
**Terminal Evaluation of the UNEP/GEF Project
“POPs monitoring, reporting and information dissemination using
Pollutant Release and Transfer Registers (PRTRs)” and GEF ID. 3348
(2009-2012)**



Encuentre información nominada e innominada de establecimientos industriales, a nivel nacional regional y comunal publicados por el Registro de Emisiones y Transferencias de Contaminantes (RETC).

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POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)

GEF ID: 3348

Date: 03/2021

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The evaluation consultant hopes that the findings, conclusions and recommendations will contribute to the successful finalisation of the current project, formulation of a next phase and to the continuous improvement of similar projects in other countries and regions.

BRIEF CONSULTANT BIOGRAPHY:

Wouter Pronk has 23 years of experience in managing environmental and capacity building projects in Eastern Europe, Russia, the Caucasus, Central Asia, India, Egypt, Eritrea, Cameroon, South Africa and Vietnam for the environmental NGOs Milieukontakt International and Green Cross Switzerland. Early 2019, he started working as an independent consultant. Since 2004, Mr. Pronk has been involved in POPs and soil remediation projects financed by The Netherlands Ministry of Foreign Affairs, FAO, UNEP, GEF, Green Cross Switzerland and the World Bank and worked in international technical assistance projects with a focus on awareness raising, environmental and social impact assessment and planning, technical capacity building, project evaluation and stakeholder involvement.

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ABOUT THE EVALUATION¹

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Brief Description: This report is a terminal evaluation of a UNEP-GEF project implemented between January 2009 and September 2012. The GEF-funded project “POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTR)” was designed to project is to meet participant countries’ obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR. The general goal of the Project is to protect human health and the environment from persistent organic pollutants.

Key words: PRTRs, POPs, Chemicals Management, Stockholm Convention, Aarhus Convention

Primary data collection period: June – September 2020

Field Mission Dates: N/A

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

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List of Abbreviations and Acronyms

BSR	Basel, Rotterdam and Stockholm
CCAD	Central American Commission on Environment and Development
CEC	Commission for Environmental Cooperation
DDT	Dichlorodiphenyltrichloroethane
DTIE	Division of Technology, Industry and Economics (of UNEP)
ENVSEC	Environment and Security Initiative
EA	Executing Agency
EPA	Environmental Protection Agency
EO	Evaluation Office of UNEP
FMO	Fund Managing Officer
GC	UNEP Governing Council
GEF	Global Environment Facility
JICA	Japan International Cooperation Agency
IA	Implementing Agency
IAC	Information Analytical Center, Ministry of Environment, Kazakhstan
M&E	Monitoring and Evaluation
MEA	Multilateral Environmental Agreement
MSP	Medium Size Project
NPC	National Project Coordinator
NGO	Non-Governmental Organization
NPMT	National Project Management Team
NSG	National Steering Groups
OECD	Organization for Economic Co-operation and Development
OSCE	Organization for Security and Co-operation in Europe
PIR	Project Implementation Review
PM	Portfolio Manager
PMT	Project Management Team
REC	Regional Economic Center
ROE	Regional Office for Europe
PSC	Project Steering Committee
PTR	Project Terminal Report
SAICM	Strategic Approach to International Chemicals Management
SC	Stockholm Convention
SUIA	Unique System of Environmental Information (Ecuador)

SINIA	National System of Environmental Information (Peru)
TA	Technical Assistance
TE	Terminal Evaluation
TOC	Theory of Change
TOR	Terms of Reference
TM	Task Manager
UNCED	United Nations Conference on Environment and Development
UNDAF	United nations Development Assistance Framework
UNECE	United Nations Economic Commission for Europe
UNEP	United Nations Environment Programme
UNITAR	United Nations Institute for Training and Research

Table 1. Project summary

GEF Project ID:	3348	IMIS number	GFL-2328-2760-4A26
Implementing Agency:	United Nations Environment Programme (UNEP)	Executing Agency:	United Nations Institute for Training and Research (UNITAR)
Relevant SDG(s) and indicator(s):	Sustainable Development Goal targets 3.9, 6.3, 9.4, 12.4, 12.5, 12.8, 16.10	GEF Strategic Priority:	POPs-SP1
Sub-programme:	Chemicals, Waste and Air Quality	Expected Accomplishment(s):	Medium-Term Strategy for 2010–2013
UNEP approval date:	February 2009	Programme of Work Output(s):	N/A
GEF approval date:	October 2008	Project type:	Medium-size Project (MSP)
GEF Operational Programme #:	GEF 4 – OP14	Focal Area(s):	Persistent Organic Pollutants (POPs)
Expected start date:	October 2008	Actual start date:	January 2009
Planned completion date:	October 2010	Actual operational completion date:	September 2012
Planned project budget at approval:	USD 3,454,320	Actual total expenditures reported as of August 2013:	USD 4,198,320
GEF grant allocation:	USD 950,000	GEF grant expenditures reported as of August 2013:	USD 924,000.00
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a
Expected Medium-Size Project/Full-Size Project co-financing:	USD 2,504,320	Secured Medium-Size Project/Full-Size Project co-financing:	USD 3,248,320
First disbursement:	January 2009	Planned date of financial closure:	December 2012
No. of formal project revisions:	1	Date of last approved project revision:	March 2010
No. of Steering Committee meetings:	3	Date of last/next Steering Committee meeting:	Last: March 2011
Mid-term Review/ Evaluation (planned date):	November 2009	Mid-term Review/ Evaluation (actual date):	N/A
Terminal Evaluation (planned date):	Q1 2013	Terminal Evaluation (actual date):	Q4 2020
Coverage - Country(ies):	Cambodia, Chile, Ecuador, Kazakhstan,	Coverage - Region(s):	Global

	Peru, Thailand, Ukraine, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua		
Dates of previous project phases:	n/a	Status of future project phases:	PRTR II (GEF 5648) Completed in December 2019

Executive Summary

1. Despite a delayed start caused by administrative difficulties in the formalization of MoUs between UNITAR and the Project countries, the Terminal Evaluation has found that the Project *POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)* played a key role to support Chile, Cambodia, Ecuador, Kazakhstan, Peru and Ukraine in the development of national PRTRs.

