practices and success stories and communicating / sharing to relevant groups / stakeholders (e.g. countries and donors)
- Include start and proposed end date for the funded country projects in the project summary found in the Special Programme website

## Annex 1: ToRs of the midterm evaluation of the Special Programme

### **Draft Terms of Reference for the Mid-Term Evaluation of the “Special Programme to support institutional strengthening at the national level for implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management”**

#### **I. BACKGROUND AND OVERVIEW**

##### **A. Rationale for the Special Programme**

In view of the increased need for *sustainable, predictable, adequate and accessible financing* for the *chemicals and waste* agenda, the Executive Director of UN Environment Programme made a proposal for an Integrated Approach to financing sound management of chemicals and waste, that was presented at the 27<sup>th</sup> session of the UN Environment Programme Governing Council, in February 2013. The UN Environment Programme Governing Council, in its Decision 27/12 on Chemicals and waste management, welcomed the integrated approach and underscored that the three components of an integrated approach, mainstreaming, industry involvement and dedicated external finance, are mutually reinforcing and are all important for the financing of sound management of chemicals and waste.

The first session of the United Nations Environment Assembly (UNEA-1), in June 2014, in resolution 1/5 on Chemicals and Waste, further adopted the terms of reference for a Special Programme, to be funded by voluntary contributions, to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management (SAICM). The Special Programme is one of two complementary elements of dedicated external financing under the integrated approach, with the GEF being the other element.

The design of the Special Programme was pursuant to UNEA-1 resolution 1/5 that requested UN Environment to provide a Special Programme trust fund and a secretariat to deliver administrative support to the Programme. The main outputs would include: the establishment of a Special Programme Executive Board, the establishment of a Special Programme Trust Fund and its Secretariat, and the development of the **Project Document** to fully operationalize the Special Programme, in accordance with the mandate provided by governments at UNEA-1.

The expected outcome of the Special Programme is to ensure that sound chemicals and waste management is adequately addressed in international, regional and national decision-making and affirmative actions are taken by countries to manage chemicals and waste soundly.

##### **B. Objectives of the Special Programme**

The objective of the Special Programme is to support country-driven institutional strengthening at the national level, in the context of an integrated approach to address the financing of the sound management of chemicals and wastes, taking into account the national development strategies, plans and priorities of each country, to increase sustainable public institutional capacity for the sound management of chemicals and wastes throughout their life cycle. Institutional

strengthening under the Special Programme will facilitate and enable the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management.

For the purposes of the Special Programme, institutional strengthening is defined as enhancing the sustainable institutional capacity of Governments to develop, adopt, monitor and enforce policy, legislation and regulation, as well as to gain access to financial and other resources for effective frameworks for the implementation of the Instruments for the sound management of chemicals and wastes throughout their life cycle.

The expected outcome of the Special Programme is to strengthen the capacities of national institutions to do the following:

- (a) Develop and monitor the implementation of national policies, strategies, programmes and legislation for the sound management of chemicals and waste;
- (b) Promote the adoption, monitoring and enforcement of legislation and regulatory frameworks for the sound management of chemicals and waste;
- (c) Promote the mainstreaming of the sound management of chemicals and waste into national development plans, national budgets, policies, legislation and implementation frameworks at all levels, including addressing gaps and avoiding duplication;
- (d) Work in a multisectoral, effective, efficient, transparent, accountable and sustainable manner in the long term;
- (e) Facilitate multisectoral and multi-stakeholder cooperation and coordination at the national level;
- (f) Promote private sector responsibility, accountability and involvement;
- (g) Promote the effective implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention and the Strategic Approach;
- (h) Promote cooperative and coordinated implementation of the Basel, Rotterdam, and Stockholm Conventions, the Minamata Convention and the Strategic Approach to International Chemicals Management at the national level.

## **II. OBJECTIVE AND SCOPE OF THE EVALUATION**

### **A. Objective of the Evaluation**

In line with the UN Environment Evaluation Policy<sup>20</sup> and taking note of the decisions taken at the fourth meeting of the Executive Board, a Mid-term Evaluation of the Special Programme will be undertaken approximately half way through the approved implementation period to analyze whether it is on-track to meeting its objectives, to identify what problems and/or challenges the Special Programme is encountering, and what corrective actions may be required.

<sup>20</sup> <http://www.unep.org/eou/StandardsPolicyandPractices/UNEPEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

The Mid-term Evaluation will assess the performance and implementation of the Special Programme<sup>21</sup>, its management and governance arrangements and, to the extent possible, if the projects it is funding are contributing to institutional strengthening and building capacity at the national level towards the sound management of chemicals and waste.

The evaluation will apply internationally accepted criteria to assess the performance of the Special Programme including: Strategic Relevance; Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; Financial Management; Efficiency; Monitoring and Reporting; and Sustainability. Factors affecting the performance of the Special Programme will also be explored.

The evaluation has two primary purposes: (i) to provide evidence of performance and results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among the main stakeholders active in the Special Programme including UN Environment, donor and recipient governments. The evaluation will identify lessons of operational relevance to the work of the Secretariat, of the functioning of the Executive Board and guidance for future formulation and implementation of projects supported by the Special Programme.

## B. Key Strategic Questions

In addition to the evaluation criteria outlined below, the evaluation will address several **strategic questions** of interest to Special Programme:

- A. Can the governance arrangements of the Special Programme be further elaborated to include clear nomination and selection processes for the Executive Board members?
- B. Should the application process be revised? There are several issues relevant to the application process that should be examined to improve the application process and ensure the submission of successful and strong Special Programme projects in the future, including, but not restricted to:
  - language barriers, lack of understanding of the scope of the Special Programme (project vs. programmatic), domestic measures requirements, long term sustainability, country ownership versus agency drivenness, multisectoral engagement, the length of the application development period.
- C. Should the scope of the Special Programme be revised to include regional priorities in addition to national priorities? Countries apply with a national project but it may be valuable to include regional applications in the future.
- D. What are the strengths and weaknesses of the monitoring and reporting processes for approved Special Programme projects? Does the current portfolio level information give a good overview of the progress and implementation status of active projects (e.g. National Implementation Plans of the Stockholm Convention, Quick Start Programme of SAICM and the GEF, as well as synergies with other national and regional programmes)?

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<sup>21</sup> The scope of the evaluation is defined by the approved Project Document for the Special Programme mentioned in Section A.

- E. How can lessons learned from implementation of previous projects of similar scope and focus be better captured and utilised in future Special Programme project proposals?
- F. How can the Special Programme further its outreach and success, while ensuring involvement and participation from governments, civil society and industry?

How has the Special Programme helped to catalyse additional resources or reinforce the other two components (mainstreaming and industry involvement), in line with the integrated approach to financing of chemicals and waste?

### III. EVALUATION ARRANGEMENTS, APPROACH, METHODS AND DELIVERABLES

#### ARRANGEMENTS

All initiatives that form a part of the UNEP Programme of Work are subject to evaluation. In accordance with UNEP's evaluation policy, evaluations are conducted by the UNEP Evaluation Office which operates independently of UNEP's substantive programmatic work. The Evaluation Office reports to Member States through the Executive Director of UNEP. The Evaluation Office of UNEP will commission and manage this Mid-Term Evaluation.

The Mid-Term Evaluation will provide an in-depth evaluation using a participatory approach whereby key stakeholders will be consulted and kept informed throughout the evaluation process. Both quantitative and qualitative evaluation methods will be used, as appropriate, to determine achievements against the expected outputs, outcomes and impacts. It is highly recommended that the evaluation consultant maintains close communication with the Secretariat of the Special Programme and promotes information exchange with key stakeholders throughout the evaluation to increase their (and other stakeholder) ownership of the evaluation findings.

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

#### A desk review of:

- Relevant background documentation, including reporting documents, legal agreements, the Project Document, donor reporting documents, amongst others;
- Executive Board meeting reports and associated documentation
- The formal UN Environment project design document for the Special Programme, including minutes of the project design review meeting at approval; Annual Work Plans and Budgets or equivalent, revisions to the project, the logical framework and its budget;
- Reports such as annual progress and financial reports, progress reports from collaborating partners, meeting minutes, relevant correspondence etc.;
- Evaluations/reviews of similar initiatives.

#### Interviews (individual or in group) with:

- Executive Board Members;
- UN Environment Special Programme Secretariat staff;
- UN Environment Fund Management Officer (FMO);
- Sub-Programme Coordinator and regional sub-programme coordinators;
- The Internal task team – BRS, Minamata, SAICM and GEF Secretariats.