2. The Project was funded through the Global Environment Facility (GEF), with a grant of USD 950,000, implemented by the United Nations Environment Programme (UNEP) and executed by the United Nations Institute for Training and Research (UNITAR). Co-financing (cash and in-kind contributions) were secured to a value of USD 2,504,320. The Project started in January 2009 and was completed in September 2012.

3. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation should have been undertaken shortly after the completion of the Project in September 2012. However, for reasons now unidentifiable, the evaluation was never carried out. Given the time that has lapsed since operational completion and in accordance with the evaluation ToR, the evaluation was carried out as a form of “accountability assessment” and based on available data and information from stakeholders still accessible for interviews a cautious assessment of performance is provided.

4. In line with the Project objective the national agencies responsible for environmental management in the main Project countries have received: appropriate tools to monitor progress made on protecting human health and the environment from POPs threats, and an enhanced capacity to meet SC obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR. Without the initiative of the Project the involved countries would not have been able to achieve these important results.

5. Chile’s PRTR is officially implemented and fully in use as well for national reporting as for POPs reporting and monitoring. Implementation in Chile took longer than planned but has been achieved as of 02-01-2013, when the PRTR legislation was officially Promulgated by the President. Today about 3000 facilities report to Chile’s eight different monitoring authorities through the single window PRTR. The implementation of Chile’s PRTR is seen in the country as a mayor achievement and enabled amongst others the country to become an OECD member in 2010.

6. On 27 January 2020, Kazakhstan acceded to the UNECE Protocol on PRTRs of the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (In short: the Aarhus Convention). After the adoption of a new Environmental Codex², single window reporting to the national PRTR will become obligatory. It is planned that the Kazakh PRTR system then will also be used for the collection of POPs data and reporting to the Stockholm Convention.

² During the data collection phase of the Terminal Evaluation adoption of the new Kazakh Environmental Codex was expected to take place towards the end of 2020, beginning of 2021.

7. Next to Chile, the five main Project countries Cambodia, Ecuador, Peru, Kazakhstan and Ukraine have developed a PRTR system designed as a tool for POPs monitoring and reporting. It has to be acknowledged that not all systems are fully developed and ready for use. National governments endorsed the PRTRs in support of swift implementation under a Phase II PRTR project³. Nonetheless, a reality check in 2020 is quite sobering. From the countries that participated in both the First and Second Phase PRTR projects (Cambodia, Ecuador, Kazakhstan and Peru) only Kazakhstan has adopted the required technical and legal documents that enables full implementation of the PRTR reporting and monitoring system. In the evaluation interviews frequent changes of ministers in the ministries of environment of the main Project countries were mentioned as having not strengthened national Project commitment and country driven-ness to implement the PRTRs. Still, based on country statements from the last Steering Group meeting and bilateral talks between UNEP and national Project partners countries reportedly highly value the Project and it is expected that in the near future more countries could follow Chile's and Kazakhstan's example and officially implement their national PRTR (amongst others as a result of the PRTR Phase II Project). The fact that having a fully functioning national PRTR system is a requirement to become an OECD member country, (and that more of the Project countries develop this ambition) might strengthen the sustainability of the Project initiative.

8. The Terminal Evaluation has found that capacity building and training activities carried out within the framework of the Project were commonly seen as highly relevant and successful. In many of the countries PRTR working groups still function today. In Chile and Peru they have been given an official status by the national government. The originally planned South-South cooperation worked well. The two levels of experience (with Chile as a frontrunner) created circumstances in which well experienced experts from the Project countries could support colleagues overseas. Chile has provided technical support to several countries in the region for design and implementation and also other countries shared their experience with PRTRs with partner countries. At the same time the Project's lessons learned report highlighted the need for a better availability of technical experts from UNITAR's PRTR expert roster. Stakeholder involvement activities and awareness raising were well appreciated and seen as successful.

9. In general, all planned activities for a regional feasibility study on the possibilities of a regional PRTR reporting system in the Central American countries of Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua have been carried out. There is, however, unclarity about the current status of the regional PRTR initiative, as representatives of the Central American Commission on Environment and Development (CCAD) could not be reached for comment. As a result, it is difficult to assess the quality of the PRTR regional assessment in Central America carried out in the framework of the Project.

10. Regarding the thematically cross-cutting lessons learned component of the Project, the Terminal Evaluation has found country ownership and the political will to carry through the required decisions in support of national PRTR implementation as one of most important themes of the Project. Another important lesson learned from the Project was that although

³ GEF ID 5648, *Global Project on the Implementation of PRTRs as a tool for POPs reporting, dissemination and awareness raising for Belarus, Cambodia, Ecuador, Kazakhstan, Moldova and Peru*. The project started in September 2015 and was completed in December 2019. The two phases are being evaluated simultaneously.

many capacity building activities have been carried out during the Phase I project, more preparation would be needed to prepare the main Project countries for PRTR implementation in the subsequently developed and implemented (above mentioned) PRTR Phase II project. More lessons highlight e.g. that the planned Project implementation period was in practice too short, that the multidisciplinary stakeholders groups created within the framework of the Project were very effective and that, although a shortage of required technical experts from the UNITAR roster was sometimes felt, national partners appreciated the effectiveness of experience exchange and South-South cooperation as opposed to traditional training programmes.

11. The evaluation has found that the Project was very well able to demonstrate the feasibility of using the PRTR system as a national and international reporting system for chemicals management. Project reports and evaluation interviews showed that Project countries with more advanced POPs and chemicals monitoring and reporting systems in place have technically assisted and advised less advanced countries. Representatives from different more experienced countries have successfully shared their experience with other countries. For those countries for whom the concept of PRTRs was entirely new, one project was not enough to prepare them up to the required level for PRTR implementation and in connection with this the above-mentioned Phase II project was developed and implemented.

12. Following the ToR of this Terminal Evaluation ratings are given to different aspects of Project preparation and implementation, however, due to the limited information available from the Project archives and stakeholders, especially on Outcome 3, not for all aspects of the project ratings can be given in this Terminal Evaluation report. As a consequence, it is also not possible to assign an overall rating for the quality of Project implementation.

1. Introduction

13. This is the Terminal Evaluation Report for the UNEP GEF project entitled – *POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)* (hereinafter referred to as the “Project”). The GEF ID of the Project is 3348. Partnering countries included: Cambodia, Chile, Ecuador, Kazakhstan, Peru, Thailand and Ukraine. An additional group of six Central American Countries (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua) was part of the Project for a limited feasibility study on PRTR as a regional reporting system for chemicals management. The Project was funded through the Global Environment Facility (GEF), with a grant of USD 950,000, implemented by the United Nations Environment Programme (UNEP) and executed by the United Nations Institute for Training and Research (UNITAR). Co-financing (cash and in-kind contributions) were secured to a value of USD 2,504,320. The Project started in January 2009 and was completed in September 2012.

14. In line with the UNEP Evaluation Policy and the UNEP Programme Manual, the Terminal Evaluation should have been undertaken shortly after the completion of the Project in September 2012. However, for reasons now unidentifiable, the evaluation was never carried out. Given the time that has lapsed since operational completion and in accordance with the evaluation ToR, the evaluation was carried out as a form of “accountability assessment” and be based on available data and information from stakeholders still accessible for interviews (*See also Chapter 2 ‘Evaluation Methods’*). Through this assessment the project’s activities and deliverables was verified and a cautious assessment of performance is provided. Following the ToR of this Terminal Evaluation ratings are given to different aspects of Project preparation and implementation. However, due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 not for all aspects of the project ratings can be given. Therefore, it is also not possible to assign an overall rating for the quality of Project implementation.

15. The evaluation aims to assess project performance (in terms of relevance, effectiveness and efficiency) and determine outcomes and impacts (actual and potential) stemming from the Project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP and UNITAR as well as the country level partners. This evaluation also identifies lessons of operational relevance for future project formulation in the field of POPs and hazardous waste management.

16. Funded through the GEF, the Project adheres closely to the GEF Focal Area Strategy CHEM 1: Phase out POPs and reduce POPs releases, and CHEM 3: Pilot sound chemicals management and mercury reduction. The Project was approved by UNEP on February 2009. When the Project was developed, UNEP did not have a formal medium-term strategy document. However, the UNEP Annual Report 2007 already announces the existence of a draft version of UNEP’s Medium-Term Strategy for 2010–2013 in which under the subprogramme Harmful Substances and Hazardous Waste relevant Multilateral Environmental Agreements are highlighted, and the strategic aim is mentioned to assist countries “in increasing their capacities for sound management of chemicals and hazardous waste, including the collection of relevant data and information.” The Project is also well aligned with UNEP’s Bali Strategic

Plan and amongst others foresees to implement Project activities via South-South cooperation⁴.

17. In retrospect the Project is considered as PRTR Phase I. In a later stage a second project PRTR Phase II was financed by the GEF. The title of that project is *Global Project on the Implementation of PRTRs as a tool for POPs reporting, dissemination and awareness raising for Belarus, Cambodia, Ecuador, Kazakhstan, Moldova and Peru*. The latter project started in September 2015 and was completed in December 2019. The two phases are being evaluated simultaneously.

18. The evaluation was conducted by external evaluation consultant Wouter Pronk. Methods used were desk research, conducting a series of semi-structured interviews, targeted bilateral e-mail communication with Project stakeholders and a survey. The key intended audience for the evaluation findings includes UNEP, UNITAR and Project country teams from participating countries.

⁴ <http://62.160.8.20/bsp/staticpages/mandate.aspx>

2. Evaluation Methods

2.1 Overview

20. The TE was carried out by an independent consultant under the responsibility of the Evaluation Office of UNEP (Nairobi) in consultation with the present and former Task Managers (Geneva), and guided by UNEP's Evaluation Policy⁵ and the UNEP Programme Manual.⁶ In view of travel restrictions caused by the coronavirus outbreak, the evaluation did not include travel to participating Project countries.

21. The Terminal Evaluation of the Project was originally planned to be carried out around Project closure in 2012. However, for reasons now unidentifiable, this never happened. Following the suggestion of the Evaluation Office, the Evaluation was carried out as a form of "accountability assessment" and was based on what was available in terms of data and project stakeholders still accessible for interviews. An overview of the evaluation sources is presented in: *Annex 2 Stakeholders interviewed and stakeholders who responded to the evaluation review* and *Annex 3 Project documents reviewed*.

22. Project documents, reports and further relevant data were provided to the consultant by UNEP and by UNITAR via email and through a cloud file sharing and storage service. Additional information for collecting the necessary data for carrying out the TE was available from the Task Manager, former Task Manager and Project stakeholders upon request. Through e-mail communication and conference calls the consultant reached the relevant stakeholders.