- Active members of the IOMC e.g. UNITAR, UNDP, WHO, UNIDO.
  - Special Programme Project partners, including focal points for the first and second round projects;
  - Relevant resource persons.
- (a) **Surveys** for recipient governments and those involved with Special Programme projects in recipient countries
- (b) **Field visits** to select countries that are implementing projects from the first and second round of applications

#### A. Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- **Inception Report:** containing an assessment of the design quality of the UN Environment Project document for the Special Programme, a draft reconstructed Theory of Change, 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 help build ownership of evaluation findings conclusions and recommendations among the key stakeholders. It provides an opportunity for early comments and feedback before preparation of a formal draft report.
- **Draft and Final Evaluation Report:** 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 as well as an annotated ratings table.
- **Evaluation Bulletin:** a 2-page summary of key evaluation findings for wider dissemination, e.g. through the Special Programme websites.

#### ***Review of the draft evaluation report.***

The evaluator 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 Office will share the cleared draft report with the Special Programme Coordination Officer, who will alert the Evaluation Office in case the report contains any obvious factual errors. The Evaluation Office will then forward revised draft report (corrected by the evaluator team where necessary) to other Special Programme 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 evaluator for consideration in preparing the final report, along with guidance on areas of contradiction or issues requiring an institutional response.

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 ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings.

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.

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 Special Programme Coordination Officer. The Evaluation Office will track compliance against this plan on a six monthly basis.

## **B. The Evaluation Consultant**

This evaluation will be prepared by an evaluation consultant who will work under the overall responsibility of the Evaluation Office represented by the Director of Evaluation, in consultation with the UN Environment Special Programme Coordination Officer, Ms. Nalini Sharma, the Fund Management Officer, Ms. Erika Mattson and the Sub-programme Coordinators (global and regional) of the Chemicals, Waste and Air quality Sub-programme. The evaluation consultant will liaise with the Director of Evaluation on any procedural and methodological matters related to the evaluation. It is, however, the evaluation consultant's 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 Special Programme Coordination Officer and the Secretariat team will, where possible, provide logistical support (introductions, meetings etc.) allowing the evaluation consultant to conduct the evaluation as efficiently and independently as possible.

The evaluation consultant will be hired for the period April 2019 to September 2019 and should have: an advanced university degree in environmental sciences, international development or other relevant political or social sciences area; a minimum of 10 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a broad understanding of issues relating to international chemicals management; proficiency in English is required knowledge of French is desirable, along with excellent writing skills in English; where possible, knowledge of the UN system, specifically of the work of UN Environment.

The evaluation consultant will be responsible, in close consultation with the Evaluation Office of the UN Environment Programme, for overall management of the evaluation and timely delivery of its outputs, described above in Section A Evaluation Deliverables and Review Procedures, above.

In close consultation with the Director of Evaluation, the Evaluation Consultant will be responsible for the overall management of the evaluation and timely delivery of its outputs, data collection and analysis and report-writing. More specifically:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with key staff;
- draft the reconstructed Theory of Change of the Special Programme;
- prepare the evaluation framework;

- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- develop and present criteria for country and/or site selection for the evaluation mission;
- plan the evaluation schedule;
- prepare the Inception Report, incorporating comments until approved by the Evaluation Manager

Data collection and analysis phase of the evaluation, including:

- conduct further desk review and in-depth interviews with; Executive Board Members, Special Programme Secretariat staff, the Fund Management Officer, the internal task team – BRS, Minamata, SAICM and GEF Secretariats, active members of the IOMC e.g. UNITAR, UNDP, WHO, UNIDO, Special Programme Project partners, including focal points for the first and second round projects. UN Environment Global and regional subprogramme coordinators.
- conduct an evaluation mission(s) to selected countries (where appropriate and agreed), visit the Special Programme project locations, interview project partners and stakeholders, including a good representation of local communities. Ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Office on progress and inform of any possible problems or issues encountered and;
- keep the Special Programme Coordination Officer informed of the evaluation progress and engage her in discussions on emerging findings throughout the evaluation process.

Reporting phase, including:

- draft the Main Evaluation Report, ensuring that the evaluation report is complete, coherent and consistent with the Evaluation Manager guidelines both in substance and style;
- liaise with the Evaluation Manager on comments received and finalize the Main Evaluation Report, ensuring that comments are taken into account until approved by the Evaluation Manager
- prepare a Response to Comments annex for the main report, listing those comments not accepted by the Evaluation Consultant and indicating the reason for the rejection; and
- prepare a 2-page summary of the key evaluation findings and lessons.

Managing 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;
- communicate in a timely manner with the Evaluation Manager on any issues requiring its attention and intervention.

### C. Schedule of the Evaluation

The table below presents the tentative schedule for the evaluation.

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

Milestone	Tentative Dates
Inception Mission	April 2019
Inception Report	April 2019

Evaluation Mission	May 2019
Telephone interviews, surveys etc.	May/June
PowerPoint presentation on preliminary findings and recommendations	July 2019
Draft report to Evaluation Manager (and Peer Reviewer)	August 2019
Draft Report shared with Special Programme Coordination Officer & team	August 2019
Draft Report shared with wider group of Special Programme stakeholders including the Executive Board	September 2019
Final Report	September 2019
Final Report shared with all respondents	October 2019

#### D. Contractual Arrangements

The Evaluation Consultant 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 evaluation consultant certifies that he/she has not been associated with the design and implementation of the Special Programme in any way which may jeopardize their independence and impartiality towards achievements and performance. In addition, he/she will not have any future interests (within six months after completion of the contract) with the work of the Special Programme. The evaluation consultant is required to sign the Code of Conduct Agreement Form.

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

Schedule of Payment for the Evaluation consultant:

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

Fees only contracts: Air tickets will be purchased by UN Environment and 75% of the Daily Subsistence Allowance for each authorized 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.

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

In case the evaluation consultant is 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 evaluation consultant has improved the deliverables to meet UN Environment’s quality standards.

If the evaluation consultant fails 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.

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### Appendix 1. Summary Information.

**Table 1. Summary information for the Special Programme<sup>22</sup>**

UN Environment PIMS ID:	01967		
Implementing Partners	Governments from developing countries and countries with economies in transition; NGOs and UN organisations		
Sub-programme:	Chemicals and Health	Expected Accomplishment(s):	Countries increasingly have the necessary institutional capacity and policy instruments to manage chemicals and waste soundly, including the implementation of related provisions in the multilateral environmental agreements.
UN Environment approval date:	November 2016	Programme of Work Output(s):	Consolidated advisory and support services promote the sound management of chemicals at national level, including mainstreaming into national policies and programmes, instruments and schemes for the governance of chemicals production, use, trade and release.
<i>Expected</i> start date:	2016	<i>Actual</i> start date:	2016
<i>Planned</i> completion date:	2021	<i>Actual</i> completion date:	N/A
<i>Planned</i> project budget at approval:	USD 15,931,190	<i>Actual</i> total expenditures reported as of [date]:	USD 5,218,138 (30 September 2018)
<i>Planned</i> Environment Fund allocation:	tbc	<i>Actual</i> Environment Fund expenditures reported as of [date]:	tbc

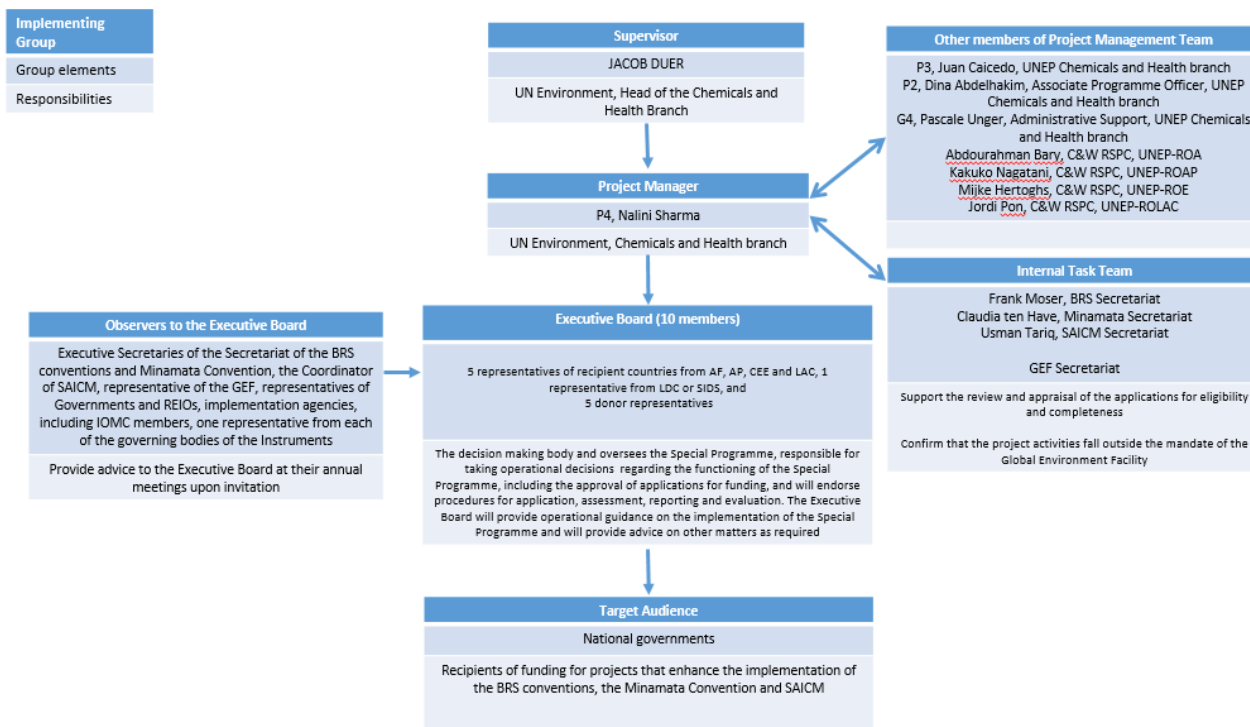
<sup>22</sup> The activities and work of the Special Programme and its Secretariat are described within the UN Environment Programme of Work as a 'project' and a formal project document exists. However, for ease of understanding, reference to this has been minimised in this Terms of Reference.