23. Semi structured interviews were held with the former UNEP Task Manager and National Country Coordinators of Chile, Cambodia, Ecuador and Peru. The Country Coordinators of Kazakhstan and Ukraine were not available to be interviewed and the Central American Commission on Environment and Development (CCAD) did not respond to requests to provide more information and background on the implementation of the regional Central American component of the Project. A survey was sent to country stakeholders in Ecuador and Peru and a small number of responses were received. The Country Coordinators in Chile and Cambodia could not track down the current contact information of the national stakeholders that were involved with the Project during implementation. Preliminary findings of the evaluation were discussed with the current UNEP Task Manager and the Evaluation Manager. As secondary data, the Evaluation Consultant reviewed the shared Project documents, publications, narrative and financial reports and PIRs.

24. The Terminal Evaluation has the purpose of 1) *Accountability*: objectively assessing the results generated by implementing the Project's activities against the expected results in alignment with UNEP's results-based management requirements; 2) *Learning*: contributing to operational improvement while building ownership, identifying good practices, and promoting their update within future programme planning, design, and implementation.

⁵ <http://www.unep.org/eou/StandardsPolicyandPractices/UNEEvaluationPolicy/tabid/3050/language/en-US/Default.aspx>

⁶This manual is under revision.

2.2 Evaluation criteria and key questions

25. The overall approach to the evaluation is informed by the scope set out within the Terminal Evaluation ToR, that in turn uses established evaluation criteria grouped within eight main categories. In this report, the Evaluation Consultant provides project performance ratings against these evaluation criteria, together with a brief justification cross-referenced to the findings in the main body of the Report, following this 6-point scale: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). Sustainability and Impact are, however, rated on a likelihood scale, from Highly Likely (HL) down to Highly Unlikely (HU). As mentioned above due to the limited information available from the Project archives and stakeholders, not for all aspects of the project ratings can be given. As a consequence, it is also not possible to assign an overall rating for the quality of Project implementation.

26. In addition to the evaluation criteria mentioned, the evaluation addresses the strategic questions listed below. These are questions of interest to UNEP and to which the Project is believed to be able to make a contribution:

- a) In what ways, and to what extent, was the Project able to demonstrate the feasibility of using the PRTR system as a national and regional reporting system for chemicals management?
- b) It was expected that countries with more advanced POPs and chemicals monitoring and reporting systems in place would technically assist and advise less advanced countries. To what extent does the evidence suggest that a) information exchange among participating countries and identification of good practices was adequate and b) south-to-south cooperation in PRTR development was promoted?
- c) In what ways, and to what extent, was the Project able to support participating countries to develop and/or implement the national institutional frameworks and information dissemination mechanisms that are required to sustain their PRTR systems?
- d) In what ways, were recommendations and key lessons learned from the implementation of this Project taken into consideration in the PRTR Phase II Project and is there any evidence available to support this?

27. Questions were elaborated per evaluation criterion, together with sources of data to address the questions as well as suggested indicators/factors, which would give concrete evidence of achieved results and impacts. An evaluation framework containing detailed questions was used to structure the data gathering on the issues of:

- A) Strategic Relevance
- B) Quality of Project Design
- C) Nature of External Context
- D) Effectiveness
- E) Financial Management
- F) Efficiency
- G) Monitoring and Evaluation
- H) Sustainability
- I) Factors Affecting the Project Performance and Cross-Cutting Issues

28. The Evaluation Consultant approached the assignment with the intention to bring together the best of different stakeholders involved in the design, implementation and execution of the Project, including the stakeholders not identified at Project design. The

Evaluation Consultant focused on producing evidence-based conclusions, as far as possible, by:

- converting the evaluation information needs into answerable questions;
- tracking down, with maximum efficiency, the best external evidence with which to answer them; and
- critically appraising that evidence for its validity (closeness to truth) and usefulness (future Project applicability).

29. Ownership of the evaluation results was encouraged by sharing the draft evaluation reports and discussion of its conclusions with UNEP's former and current Task Managers, the Evaluation Manager and other relevant stakeholders.

2.3 Data collection and analysis

30. The findings reported in the Terminal Evaluation are based on the Key Questions formulated in the Evaluation Framework at the evaluation inception phase. The Evaluation Framework, in turn, was based on the Evaluation Criteria and Scope presented in the ToR (Please see Annex 1) and the original Project intervention logic (Results framework).

31. A reconstructed Theory of Change (TOC) for the project was developed by the Evaluation Consultant to underpin the Terminal Evaluation. The TOC is based on the results framework, intervention logic and risk analysis in the Project document, as well as from discussions with the current and former UNEP Task Managers and the UNEP Evaluation Manager. The TOC was assessed for consistency and a clear conceptual understanding of the Project impact pathways to guide the Terminal Evaluation. The reconstructed TOC is presented in Figure 3.

32. Project documents, reports and further relevant data were provided to the Evaluation Consultant by UNEP and UNITAR via the Evaluation Office. At the outset of the consultancy, a Skype meeting between the Evaluation Manager, Task Manager and Evaluation Consultant was organized as an introduction of the Terminal Evaluation in April 2020. Additional information for collecting the necessary data for carrying out the evaluation was available from the Task Manager, Former Task Manager and Project stakeholders later on during the evaluation.