<i>Planned</i> Extra-Budgetary Financing:	USD 30,000,000	Secured Extra-Budgetary Financing:	USD 15,931,190
		Actual Extra-Budgetary Financing expenditures reported as of [date]:	USD 5,218,138 (30 September 2018)
First disbursement:	N/A	Date of financial closure:	N/A
No. of revisions:	N/A	Date of last revision:	N/A
No. of Executive Board meetings:	4	Date of last/next Executive Board meeting:	Last: January 2019 Next: October 2019
Mid-term Review/ Evaluation ( <i>planned date</i> ):	Mid 2019	Mid-term Review/ Evaluation ( <i>actual date</i> ):	April – September 2019
Terminal Evaluation ( <i>planned date</i> ):	July 2021	Terminal Evaluation ( <i>actual date</i> ):	N/A
Coverage - Country(ies):	Kyrgyz Republic, Ukraine, Benin, Iraq, Tanzania, Dominican Republic, Argentina, Afghanistan, Belarus, Brazil, China, Ecuador, Former Yugoslav Republic of Macedonia, The Gambia, Ghana, India, Kenya, Kiribati, Nigeria, Papua New Guinea, Republic of Moldova, Serbia, Uganda and Vietnam	Coverage - Region(s):	Africa, Asia Pacific, Central and Eastern Europe and Latin America and the Caribbean
Dates of previous project phases:	N/A	Status of future project phases:	

### A. Executing Arrangements

The Secretariat of the Special Programme on Institutional Strengthening, is hosted by the Chemicals and Health Branch of the Economy Division, UN Environment.

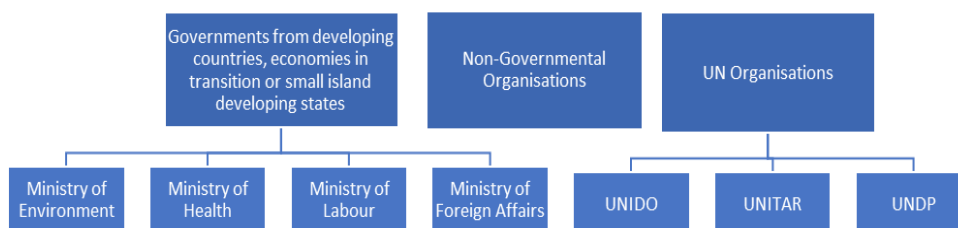
The organigramme below depicts the organizational structure of the Special Programme.



The Special Programme’s Executive Board, comprised of five donor countries and five recipient country members, is the decision-making body that oversees the Special Programme, with the support of the Secretariat. Executive Board members are appointed for a two-year term.

In terms of mandate and functions of the Executive Board, it has two co-chairs, one from a recipient country and one from a donor country. The Executive Board takes operational decisions regarding the functioning of the Special Programme, including the approval of applications for funding, and endorses procedures for application, assessment, reporting and evaluation. The Executive Board will provide operational guidance on the implementation of the Special Programme and will provide advice on other matters as required.

The organigramme below depicts the Special Programme’s execution partners.



## B. Special Programme Cost and Financing

The budget summary in July 2016 was as follows :

SP TF	Project Output	Activity No.	Activities	Extrabudgetary resources Budget by Year / Commitment Class (USD)																						Total		
				1. Staff and Other Personnel Costs						2. Contractual Services						3. Travel				7. Transfers and Grants issued to Implementing Partner (IP)								
				2017	2018	2019	2020	2021	2022	2017	2018	2019	2020	2021	2022	2017	2018	2019	2020	2021	2022	2017	2018	2019	2020		2021	2022
1			Management of the Special Programme Trust Fund and providing secretariat services to the Special Programme Executive Board																									
		1.1	Planning and convening of the Board meetings	30000	10000	10000	10000	10000																				
		1.2	Project application cycles to be funded by the Special Programme Trust Fund	10000	10000	10000	10000	10000																				
		1.3	Project application guidelines and project application forms (including gender considerations) revised following lessons learned from the pilot phase of the application round																									
		<b>Sub-Total</b>		<b>40,000</b>	<b>20,000</b>	<b>20,000</b>	<b>20,000</b>	<b>20,000</b>	<b>0</b>	<b>10,000</b>	<b>15,000</b>	<b>15,000</b>	<b>20,000</b>	<b>20,000</b>	<b>0</b>	<b>45,000</b>	<b>45,000</b>	<b>45,000</b>	<b>50,000</b>	<b>50,000</b>	<b>50,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>485,000</b>	
2			Technical assistance and management of the Special Programme approved projects in line with the Terms of Reference of the Special Programme and guidance by the Special Programme Executive Board																									
		2.1	Applications for the Special Programme screening and appraisal (contributions with 7% PSC)	75,000	100,000	100,000	100,000	100,000	100,000																			
			Applications for the Special Programme screening and appraisal (contributions with 13% PSC)	25,000	53,000	50,000	0	0	0																			
		2.2	Development and management of SSFAs (contributions with 7%PSC)	120,834	120,000	120,000	120,000	120,000	35,000																			
			Development and management of SSFAs (contributions with 13%PSC)	50,000	100,000	100,000	0	0	0																			
		2.3	Report for UNEA-3																									
		2.4	Report on the final project reports and financial audits for the application prepared	20,000	20,000	20,000	20,000	20,000																				
		<b>Sub-Total</b>		<b>290,834</b>	<b>393,000</b>	<b>390,000</b>	<b>240,000</b>	<b>240,000</b>	<b>135,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>13,190,211</b>	
3			Communication products and services developed and activities conducted																									
		3.1	Comms Specific Behavioural Objectives developed	20,000																								
		3.2	Development and implementation of the communication strategy																									
		3.3	Outreach materials developed	20,000		25,000																						
		3.4	Compilation of all communication products and services for completed projects under the 1st round of applications (contributions with 7% PSC)					25,000	25,000																			
			Compilation of all communication products and services for completed projects under the 1st round of applications (contributions with 13% PSC)																									
		3.5	Findings and promotion of the Special Programme projects presented and communicated at relevant forum	5,000	5,000	5,000	5,000	5,000	5,000																			
		3.6	Review of the communication strategy for the Special Programme is undertaken						15,000																			
		<b>Sub-Total</b>		<b>45,000</b>	<b>5,000</b>	<b>30,000</b>	<b>30,000</b>	<b>45,000</b>	<b>0</b>	<b>36,540</b>	<b>50,000</b>	<b>90,000</b>	<b>95,000</b>	<b>70,000</b>	<b>50,000</b>	<b>5,000</b>	<b>10,000</b>	<b>20,000</b>	<b>15,000</b>	<b>20,000</b>	<b>0</b>	<b>0</b>	<b>10,000</b>	<b>20,000</b>	<b>20,000</b>	<b>20,000</b>	<b>686,540</b>	
4			Evaluation																									
		4.1	Mid-term evaluation																									
		4.2	Final evaluation (contributions with 7% PSC)																									
			Final evaluation (contributions with 13% PSC)																									
		<b>Sub-Total</b>		<b>0</b>	<b>0</b>	<b>62,492</b>	<b>0</b>	<b>150,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>25,000</b>	<b>0</b>	<b>50,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>287,492</b>	
			<b>TOTAL DIRECT COST (of contributions with 7% PSC)</b>	<b>215,834</b>	<b>220,000</b>	<b>282,492</b>	<b>220,000</b>	<b>320,000</b>	<b>135,000</b>	<b>26,540</b>	<b>25,000</b>	<b>30,000</b>	<b>75,000</b>	<b>90,000</b>	<b>50,000</b>	<b>45,000</b>	<b>45,000</b>	<b>45,000</b>	<b>50,000</b>	<b>50,000</b>	<b>50,000</b>	<b>0</b>	<b>4,309,398</b>	<b>2,176,280</b>	<b>2,123,200</b>	<b>0</b>	<b>10,543,744</b>	
			<b>TOTAL DIRECT COST (of contributions with 13% PSC)</b>	<b>160,000</b>	<b>198,000</b>	<b>220,000</b>	<b>70,000</b>	<b>135,000</b>	<b>0</b>	<b>20,000</b>	<b>40,000</b>	<b>75,000</b>	<b>40,000</b>	<b>40,000</b>	<b>0</b>	<b>5,000</b>	<b>10,000</b>	<b>45,000</b>	<b>15,000</b>	<b>70,000</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>4,114,499</b>
			Indirect costs (7%)	15,108	15,400	19,774	15,400	22,400	9,450	1,858	1,750	2,100	5,250	3,500	3,500	3,150	3,150	3,150	3,500	3,500	3,500	0	301,658	152,340	148,624	0	<b>738,062</b>	
			Indirect costs (13%)	20,800	25,740	28,600	9,100	17,550	0	2,600	5,200	9,750	5,200	5,200	0	650	1,300	5,850	1,950	9,100	0	0	27,300	353,795	2,600	2,600	0	<b>534,885</b>
			<b>PROJECT COST INCLUDING PSC (SECURED)</b>	<b>411,742</b>	<b>459,140</b>	<b>550,866</b>	<b>314,500</b>	<b>494,950</b>	<b>144,450</b>	<b>50,998</b>	<b>71,950</b>	<b>116,850</b>	<b>125,450</b>	<b>98,700</b>	<b>53,500</b>	<b>53,800</b>	<b>59,450</b>	<b>99,000</b>	<b>70,450</b>	<b>132,600</b>	<b>53,500</b>	<b>4,611,056</b>	<b>2,569,920</b>	<b>5,347,118</b>	<b>22,600</b>	<b>22,600</b>	<b>15,931,190</b>	