33. As mentioned in *Section 2.1 Overview*, for data collection a combination of collection methods, including a desk review of an extensive series of project documents and reports, targeted telephone/Skype and e-mail interviews with key project stakeholders were used for validation of data. Next to these communications, a brief six-question survey was sent in June 2020 to key Project stakeholders in Ecuador (4) and Peru (10). In total 6 of the 14 individuals that received the survey responded. Although the small number of respondents does not allow to assign statistical evidence to the answers, the respondents made some valuable observations about the Project, that were helpful to understand how the Project and its outcomes were assessed by stakeholders. Finally, targeted e-mail communications were carried out by the Evaluation Consultant to clarify specific remaining questions after the data collection phase during the writing of the report.

34. During the evaluation, the consultant tried to compare the project intervention with non-action. In other words: "What happened?" compared to "What would have happened without the project intervention?" An analysis of the baseline situation, general trends and

activities implemented related to PRTR reporting was undertaken. The findings of that analysis were compared with the intended project outcomes and impacts in order to attribute reported project interventions to those outcomes and impacts.

2.4 Limitations

35. Given the laps of time between Project completion (2012) and the current TE (2020), one of the main limitations was the availability of both primary and secondary data that could form verifiable evidence on which the performance assessment could confidently be based. In practice, relevant national and international Project stakeholders that could have acted as designated candidates for the evaluation interviews were not available any more due to job rotations and/or retirement.

36. There are other possible limitations to the outcomes of this Terminal Evaluation. These include amongst others: Potential for respondent bias, limited number of face to face and telephone interviews with Project stakeholders, a limited response to the evaluation survey, an incorrect attribution of the Project outcomes and impacts to the Project (positive results in PRTR development, national implementation and reporting caused by actions outside the Project).

37. Potential for respondent bias. The evaluation findings are based, in part, on the views of key informants with a responsibility for implementation and execution of Project activities that could be potentially biased in their responses regarding outcomes. Several measures were taken to reduce the effect of respondent biases and validate interview results, including the following: (i) ensuring that respondents understood the strict confidentiality of responses; (ii) including informants who did not have a responsibility for implementation and execution of Project activities; and (iii) asking respondents to provide a rationale for their judgments, including a description of specific activities which contributed to reported outcomes.

38. Limited number of face-to-face and telephone interviews with Project stakeholders and limited responses to the evaluation survey. Statistically, the relatively low number of respondents has an impact on the value that can be attributed to quantitative results of the interviews. With such low numbers, the statistical evidence is of limited value.

39. Attribution/Contribution: As with many other international projects, other factors than the intervention itself could have contributed to the expected results/outcomes of the Project. This is particularly relevant for projects aiming at strengthening government ownership of targeted problems and impacting governmental legal and institutional frameworks. Within the framework of this Project there are a lot of external causes that have contributed, or which will contribute in the future, to the expected results / outcomes of the Project. In order to avoid false attribution to the Project intervention, where the external causes played a more important role, the consultant has strived to distinguish clearly between the intervention itself and external factors.

2.5 Learning communication and outreach

40. To ensure promotion of learning and communication of key findings of the terminal evaluation, the evaluation adopted the following approach:

- The reconstructed TOC was discussed and validated with the Evaluation Manager and the former and current Task Managers;
- Assumptions and drivers were verified with the Evaluation Manager and former Task Manager;
- Feedback and potential recommendations were discussed with key Project partners;
- Interviews were undertaken in a semi-structured manner and individually with each key stakeholder to allow space for interviewees to provide their views, priorities and potential recommendations on the implementation process;
- Preliminary findings, lessons learned and recommendations were shared with the Evaluation Manager and Task Manager;
- The Final Report of the Terminal Evaluation took into consideration comments / suggestions and feedback from all partners.

2.6 Ethical considerations

41. This evaluation was carried out in accordance with the Ethical Code of Conduct as per the UNEP Evaluation policy, which includes the following key factors: (a) all interviews and information were provided in confidence and anonymously and no information can be traced back to a direct source/individual, (b) those involved in the evaluation have had the opportunity to review the evaluation findings as well as the main evaluation report, (c) the evaluator was sure to have empathy and sensitivity to different contexts and cultures in which stakeholders work.

42. To allow for a maximum of free and open discussion about the Project results and about how it was implemented, the opinions of the people interviewed and of the people who responded to the survey are not disclosed in direct connection with their individual views. Their responses are being treated with full confidentiality. Only an overview of people consulted for the evaluation is presented in Annex 2 of this report.

3. The Project

3.1 Context

43. The Project was designed to assist participating countries to comply with their reporting obligations under the Stockholm Convention (SC) on Persistent Organic Pollutants (POPs). Article 10 of the convention acknowledges the value of Pollutant Release and Transfers Registers (PRTRs) for the collection and dissemination of information on estimates of annual quantities of chemicals listed in Annex A, B or C, that are released or disposed of. SC Parties are required to report on the overall management of POPs and quantities at certain intervals and PRTRs are designed to assist Parties in collecting this information faster and in a more cost-effective way. PRTRs act as a central database and are recognized as a robust and comprehensive data-recording system on pollutants, which is also able to record annual information and to gather temporal data for a large number of chemicals. PRTRs provide a publicly accessible system that can assist governments to disseminate information on POPs and other chemicals in a systematic and effective manner.

44. PRTRs assist countries to comply with the Stockholm Convention requirement to regularly update their National Implementation Plan (NIP) (Article 7), exchange information (article 9), facilitate public information, raise awareness and education (article 10) and report to the Secretariat (Article 15).

45. The Project was designed to implement a PRTR in Chile and design a PRTR in Cambodia, Ecuador, Kazakhstan, Peru, Thailand⁷, and Ukraine. Additionally, the Project planned to carry out a study in six Central American countries (Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua) on the feasibility of a PRTR system as a regional reporting mechanism for chemicals management.