## Appendix 2. Evaluation Principles and Criteria

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

**The “Why?” Question.** As this is a Mid-term Evaluation particular attention should be given to identifying implementation challenges and risks to achieving the expected results and sustainability. Therefore, the “Why?” question should be at the front of the evaluation consultant’s mind all through the evaluation exercise and is supported by the use of a theory of change approach. This means that the evaluation consultant needs to go beyond the assessment of “*what*” the Special Programme 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.

**Baselines and counterfactuals.** In attempting to attribute any outcomes and impacts to the work of the Special Programme, the evaluators should consider the difference between *what has happened with, and what would have happened without, the programme*. This implies that there should be consideration of the baseline conditions, trends and counterfactuals in relation to the intended outcomes and impacts. It also means that there should be plausible evidence to attribute such outcomes and impacts to the actions of the Special Programme. 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 performance.

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

Internationally accepted evaluation criteria will be used including: (A) Strategic Relevance; (B) Effectiveness, which comprises assessments of the delivery of outputs, achievement of outcomes and likelihood of impact; (C) Financial Management; (D) Efficiency; (E) Monitoring and Reporting; and (F) Sustainability. Factors affecting the performance of the Special Programme will also be explored.

### **Strategic Relevance**

The evaluation will include an assessment of the relevance of the Special Programme's work to date in relation to; the formal mandate, Regional Sub-regional and National Priorities, UN Environment and donor strategic priorities. Under strategic relevance an assessment of the complementarity of the Special Programme with other interventions and initiatives addressing the needs of the same target groups will be made.

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

The evaluation will assess the extent to which the Special Programme is suited to, or responding to, the stated environmental concerns and needs of the countries, sub-regions or regions where it is being implemented. Examples may include: national or sub-national development plans, poverty reduction strategies or Nationally Appropriate Mitigation Action (NAMA) plans or regional agreements etc.

#### *i. Alignment to the UN Environment Medium Term Strategy<sup>23</sup> (MTS) and Programme of Work (POW)*

The evaluation should assess the alignment of the Special Programme with the MTS and POW under which it was approved and include, in its narrative, reflections on the scale and scope of any contributions made to the planned results reflected in the relevant MTS and POW.

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

Donor strategic priorities relevant to the Special Programme will be carefully examined. UN Environment strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building<sup>24</sup> (BSP). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies.

#### *iii. Complementarity with Existing Interventions*

An assessment will be made of how well the Special Programme, either at design stage or during the mobilization phase, took account of ongoing and planned initiatives (under the same sub-programme, other UN Environment sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider whether the Special Programme, being a dedicated external funding component of the Integrated approach, has made efforts to ensure it works in a manner that is reinforcing the other two components of the Integrated Approach, mainstreaming and industry involvement, as underscored by the UN

<sup>23</sup> UN Environment's Medium Term Strategy (MTS) is a document that guides UN Environment's programme planning over a four-year period. It identifies UN Environment's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes.

<sup>24</sup> [http://wedocs.unep.org/bitstream/handle/20.500.11822/10581/GC23\\_PROCEEDING\\_ENGLISH.pdf?sequence=1&isAllowed=y](http://wedocs.unep.org/bitstream/handle/20.500.11822/10581/GC23_PROCEEDING_ENGLISH.pdf?sequence=1&isAllowed=y)

Environment Governing Council, in its Decision 27/12. The evaluation will consider whether the Special Programme has made efforts to ensure it works in a manner that is complementary to other sources of support relevant to its objectives, has optimized any synergies and avoided duplication of effort. Examples may include GEF Support, UN Development Assistance Frameworks or One UN programming. 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
- Responsiveness to human rights and gender equity
- Country ownership and driven-ness

### **Effectiveness**

#### ***i. Delivery of Outputs***

The evaluation will assess the Special Programme's success in producing the programmed outputs (*products, capital goods and services*) and achieving milestones as per the design document/ approved workplan. Any *formal* modifications/revisions made during implementation, including decisions of the Executive Board, will be fully considered. The delivery of outputs will be assessed in terms of both quantity and quality, and the assessment will consider their ownership by, and usefulness to, intended beneficiaries and the timeliness of their delivery. The evaluation will briefly explain the reasons behind the success or shortcomings of the Special Programme in delivering its programmed outputs and meeting expected quality standards.

#### ***ii. Achievement of Direct Outcomes***

The achievement of direct outcomes (*short and medium-term effects of the intervention's outputs; a change of behaviour resulting from the use/application of outputs, which is not under the direct control of the intervention's direct actors*) is assessed as performance against the direct outcomes as defined in the results framework for the Special Programme (as captured in the reconstructed Theory of Change). These are the first-level outcomes expected to be achieved as an immediate result of the Special Programmes outputs. The evaluation should report evidence of attribution between the work of the Special Programme and the intended direct outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UN Environment's 'substantive contribution' should be included and/or 'credible association' established between the efforts of the Special Programme and the direct outcomes realised.

*Factors affecting this criterion may include:*

- Quality of management and supervision at various levels
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity
- Communication and public awareness

### ***iii. Likelihood of Impact***

Based on the articulation of longer term effects in the reconstructed TOC<sup>25</sup> (*i.e. from direct outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. The objectives or goals of the Special Programme should be properly reflected in the TOC, possibly as intermediate states or long-term impacts. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

The evaluation will also consider the likelihood that the intervention may lead, or contribute to, unintended negative effects. Some of these potential negative effects may have been identified in the design and planning comments as risks or as part of the analysis of Environmental, Social and Economic Safeguards.<sup>26</sup>

The evaluation will consider the extent to which the Special Programme has played a catalytic role or has promoted scaling up and/or replication<sup>27</sup> as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

Ultimately, UN Environment and all its partners aim to bring about benefits to the environment and human well-being. Few interventions are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of making a substantive contribution to the high level changes represented by UN Environment's Expected Accomplishments, the Sustainable Development Goals and/or the high level results prioritised by the funding partners.

*Factors affecting this criterion may include:*

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

<sup>25</sup> The Evaluation Office's approach to the use of TOC in project evaluations is outlined in a guidance note available on the Evaluation Office website, <https://www.unenvironment.org/about-un-environment/evaluation> and is supported by an excel-based flow chart, 'Likelihood of Impact Assessment Decision Tree'. Essentially the approach follows a 'likelihood tree' from direct outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held.

<sup>26</sup> Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://www.unep.org/about/eses>

<sup>27</sup> *Scaling up* refers to approaches being adopted on a much larger scale, but in a very similar context. Scaling up is often the longer term objective of pilot initiatives. *Replication* refers to approaches being repeated or lessons being explicitly applied in new/different contexts e.g. other geographic areas, different target group etc. Effective replication typically requires some form of revision or adaptation to the new context. It is possible to replicate at either the same or a different scale.