⁷ Faced by the various administrative barriers to appropriately implement the Project, Thailand decided to withdraw from the Project and concentrate on PRTR design with support of JICA in 2011, one year before the Project ended.

Figure 1. World map with Project countries highlighted in blue



3.2 Project objectives and components

46. According to the GEF CEO Approval document (equivalent to Project Document) the Project's **overall objective** is: *to protect human health and the environment from POPs*. The purpose or **development objective** of the Project is *to meet participants countries' Stockholm Convention obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR*.

47. The overall project objective and purpose were planned to be achieved through fulfilment of the following specific objectives:

- **Objective 1:** [Define] Project Management and Supervision regime
- **Objective 2:** Implementation and use of PRTRs as a model for POPs reporting and monitoring system in Chile
- **Objective 3:** Design a PRTR system for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine
- **Objective 4:** Regional assessment of regional reporting system in Central America for POPs and other chemicals
- **Objective 5:** Identification of good practices and sharing lessons learned in POPs monitoring and reporting
- **Objective 6:** Development of a monitoring and evaluation programme

48. The six project objectives / components included subsequent activities and expected outcomes, see Table 2 below.

49. It is important to note that UNEP moved to a systematic project approach in 2010. At the time, in 2009 when the Project was developed, many elements needed today in a project document were not required. As a consequence, projects were structured in a more heterogeneous way.

50. The original Project document contains six components and under each component a set of planned activities was defined. (The different components do not correspond with a separate objective in the Project document.). In *Section 2.4* of the Project document Expected Project Outcomes/Outputs, outcomes and/ or outputs are not distinguished and the section does not list expected outputs and/or outcomes separately per Project component. Moreover, *Section 2.4* does not list Project outputs in the sense of final products or services delivered by the Project to beneficiaries, such as reports, publications, trainings or meetings, which Project activities were expected to produce in order to achieve the Project's objectives. However, these outputs can be found in the Results framework within the Project document and in table 4 Outputs and Milestones from Project Activities.⁸ (See also *Section 4 Theory of Change* of this report.) Expected outcomes/ outputs described in *Section 2.4* of the Project document include the following:

- PRTR used as a tool for POPs and other chemicals, monitoring and reporting
- Identification of POPs and other chemicals priority areas nationally and regionally through annual information provided by PRTRs

⁸ The list of outputs and milestones from Project activities in table 4, section 4.2 Monitoring and evaluation of the Project document provides a more specified list of outputs that is not reflected in the Results framework in Appendix 3.

- Capacity for POPs collecting of information and reporting enhanced nationally, allowing a rapid transfer and processing of data and further provision of information
- Information available for all sectors, regardless of their access to modern and technological tools
- Identification and availability of lessons learned and good practices in the development and implementation of POPs reporting and monitoring systems

51. The results framework in *Appendix 3* of the Project document repeats the above-mentioned general outcomes in a more targeted and detailed way for 4 of the 6 components and provides outputs. The Project document contains the following six components as shown in Table 2. Aims of the components, expected outputs and outcomes are summarized below:

Table 2. Project components, expected outputs and outcomes, summarized by the consultant based upon the Appendix 3 Results framework of the Project document and the Project narrative

Component 1: [Define] Project management set up, review, monitoring and evaluation regime	
Aim of Component 1:	To establish Project work teams at the national level in participating countries. To recruit the needed national and international experts and subcontractors. To set up and plan for administrative and reporting procedures to UNITAR as well as within participating countries
Expected Outputs:	
Expected Outcomes:	
Component 2: Implementation and use PRTRs as a model for POPs reporting and monitoring system in Chile	
Aim of Component 2:	To implement and use PRTRs in Chile as model for POPs reporting and monitoring
Expected Outputs:	PRTR operational and functioning
Expected Outcomes:	PRTR implemented and used for POPs monitoring and reporting system in Chile
Component 3: Design a PRTR system for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine	
Aim of Component 3	To identify goals and objectives for a national PRTR system, assess the existing infrastructure, design key features of a national PRTR system, conduct a pilot reporting trial, develop a national PRTR proposal and actively seek endorsement.
Expected Outputs:	PRTR designed in each country to comply with SC obligations on future POPs reporting and monitoring
Expected Outcomes:	POPs monitoring and reporting system designed in Ecuador, Peru, Thailand, Cambodia, Kazakhstan and Ukraine
Component 4: Regional assessment of reporting systems for POPs and other chemicals in Central America	
Aim of Component 4:	To assess regional feasibility of PRTR reporting systems for POPs and other chemicals in Central America including pilot implementation in 2 countries. ⁹
Expected Outputs:	Regional assessment for PRTRs as monitoring and reporting system for the SC available

⁹ The Project document did not specify which 2 countries. According to the Final Report PRTRs were “fully designed in Belize, Costa Rica, Guatemala, and Honduras”.