- Communication and public awareness

### ***Financial Management***

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

*Factors affecting this criterion may include:*

- Preparation and readiness
- Quality of management and supervision

### ***Efficiency***

In keeping with the OECD/DAC definition of efficiency the evaluation will assess the extent to which the Special Programme has delivered maximum results from the given resources. This will include an assessment of the cost-effectiveness and timeliness of Secretariat and governance processes and overview of funded execution to date. Focussing on the translation of inputs into outputs, cost-effectiveness is the extent to which an intervention has achieved, or is expected to achieve, its results at the lowest possible cost. Timeliness refers to whether planned activities were delivered according to expected timeframes as well as whether events were sequenced efficiently. The evaluation will describe any cost or time-saving measures put in place to maximise results within the secured budget and agreed timeframe and consider whether the Special Programme was, and is being, implemented in the most efficient way compared to alternative interventions or approaches.

The evaluation will give special attention to efforts 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 the efficiency of the Special Programme. The evaluation will also consider the extent to which the management of the Special Programme minimised UN Environment's environmental footprint.

*Factors affecting this criterion may include:*

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

### **Monitoring Reporting and Evaluation**

The evaluation will assess monitoring, reporting and evaluation arrangements at all levels of the Special Programme across four sub-categories: monitoring design and budgeting, monitoring implementation, and programme and project level reporting and evaluation arrangements.

#### ***i. Monitoring Design and Budgeting***

The work of the Special Programme and each project it supports should be have a sound monitoring plan that is designed to track progress against SMART<sup>28</sup> indicators towards the delivery of the projects outputs and achievement of direct outcomes, including at a level disaggregated by gender, vulnerability or marginalisation. The evaluation will assess the quality of the design of the monitoring plan as well as the funds allocated for its implementation.

#### ***ii. Monitoring of the Special Programme and of Project Implementation<sup>29</sup>***

The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in Special Programme activities. It will also consider how information generated by the monitoring system during implementation was used to adapt and improve execution, achievement of outcomes and ensure sustainability.

#### ***iii. Programme and Project Reporting***

The evaluation will assess the extent to which both Executive Board, Special Programme Secretariat, UN Environment and donor reporting commitments have been fulfilled. Special Programme Project level reporting will also be assessed. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

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<sup>28</sup> SMART refers to indicators that are specific, measurable, assignable, realistic and time-specific.

<sup>29</sup> Legal agreements with the countries include specific reporting requirements and provide templates for the narrative and financial reports. The Secretariat uses this as a basis for monitoring, in line with the project logframe, workplan and budget.

#### **iv. Evaluation Arrangements**

The mid-term evaluation will examine the arrangements for the evaluation of Special Programme projects. The strengths and weaknesses of different options for organising the evaluation of completed projects will be articulated for subsequent consideration by both the Secretariat and the Executive Board.

*Factors affecting this criterion may include:*

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

#### **Sustainability**

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 (i.e. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the design of the Special Programme and its implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of direct outcomes may also be included.

##### ***i. Socio-political Sustainability***

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

##### ***ii. Financial Sustainability***

Some direct outcomes, once achieved, do not require further financial inputs, e.g. the adoption of a revised policy. However, in order to derive a benefit from this outcome further management action may still be needed e.g. to undertake actions to enforce the policy. Other direct outcomes may be dependent on a continuous flow of action that needs to be resourced for them to be maintained, e.g. continuation of a new resource management approach. The evaluation will assess the extent to which outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the direct outcomes of an intervention have been extended into a future phase. Even where future

funding has been secured, the question still remains as to whether the outcomes are financially sustainable.

### **iii. Institutional Sustainability**

The evaluation will assess the extent to which the sustainability of outcomes (especially those relating to policies and laws) is dependent on issues relating to institutional frameworks and governance. It will consider whether institutional achievements such as governance structures and processes, policies, sub-regional agreements, legal and accountability frameworks etc. are robust enough to continue delivering the benefits associated with the outcomes beyond the life of the Special Programme. In particular, the evaluation will consider whether institutional capacity development efforts are likely to be sustained.

*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

### **Factors and Processes Affecting the Performance of the Special Programme**

*(These factors are rated in the ratings table, but are discussed within the Main Evaluation Report as cross-cutting themes as appropriate under the other evaluation criteria, above)*

#### **i. Preparation and Readiness**

This criterion focuses on the inception or mobilisation stage of the Special Programme (i.e. the time between formal approval of the Special Programme and its first expenditures). The evaluation will assess whether appropriate measures were taken to either address weaknesses in the design or respond to changes that took place between approval, the securing of funds and mobilisation of work on the Special Programme. In particular, the evaluation will consider the nature and quality of engagement with stakeholder groups, the confirmation of partner capacity and development of partnership agreements as well as initial staffing and financing arrangements..

#### **ii. Quality of Management and Supervision**

In some cases, 'management and supervision' will refer to the supervision and guidance provided by UN Environment to implementing partners and national governments while in others, it will refer to the management performance of the executing agencies and any technical backstopping and supervision that may have been provided by UN Environment and the Executive Board or its representatives . It is noted that the Secretariat has no direct role in the implementation Special Programme projects.



### **iii. Stakeholder Participation and Cooperation**

Here the term 'stakeholder' should be considered in a broad sense, encompassing all key partners, duty bearers with a role in delivering the work of the Special Programme and any other collaborating agents external to UN Environment. These should include; Executive Board members, the Internal task team – BRS, Minamata, SAICM and GEF Secretariats and active members of the IOMC e.g. UNITAR, UNDP, WHO, UNIDO. The assessment will consider the quality and effectiveness of all forms of communication and consultation with stakeholders of the Special Programme 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**

The evaluation will ascertain to what extent the Special Programme 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.

In particular, the evaluation will consider to what extent design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women and children to environmental degradation or disasters; and (iii) the role of women in mitigating or adapting to environmental changes and engaging in environmental protection and rehabilitation.

### **v. Country Ownership and Driven-ness**

The evaluation will assess the quality and degree of engagement of government / public sector agencies. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended results, i.e. either a) moving forwards from outputs to direct outcomes or b) moving forward from direct outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in Special Programme 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 for Special Programme outputs and outcomes and that is necessary for long term impact to be realised. This ownership should adequately represent the needs of interest of all gendered and marginalised groups.

### **vi. Communication and Public Awareness**

The evaluation will assess the effectiveness of: a) communication of learning and experience sharing between partners and interested groups arising from the Special Programme during its

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life and b) public awareness activities that were undertaken 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 gendered or marginalised groups, and whether any feedback channels were established. Where knowledge sharing platforms have been established the evaluation will comment on the sustainability of the communication channel under either socio-political, institutional or financial sustainability, as appropriate.

## Annex 2: Survey Questionnaires

### Mid-term evaluation of the Special Programme - Questionnaire / Survey on Application Process

Title of Project Proposal submitted to the Special Programme:

Country:

Name of institution:

Contact Person information (name, email, phone):

Questions	Response and comments
How did you come to know about the Special Programme (SP)?	
Who were the main stakeholders involved in the development of the project proposal you submitted to the SP?	
What process was used to develop the proposal? (E.g. Developed by a Ministry or other institution, or by a consultant, etc.)?	
Were the guidelines provided adequate to develop the project proposal? If no, what were the main challenges? How were they overcome? Was language a barrier for the application?	
Was the guidance and support provided by the Secretariat of the Special Programme (SSP) adequate? Was communication with SSP adequate?	
Any modification you might think of that would improve on the application process?	
Was the application successful in securing funding from the SP? If no, give the	

reasons why the application was not successful.	
Rate the support provided by SSP (from 1 to 5). 1: <b>Unsatisfactory</b> ; 2: <b>Moderately Unsatisfactory</b> ; 3: <b>Moderately Satisfactory</b> ; 4: <b>Satisfactory</b> ; and 5: <b>Highly Satisfactory</b>	

### **Évaluation à mi-parcours du Programme Spécial - Enquête sur la procédure d'appel à proposition**

Titre du projet:

Nom du Pays:

Nom de l'institution hôte du projet:

Informations sur la personne de contact (nom, email, téléphone):

<b>Questions</b>	<b>Réponses / Commentaires</b>
Comment avez-vous entendu parler du Programme Spécial (SP)?	
Qui étaient les principales parties prenantes impliquées dans le développement de la proposition (application pour le projet) que vous avez soumise au SP?	
Quel processus a été utilisé pour développer la proposition? (Par exemple, la proposition a été développée par un ministère ou une autre institution, ou par un consultant, etc.)	
Les directives fournies par le Secrétariat du Programme Spécial (SSP) pour développer la proposition de projet étaient-elles adéquates? Si non, quels étaient les principaux défis? Comment est-ce que les ont été surmontés? Est-ce que la langue était un défi?	
Les conseils et l'appui fournis par le Secrétariat du Programme Spécial (SSP)	

étaient-ils adéquats? La communication avec le SSP était-elle adéquate?	
A votre avis, quelle modification pourrait améliorer le processus d'application?	
Au final, est-ce que votre proposition de projet a-t-elle pu obtenir un financement du SP? Si non, donnez les raisons pour lesquelles l'application n'a pas abouti.	
Notez l'appui fourni par le Secrétariat du Programme Spécial (de 1 à 5) - 1: <b>Peu satisfaisant</b> ; 2: <b>Modérément insatisfaisant</b> ; 3: <b>Modérément satisfaisant</b> ; 4: <b>Satisfaisant</b> and 5: <b>Très satisfaisant</b>	

### **Evaluación intermedia del Programa Especial - Cuestionario / Encuesta sobre el proceso de solicitud**

Título de la Propuesta de Proyecto presentada al Programa Especial:

Pais:

Nombre de la institución:

Información de la persona de contacto (nombre, correo electrónico, teléfono):

<b>Preguntas</b>	<b>Respuesta y comentarios</b>
¿Cómo llegó a conocer el Programa Especial (PE)?	
¿Quiénes fueron las principales partes interesadas involucradas en el desarrollo de la propuesta de proyecto que envió al PE?	
¿Qué proceso se utilizó para desarrollar la propuesta? (Por ejemplo, ¿la propuesta fue desarrollada por un Ministerio u otra institución, o por un consultor, etc.)?	