Expected Outcomes:	Regional reporting system for the SC in Central American countries designed. Countries involved Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua
Component 5: Identification of good practices and lessons learned in POPs monitoring and reporting	
Aim of Component 5:	To identify and update existing guidelines for POPs monitoring and reporting systems and global exchange of experience with PRTR reporting and monitoring systems.
Expected Outputs:	Lessons learned and good practices report produced
Expected Outcomes:	Good practices and replicable elements on POPs monitoring and reporting identified Key lessons learned on PRTR development, improving access to information and using PRTRs as POPs reporting tools disseminated among national stakeholders and SC parties
Component 6: Development of a Monitoring and Evaluation Programme	
Aim of Component 6:	To improve the efficiency and effectiveness of Project implementation
Expected Outputs:	
Expected Outcomes:	

3.3 Stakeholders

52. In *Section 1.0 Project Description; Background and Context / Country situation*, the Project document provides information on national Project stakeholders and their interest in the subject of PRTRs. In *Section 4.1 Implementation Arrangements* the Project document gives an overview of the planned role of national stakeholders in the Project and the method of their engagement with Project activities. In *Section 5.0 Stakeholder Participation and Results Dissemination* the engagement with stakeholders is further elaborated. There is, however, in the Project document no stakeholder analysis included that describes the levels of influence and interest each stakeholder group has. As a consequence, the analysis below of stakeholders and description of beneficiaries is not based on an analysis provided by the Project document. It is based on the consultant's experience with other international environmental technical assistance projects and the assumption that stakeholders in target Project countries tend to have similar influence on and power over Project implementation.

53. Please note: as Thailand withdrew from the Project in 2011, it is not included in the stakeholder analysis and Theory of Change provided below. The country is subsequently also not included in the further evaluation of the Project.

54. Based on the Project document, the above-mentioned stakeholder analysis and initial discussions with UNITAR staff, the following key stakeholders have been identified.

3.3.1 International organizations:

- **UNEP:** Implementation Agency of the Project. Project was supervised by the UNEP Task Manager.
- **UNITAR:** Executing Agency of the Project. The day-to-day management of the Project was carried out by the UNITAR Project manager.
- **Global Environment Facility:** Main funding agency.
- **Stockholm Convention Secretariat:** The Project is well embedded in national and international initiatives on the Stockholm Convention.

55. Throughout the Project document the Aarhus Convention and organizations such as the United Nations Economic Commission for Europe (UNECE) are mentioned. There is, however, no detailed description of how the Aarhus Convention objectives (Access to Information, Public Participation in Decision-making and Access to Justice) are involved in the Project design.

56. According to the Final Project Report the following international partners contributed in cash and/or in kind to the Project:

- Federal Office for the Environment (FOEN) of Switzerland
- United States Environmental Protection Agency (US EPA)
- The United Nations Economic Commission for Europe (UNECE)
- SAICM Secretariat and the SAICM Quick Start Programme Trust Fund (QSPTF)
- GRID ARENDAL / Zoi Environment Network (ZEN)
- United Nations Industrial Development Organization (UNIDO) and the Government of Canada (GOVCA)
- Organisation for Economic Cooperation and Development (OECD)
- Ministry of Agriculture, Food and Environment (MoAFE) of Spain and the Central American Commission on Environment and Development (CCAD)
- Commission for Environmental Cooperation (CEC – North America)
- Secretariat of Environment and Natural Resources of Mexico (SENRM)

3.3.2 Country stakeholders:

57. As main Project stakeholder for participating countries, the national agencies responsible for environmental management were designated. These agencies were expected to have had a strong interest to participate in the Project as the main responsible organization for the implementation of the Stockholm and Aarhus conventions.¹⁰ In line with the Project objective the agencies responsible for environmental management should have received:

- appropriate tools to monitor progress made on protecting human health and the environment from POPs threats, and
- enhanced capacity to meet SC obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR.

58. Both of the above points are expected to have supported the agencies to better comply with national obligations under the Stockholm and Aarhus conventions. Moreover, the easily accessible and reliable national PRTRs, should have enabled them to significantly improve the quality of their national duties and services. Within the national power balance among ministries the power of influence on decision making of agencies responsible for the environment is traditionally not the strongest and most influential.

59. National partnering institutions and PRTR national coordination members included relevant ministries and or other stakeholders. These partnering institutions were not selected

¹⁰ In the case of Chile based on the prospective of joining OECD (PRTR is one of the requirements) this interest was very strong.

yet at design. During the implementation phase the following national partners were selected and contracted:

- **Cambodia:** Ministry of Environment
- **Chile:** Ministry of Environment
- **Ecuador:** Ministry of Environment
- **Kazakhstan:** NGO Greenwomen
- **Peru:** Ministry of Environment
- **Ukraine:** State Environmental Academy, Ministry of Environmental Protection

60. The regional component in Central America was managed by UNITAR via one regional contract with CCAD in El Salvador. However, the Project was implemented many years ago and details of the implementation of the Component 4 contract are not fully clear. Unfortunately, CCAD did not respond to requests to provide more information and background on the implementation of the regional Central American component of the Project.

61. Other ministries are certainly expected to have had an interest in the Project, but most probably not as strong as the agencies responsible for environmental management. The improved access and accuracy of environmental data should have been beneficial to all national partnering institutions that need to work with those data on a daily basis.

62. During the project implementation phase the following Ministries are recorded as having showed a keen interest to be involved with the Project:

Cambodia: Ministry of Agriculture, Ministry of Industry, Ministry of Health, Ministry of Transport, Ministry of Labour and Vocational Training, Customs Department, Ministry of Commerce

Chile: Ministry of Health, Chilean Copper Commission, Inter-ministerial Secretariat for Transport Planning, Ministry of Public Works, Directorate General of Maritime Territory and Merchant Marine, Superintendence of Sanitary Services, Directorate General for Water, National Institute of Statistics, National Customs Service, Agricultural and Livestock Service, National Energy Commission, Internal Revenue Service, National Service of Geology and Mining

Ecuador: Ministry of the Environment, Ministry of Natural Resources and Renewables, Ministry of Development and Housing, Ministry of Transport and Public Works, National Water Secretariat SENAGUA, National Secretariat for Development and Planning, Ministry of Public Health, Ministry of Electricity and Renewable Energy, National Risk Secretariat, National Council of Electricity CONELEC, Provincial Directorate of Health, Ministry of Education, Ministry of Labour Relations, Provincial Direction of Environment of Guayas.