<p>¿Las directrices proporcionadas fueron adecuadas para el desarrollo de la propuesta del proyecto? Si no, ¿cuáles fueron los principales retos? ¿Cómo fueron superados? ¿Fue el lenguaje una barrera para la aplicación?</p>	
<p>¿La orientación y el apoyo brindados por la Secretaría del Programa Especial (SPE) fueron adecuados? ¿Fue adecuada la comunicación con la SPE?</p>	
<p>¿Puede sugerir alguna modificación que usted piensa podría mejorar el proceso de solicitud?</p>	
<p>¿Fue exitosa la solicitud para obtener fondos del PE? Si no es así, indique las razones por las cuales la solicitud no tuvo éxito.</p>	
<p>Califique el soporte proporcionado por la SPE (de 1 a 5). <b>1: insatisfactorio; 2: moderadamente insatisfactorio; 3: moderadamente satisfactorio; 4: satisfactorio; y 5: muy satisfactorio</b></p>	

**Mid-term evaluation of the Special Programme – Survey on the Implementation Status**

Title of Project:

Country:

Name of Institution hosting the Project:

Name of Executing Institution/Agency:

Contact Person information (name, email, phone):

Questions	Response and comments
What is the implementation status of the Project? (Just started, on-going, near completion, etc.)	
Was the implementation approach proposed in the project document adopted for the execution of the project? Was there any modification to this approach?	
<ul style="list-style-type: none"> <li>• Are the key stakeholders actively involved in project implementation? If yes, give a list of stakeholders. If no, give the main reasons.</li> <li>• Was the collaboration and interaction amongst the key stakeholders satisfactory? Give comments.</li> </ul>	
Did the project get strong support from the government (or national authorities)? If yes, what kind of support? If no, give reasons.	
What were (are) the main challenges faced during project implementation? How were they overcome?	
Was the guidance and support provided by the UN Environment, the Secretariat of the Special Programme (SSP) during project implementation adequate?	
Rate the guidance & support provided by UN Environment and SSP (from 1 to 5). <b>1: Unsatisfactory; 2: Moderately Unsatisfactory; 3: Moderately Satisfactory; 4: Satisfactory and 5: Highly Satisfactory</b>	
<ul style="list-style-type: none"> <li>• Have the project results been adopted / mainstreamed in national legislation / policies / strategies? If yes, give example(s).</li> <li>• Is there any plan for replication or scaling up of the project results?</li> </ul>	

Are there any social or political factors that may influence positively or negatively the project results? If yes, give example(s).	
Are the capacity built within the project robust enough to continue delivering benefits beyond the lifetime of the Special Programme?	
To what extent are the continuation of project results and eventual impact dependent on availability of financial resources? Can these financial resources be mobilized nationally?	

### **Évaluation à mi-parcours du Programme Spécial - Enquête sur l'état de la mise en œuvre**

Titre du projet:

Pays:

Nom de l'institution hôte du projet:

Nom de l'institution / agence d'exécution:

Informations sur la personne de contact (nom, email, téléphone):

<b>Questions</b>	<b>Réponses et commentaires</b>
Quel est l'état de mise en œuvre du projet? (Vient de commencer, en cours, presque terminé, etc.)	
L'approche de mise en œuvre proposée dans le document de projet a-t-elle été adoptée pour la mise en œuvre du projet? Y a-t-il eu une modification de cette approche?	
<ul style="list-style-type: none"> <li>Les principales parties prenantes sont-elles activement impliquées dans la mise en œuvre du projet? Si oui, donnez une liste des parties prenantes. Si non, donnez les raisons principales.</li> </ul>	



<ul style="list-style-type: none"> <li>• La collaboration et l'interaction entre les principales parties prenantes sont-elles satisfaisantes? Commentez SVP.</li> </ul>	
<p>Le projet a-t-il bénéficié d'un appui fort du gouvernement (ou des autorités nationales)? Si oui, quels types d'appuis? Si non, donnez les raisons</p>	
<p>Quels sont les principaux défis rencontrés lors de la mise en œuvre du projet? Comment ont-ils été surmontés?</p>	
<p>Les conseils et appuis techniques fournis par UN Environnement, le Secrétariat du Programme Spécial (SSP) lors de la mise en œuvre du projet, étaient-ils adéquats?</p>	
<p>Notez les conseils et appuis techniques fournis par UN Environment et SSP (de 1 à 5). <b>1: Peu satisfaisant; 2: Modérément insatisfaisant; 3: Modérément satisfaisant; 4: Satisfaisant; 5: Très satisfaisant</b></p>	
<ul style="list-style-type: none"> <li>• Les résultats du projet ont-ils été adoptés / intégrés dans la législation / les plans d'actions nationaux / les stratégies nationales? Si oui, donnez des exemples</li> <li>• Existe-t-il un plan pour la réplication ou la mise à échelle des résultats du projet?</li> </ul>	
<p>Existe-t-il des facteurs sociaux ou politiques pouvant influencer positivement ou négativement les résultats du projet? Si oui, donnez des exemples.</p>	
<p>La capacité créée dans le cadre du projet est-elle suffisamment solide pour continuer à produire les bénéfices après la fin du Programme Spécial?</p>	
<p>Dans quelle mesure la durabilité des résultats du projet et son impact éventuel dépend-t-elle de ressources financières? Ces ressources</p>	

financières sont-elles disponibles au niveau national?	
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### **Evaluación intermedia del Programa Especial - Encuesta sobre el estado de implementación**

Título del proyecto:

País:

Nombre de la institución que alberga el proyecto:

Nombre de la institución ejecutora / agencia:

Información de la persona de contacto (nombre, correo electrónico, teléfono):

<b>Preguntas</b>	<b>Respuesta y comentarios</b>
¿Cuál es el estado de implementación del proyecto? (Recién iniciado, en curso, casi finalizado, etc.)	
¿El enfoque de implementación propuesto en el documento del proyecto se adoptó para la ejecución del proyecto? ¿Hubo alguna modificación a este enfoque?	
<ul style="list-style-type: none"> <li>• ¿Las partes interesadas clave participan activamente en la implementación del proyecto? En caso afirmativo, dé una lista de las partes interesadas. Si no, proporcione las principales razones.</li> <li>• ¿Fue satisfactoria la colaboración y la interacción entre las partes interesadas clave? Dar comentarios.</li> </ul>	
¿Recibió el proyecto un fuerte apoyo del gobierno (o de las autoridades nacionales)? Si es así, ¿qué tipo de apoyo? Si no, dé razones.	

<p>¿Cuáles fueron (son) los principales desafíos enfrentados durante la implementación del proyecto? ¿Cómo fueron superados?</p>	
<p>¿La orientación y el apoyo proporcionados por ONU Ambiente y la Secretaría del Programa Especial (SPE) durante la implementación del proyecto fueron adecuados?</p>	
<p>Califique la orientación y el apoyo proporcionados por ONU Ambiente y SPE (de 1 a 5). <b>1: insatisfactorio; 2: moderadamente insatisfactorio; 3: moderadamente satisfactorio; 4: satisfactorio y 5: altamente satisfactorio</b></p>	
<ul style="list-style-type: none"> <li>• ¿Se han adoptado / incorporado los resultados del proyecto en la legislación / políticas / estrategias nacionales? En caso afirmativo, dar ejemplo (s).</li> <li>• ¿Hay algún plan para replicar o ampliar los resultados del proyecto?</li> </ul>	
<p>¿Hay algún factor social o político que pueda influir positiva o negativamente en los resultados del proyecto?</p>	
<p>¿La capacidad creada dentro del proyecto es lo suficientemente robusta como para continuar brindando beneficios más allá de la vida útil del Programa Especial?</p>	
<p>¿En qué medida la continuidad de los resultados del proyecto y el impacto eventual dependen de la disponibilidad de recursos financieros? ¿Pueden estos recursos financieros ser movilizados a nivel nacional?</p>	

### **Annex 3: List of persons interviewed**

#### **Fact – to - face**

*8 July 2019 (Geneva, Switzerland)*

Nalini Sharma (via Skype) – Programme Management Officer, Secretariat Special Programme

Justus Mutiga – Fund Management Officer, UN Environment

Dina Abdelhakim – Associate Programme Management Officer, Secretariat Special Programme

Pascale Unger – Secretariat Special Programme

Mikayla Schulte – Intern, UN Environment Chemicals and Health Branch

*9 July 2019 (Geneva, Switzerland)*

Aitziber Echeverria – SAICM Secretariat

Claudia ten Have – Senior Policy Coordination Officer, Secretariat of the Minamata Convention

Justus Mutiga – Fund Management Officer, UN Environment

Erika Mattsson – Fund Management Officer, UN Environment

Frank Moser – Programme Officer, Secretariat of the Basel, Rotterdam and Stockholm Conventions

*10 July 2019 (Geneva, Switzerland)*

Carolyn Vickers – Coordinator, Chemical Safety, World Health Organisation

*11 July 2019 (Brussels, Belgium)*

Maria Pachta - Environmental Policy Officer, European Union

*14 August 2019 (Dar Es Salaam, Tanzania)*

Kemilembe Mutasa – Acting Assistant Director, Pollution Control, Division of Environment, Vice President’s Office

Said Athuman – Town Planner, Division of Environment, Vice President’s Office

*15 August 2019 (Dar Es Salaam, Tanzania)*

Josephino Kalima – Principal Chemist, Coordinator National Poison Control Centre,  
Government Chemist Laboratory Agency

Gloria Wapalila – Research Scientist, Tropical Pesticides Research Institute

Glorious Kimaro – Environment and Waste Specialist, Supply Base Solutions Limited

*6 October 2019 (Bangkok, Thailand)*

Reginald Hernaus – Lead Negotiator Chemicals and Wastes, Ministry of Infrastructure  
and Water Management, International Affairs, The Netherlands

Steffi Richter – Federal Ministry for the Environment, Nature Conservation and Nuclear  
Safety, Germany

Suzana Andonova – National SAICM Focal Point, POPs Unit, Ministry of Environment  
and Physical Planning, Republic of Macedonia

### **Skype**

16 July 2019: Jacob Duer, Head of Chemicals and Health Division, UN Environment

17 July 2019: Anil Sookdeo, GEF

18 July 2019: Jorge Ocana, UNITAR

30 July 2019: Mikhail Malkov, National Consultant for Ukraine project

5 September 2019: David Schroeder, USA, EB member

8 September 2019: Clarence Matewe, Zimbabwe, EB member, Co-chair

18 September 2019: Sofia Tingstorp, EB member, Co-chair

#### Annex 4: List of documents consulted

1. Project document
2. 2019 Revised Project document
3. Terms of Reference for the SP, UNEA-1 Resolution 1/5
4. List of EB members for 2016 – 2018 and 2018 – 2020
5. Rules of procedure for the EB of the SP, SP/EB.4/INF/2
6. 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup> and 4<sup>th</sup> Executive Board meeting reports and information documents
7. Application forms and guidelines for 1<sup>st</sup>, 2<sup>nd</sup> and 3<sup>rd</sup> rounds of applications
8. Documents related to Communication Strategy
  - SP Website requirements
  - TORs of SP E-learning consultant
  - SP E-learning proposal
  - SP Communication Strategy
9. Financial statements for 2017, 2018 and 2019
10. Documents submitted by countries (Afghanistan, Argentina, Belarus, Benin, China, Dominican Republic, Gambia, Ghana, India, Iraq, Kenya, Kiribati, Kyrgyzstan, Moldova, Nigeria, Papua New Guinea, Serbia, Tanzania, Uganda and Ukraine)
  - PCAs
  - Inception Reports
  - Progress Reports
  - Financial Reports
  - Audit Reports
  - List of participants in project activities

## Annex 5: 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. Henri LI KAM WAH holds a PhD in Chemistry, obtained from Nice University, France and an MSc in Forensic Science from Staffordshire University, UK. He is currently associate professor at the University of Mauritius where he is lecturing in Inorganic, Forensic and Analytical Chemistry at both undergraduate and postgraduate levels for more than 30 years. He was the Director of Quality Assurance from 2002 to 2006 and the Dean of the Faculty of Science of the University of Mauritius from 2006 to 2009.

Dr. Henri LI KAM WAH has undertaken several consultancy assignments related to chemicals and waste for the Government of Mauritius, namely inventory of hazardous wastes and the Minamata Initial Assessment.

## Annex 6: Quality Assessment of the Evaluation Report

Title of the Evaluand:

Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

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	Draft Report Rating
<b>Substantive Report Quality Criteria</b>		
<p><b>Quality of the Executive Summary:</b></p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	<p><b>Draft report:</b> <i>(Exec Summaries are not always provided at draft stage)</i></p> <p>Good Exec Summary</p>	5
<p><b>I. Introduction</b></p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	<p><b>Draft report:</b></p> <p>Section is complete and accurate</p>	5



	UNEP Evaluation Office Comments	Draft Report Rating
<p><b>II. Evaluation Methods</b></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>Draft report:</p> <p>Adequate description</p>	4
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Results framework:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>Draft report:</p> <p>This is fully described and comprehensive</p>	6

	UNEP Evaluation Office Comments	Draft Report Rating
<p><b>IV. Theory of Change</b></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>This section should include a description of how the <i>TOC at Evaluation</i><sup>30</sup> was designed (who was involved etc.) and applied to the context of the project? 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>Draft report:</p> <p>Developed in conjunction with the Evaluation Office</p>	6
<p><b>V. Key Findings</b></p> <p><b>A. Strategic relevance:</b></p> <p>This section should include an assessment of the project's relevance in relation to 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/mobilisation<sup>31</sup>), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>ii. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>iii. Alignment to Donor/GEF Strategic Priorities</li> <li>iv. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>v. Complementarity with Existing Interventions</li> </ul>	<p>Draft report:</p> <p>Comprehensive assessment</p>	5
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Draft report:</p> <p>No comments</p>	5

<sup>30</sup> During 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*.

<sup>31</sup> 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.

	UNEP Evaluation Office Comments	Draft Report Rating
<p><b>C. Nature of the External Context</b> For projects where this is appropriate, key <u>external</u> features of the project's implementing context that limited the project's performance (e.g. conflict, natural disaster, political upheaval<sup>32</sup>), and how they affected performance, should be described.</p>	<p>Draft report: No comments</p>	5
<p><b>D. Effectiveness</b> <b>(i) Outputs and Project Outcomes:</b> 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.  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>Draft report: Strong evidence base presented</p>	6
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?  How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?  Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>Draft report: Well presented given that this is a Mid Term Assessment</p>	5
<p><b>E. Financial Management</b> This section should contain an integrated analysis of all dimensions evaluated under financial management and include a completed 'financial management' table.  Consider how well the report addresses the following:</p> <ul style="list-style-type: none"> <li>• <i>Adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> <li>• <i>communication</i> between financial and project management staff</li> </ul>	<p>Draft report: Clearly presented</p>	5
<p><b>F. Efficiency</b> To what extent, and how well, does the report present a well-reasoned, complete and evidence-based assessment of efficiency under the primary categories of cost-effectiveness and timeliness including:</p> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> </ul>	<p>Draft report: This reflects on project implementation at country level, the operations of the Board and the Secretariat</p>	5

<sup>32</sup> 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.

	UNEP Evaluation Office Comments	Draft Report Rating
<ul style="list-style-type: none"> <li>• 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.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>		
<p><b>G. Monitoring and Reporting</b> How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor reports</i>)</li> </ul>	<p>Draft report:</p> <p>This is well covered in the report.</p>	5
<p><b>H. Sustainability</b> How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	<p>Draft report:</p> <p>Covered to the extent possible for a Mid-Term</p>	5
<p><b>I. Factors Affecting Performance</b> These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>33</sup></li> <li>• Stakeholder participation and co-operation</li> <li>• Responsiveness to human rights and gender equity</li> <li>• Environmental and social safeguards</li> <li>• Country ownership and driven-ness</li> <li>• Communication and public awareness</li> </ul>	<p>Full discussion of issues is presented</p>	5
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>i. Quality of the conclusions:</b> The key strategic questions should be clearly and succinctly addressed within the conclusions section.</p> <p>It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should</p>	<p>Draft report:</p> <p>Clear conclusions</p>	5

<sup>33</sup> 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	Draft Report Rating
be consistent with the evidence presented in the main body of the report.		
<b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.	Draft report:  Lessons are of good quality	4
<b>iii) Quality and utility of the recommendations:</b> 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.	Draft report:  Recommendations need some additions	5
<b>VII. Report Structure and Presentation Quality</b>		
<b>i) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?	Draft report:  Complete	6
<b>ii) Quality of writing and formatting:</b> 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?	Draft report:  Minor language editing required.	5
<b>OVERALL REPORT QUALITY RATING</b>		5

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.

## Quality Assessment of the Evaluation Report

Evaluand Title:

Operationalization of the Special Programme to support institutional strengthening at the national level to enhance the implementation of the Basel, Rotterdam and Stockholm conventions, the Minamata Convention on Mercury and the Strategic Approach to International Chemicals Management

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.

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

	UNEP Evaluation Office Comments	Final Report Rating
<p><b>II. Evaluation Methods</b></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>Good description</p>	5
<p><b>III. The Project</b></p> <p>This section should include:</p> <ul style="list-style-type: none"> <li>• <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses).</li> <li>• <i>Results framework:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised)</li> <li>• <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics</li> <li>• <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners</li> <li>• <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order</li> <li>• <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing</li> </ul>	<p>Final report:</p> <p>This is fully described and comprehensive</p>	6

	UNEP Evaluation Office Comments	Final Report Rating
<p><b>IV. Theory of Change</b></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>This section should include a description of how the <i>TOC at Evaluation</i><sup>34</sup> was designed (who was involved etc.) and applied to the context of the project? 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>Developed in conjunction with the Evaluation Office</p>	6
<p><b>V. Key Findings</b></p> <p><b>B. Strategic relevance:</b></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/mobilisation<sup>35</sup>), with other interventions addressing the needs of the same target groups should be included. Consider the extent to which all four elements have been addressed:</p> <ul style="list-style-type: none"> <li>vi. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW)</li> <li>vii. Alignment to Donor/GEF Strategic Priorities</li> <li>viii. Relevance to Regional, Sub-regional and National Environmental Priorities</li> <li>ix. Complementarity with Existing Interventions</li> </ul>	<p>Final report:</p> <p>Comprehensive assessment</p>	5

<sup>34</sup> During 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*.

<sup>35</sup> 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.



	UNEP Evaluation Office Comments	Final Report Rating
<p><b>B. Quality of Project Design</b></p> <p>To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>Final report:</p> <p>Well covered.</p>	5
<p><b>C. Nature of the External Context</b></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 upheaval<sup>36</sup>), and how they affected performance, should be described.</p>	<p>Final report:</p> <p>Well covered.</p>	5
<p><b>D. Effectiveness</b></p> <p><b>(i) Outputs and Project Outcomes:</b> 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>Strong evidence base presented</p>	6
<p><b>(ii) Likelihood of Impact:</b> How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</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>Well presented given that this is a Mid Term Assessment</p>	5
<p><b>E. Financial Management</b></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"> <li>• <i>Adherence</i> to UNEP's financial policies and procedures</li> <li>• <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used</li> </ul>	<p>Final report:</p> <p>Clearly presented</p>	5

<sup>36</sup> 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.

	UNEP Evaluation Office Comments	Final Report Rating
<ul style="list-style-type: none"> <li>• <i>communication</i> between financial and project management staff</li> </ul>		
<p><b>F. Efficiency</b></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> <ul style="list-style-type: none"> <li>• Implications of delays and no cost extensions</li> <li>• Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe</li> <li>• Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc.</li> <li>• The extent to which the management of the project minimised UNEP's environmental footprint.</li> </ul>	<p><b>Final report:</b></p> <p>This reflects on project implementation at country level, the operations of the Board and the Secretariat</p>	5
<p><b>G. Monitoring and Reporting</b></p> <p>How well does the report assess:</p> <ul style="list-style-type: none"> <li>• Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>)</li> <li>• Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>)</li> <li>• Project reporting (<i>e.g. PIMS and donor reports</i>)</li> </ul>	<p><b>Final report:</b></p> <p>This is well covered in the report.</p>	5
<p><b>H. Sustainability</b></p> <p>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"> <li>• Socio-political Sustainability</li> <li>• Financial Sustainability</li> <li>• Institutional Sustainability</li> </ul>	<p><b>Final report:</b></p> <p>Covered to the extent possible for a Mid-Term</p>	5
<p><b>I. Factors Affecting Performance</b></p> <p>These factors are <u>not</u> discussed in stand-alone sections but are <b>integrated in criteria A-H as appropriate</b>. Note that these are described in the Evaluation Criteria Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> <li>• Preparation and readiness</li> <li>• Quality of project management and supervision<sup>37</sup></li> </ul>	<p><b>Final report:</b></p> <p>Full discussion of issues is presented</p>	5

<sup>37</sup> 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
<ul style="list-style-type: none"> <li>Stakeholder participation and co-operation</li> <li>Responsiveness to human rights and gender equity</li> <li>Environmental and social safeguards</li> <li>Country ownership and driven-ness</li> <li>Communication and public awareness</li> </ul>		
<p><b>VI. Conclusions and Recommendations</b></p> <p><b>ii. Quality of the conclusions:</b> 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 the intervention (e.g. how these dimensions were considered, addressed or impacted on) should be discussed explicitly. Conclusions, as well as lessons and recommendations, should be consistent with the evidence presented in the main body of the report.</p>	<p>Final report:</p> <p>Clear conclusions</p>	5
<p><b>ii) Quality and utility of the lessons:</b> Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>Final report:</p> <p>Lessons of good quality</p>	4
<p><b>iii) Quality and utility of the recommendations:</b></p> <p>To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when.</p> <p>At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given.</p> <p>Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>Final report:</p> <p>Revised recommendations broadly accepted by Secretariat and Board</p>	5
<p><b>VII. Report Structure and Presentation Quality</b></p>		
<p><b>iii) Structure and completeness of the report:</b> To what extent does the report follow the Evaluation Office guidelines? Are all</p>	<p>Final report:</p>	6

	UNEP Evaluation Office Comments	Final Report Rating
requested Annexes included and complete?	.Complete	
iv) <b>Quality of writing and formatting:</b> 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:  Well written	<b>6</b>
<b>OVERALL REPORT QUALITY RATING</b>		<b>5</b>

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

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
<b>Independence:</b>		
1. Were the Terms of Reference drafted and finalised by the Evaluation Office?		
2. Were possible conflicts of interest of proposed Evaluation Consultant(s) appraised and addressed in the final selection?		
3. Was the final selection of the Evaluation Consultant(s) made by the Evaluation Office?		
4. Was the evaluator contracted directly by the Evaluation Office?		
5. Was the Evaluation Consultant given direct access to identified external stakeholders in order to adequately present and discuss the findings, as appropriate?		
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?		
7. If Yes to Q6: Were these concerns resolved to the mutual satisfaction of both the Evaluation Consultant and the Evaluation Manager?		
<b>Financial Management:</b>		
8. Was the evaluation budget approved at project design available for the evaluation?		
9. Was the final evaluation budget agreed and approved by the Evaluation Office?		
10. Were the agreed evaluation funds readily available to support the payment of the evaluation contract throughout the payment process?		
<b>Timeliness:</b>		
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?		
12. Were all deadlines set in the Terms of Reference respected, as far as unforeseen circumstances allowed?		
13. Was the inception report delivered and reviewed/approved prior to commencing any travel?		
<b>Project's engagement and support:</b>		
14. Did the project team, Sub-Programme Coordinator and identified project stakeholders provide comments on the evaluation Terms of Reference?		
15. Did the project make available all required/requested documents?		
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?		
17. Was adequate support provided by the project to the evaluator(s) in planning and conducting evaluation missions?		
18. Was close communication between the Evaluation Consultant, Evaluation Office and project team maintained throughout the evaluation?		
19. Were evaluation findings, lessons and recommendations adequately discussed with the project team for ownership to be established?		

20. Did the project team, Sub-Programme Coordinator and any identified project stakeholders provide comments on the draft evaluation report?		
<b>Quality assurance:</b>		
21. Were the evaluation Terms of Reference, including the key evaluation questions, peer-reviewed?		
22. Was the TOC in the inception report peer-reviewed?		
23. Was the quality of the draft/cleared report checked by the Evaluation Manager and Peer Reviewer prior to dissemination to stakeholders for comments?		
24. Did the Evaluation Office complete an assessment of the quality of both the draft and final reports?		
<b>Transparency:</b>		
25. Was the draft evaluation report sent directly by the Evaluation Consultant to the Evaluation Office?		
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?		
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?		
28. Were all stakeholder comments to the draft evaluation report sent directly to the Evaluation Office?		
29. Did the Evaluation Consultant(s) respond adequately to all factual corrections and comments?		
30. Did the Evaluation Office share substantive comments and Evaluation Consultant responses with those who commented, as appropriate?		

**Provide comments / explanations / mitigating circumstances below for any non-compliant process issues.**

<b>Process Criterion Number</b>	<b>Evaluation Office Comments</b>