Kazakhstan: Statistics Agency

Peru: Directorate General for Mining Environmental Affairs, Directorate-General for Social and Environmental Affairs, Industry Environmental Affairs Directorate, Directorate of Environmental Affairs for Fisheries, Institute of the Sea of Peru - IMARPE, Environment Office, Directorate-General for the Environment, Directorate for Agricultural Environmental Affairs, National Agricultural Health Service, National Institute of Civil Defence - INDECI, National Institute of Statistics and Informatics, General Group of Volunteer Firemen of Peru, National Superintendence of Tax Administration - SUNAT - Customs, Ombudsman Office

Ukraine No other ministries involved as far as known by the end of the evaluation data collection phase

63. In all participating countries NGOs and public interest groups were expected to be involved in the Project. NGOs are expected to have had a strong interest in the Project. The Aarhus Convention provides them with an international legal licence to operate in their respective societies. The improved access and accuracy of environmental data should have been beneficial to NGOs as well, as they rely on this information in their daily work. NGO power of influence on decision making is traditionally low. They can raise awareness and advocate the need to put environmental issues on the political agenda.

64. During the implementation phase the following NGOs and public interest groups are recorded as having actively participated in the Project activities:

Cambodia: Cambodian Agricultural Study and Development Centre (SEDAC), Cambodian Federation Worker of Trade Union, Srer Khmer Organization (agricultural workers organization), NGO Forum on Cambodia, NGO Blup Baytong

Chile: TERRAM Foundation, Greenpeace, Codesur – Synergies

Ecuador: LECOGESTION Foundation, Charles Darwin Foundation, Natura Foundation

Kazakhstan: Centre for sustainable production and consumption

Peru: Peruvian Association of Consumers and Users ASPEC, Action Network on Alternatives to the Use of Agrochemicals - RAAA, Health, Safety and Work Table

Ukraine NGO “Center of Europe”, Kyiv Ecological Institute, Lviv Carpathian Institute

65. Additional important Project stakeholders included amongst others: academia and industry associations. These organizations are expected to have had a strong interest in the Project. All of them rely on easily accessible and accurate information for their work. In general, the power of influence of this heterogenous group of organizations on decision making is not expected to be remarkably high, although political decision makers have to rely, amongst others, on information from this group of stakeholders.

66. From academia, the private sector and industry associations the following institutions played an important role in the Project:

Cambodia: Pesticide importing companies

Chile: Confederation of Production and Commerce, Chemical Industry Association

Ecuador: Association of Chemical Producers of Ecuador, APROQUE, LAFARGE CEMENTS, Polytechnic School of the Coast ESPOL,

Kazakhstan: Kazakh association of the industrial enterprises for sustainable development

Peru: National Society of Industries - SNI, National Society of Mining, Petroleum and Energy - SNMPE, National Fisheries Society - SNP, Lima Chamber of Commerce - CCL, Lima Chamber of Commerce - Crop Protection – PROTEC, Pontifical University Catholic University of Peru, National University of San Marcos

Ukraine Ukrkontrakt Ltd, Industrial Union of Donbas, Telecommunications company MTS, Cherkassy transport company

67. As mentioned above, under-represented / marginalized groups are not mentioned separately in the Project document. As PRTRs are an abstract and complicated tool that do not seem to have any relevance for the day-to-day life for these vulnerable groups, the vulnerable groups are expected to have had a low interest in the Project. The power of influence of vulnerable groups is low.

68. It is expected that Project partners have tried to enhance women participation in project activities, as the subject of Gender Equity became more important in the years when the Project was implemented.

69. The Project document does not identify specific beneficiaries of the Project intervention. Based on the Project narrative and logic and starting from the local level the following beneficiaries have been identified during this inception phase:

- A. **Vulnerable groups** living close to pollution hot spots (in practice most vulnerable are often women and children) are expected to ultimately benefit from the Project, provided that implementation of the PRTRs has a real impact. Real impact would mean that improved data and monitoring and reporting practices result in better regulation and management of the chemicals registered in the PRTR by national responsible authorities in line with international best practices. The less directly exposed **public at large in Project countries** should benefit as well from the Project if the Project was effective and has real impact.
- B. **NGOs in Project countries** are expected to benefit from the Project if it is successfully implemented. Provision of access to environmental information and involvement in environmental decision making is expected to enable the NGOs to perform their watch dog function in the countries, inform the population about important issues and monitor the quality of governmental policies.
- C. The same holds true for **academia and the industry sector**. Improved information is expected to enable these organizations to come up with better research, policy, reporting and guidelines on the relevant chemicals etc.
- D. **Key governmental Project partners such as the agencies responsible for environmental management and other relevant ministries** are expected to benefit from the Project. Access to more accurate data should enable them to improve the monitoring, reporting and regulation of chemicals. Participation in the project is expected to be especially beneficial for Chile. By implementing a PRTR the country should have better prospects of joining the OECD (PRTR is one of the requirements).
- E. Even the relevant international organizations like the e.g. **Stockholm Convention, the United Nations Economic Commission for Europe (UNECE), FOEN, US EPA** are expected to benefit from the improved data, monitoring and reporting and from stronger PRTR capacity in participating Project countries, if it is achieved.

70. As stakeholder participation and cooperation and Human Rights and Gender Equality are important and recurring themes throughout the evaluation, the terminal evaluation of the Project reports on what roles the stakeholders played to bring about change and achieve

impact with the Project. The evaluation also reviews how well issues of Human rights and Gender Equality were taken into account during the implementation of the Project.

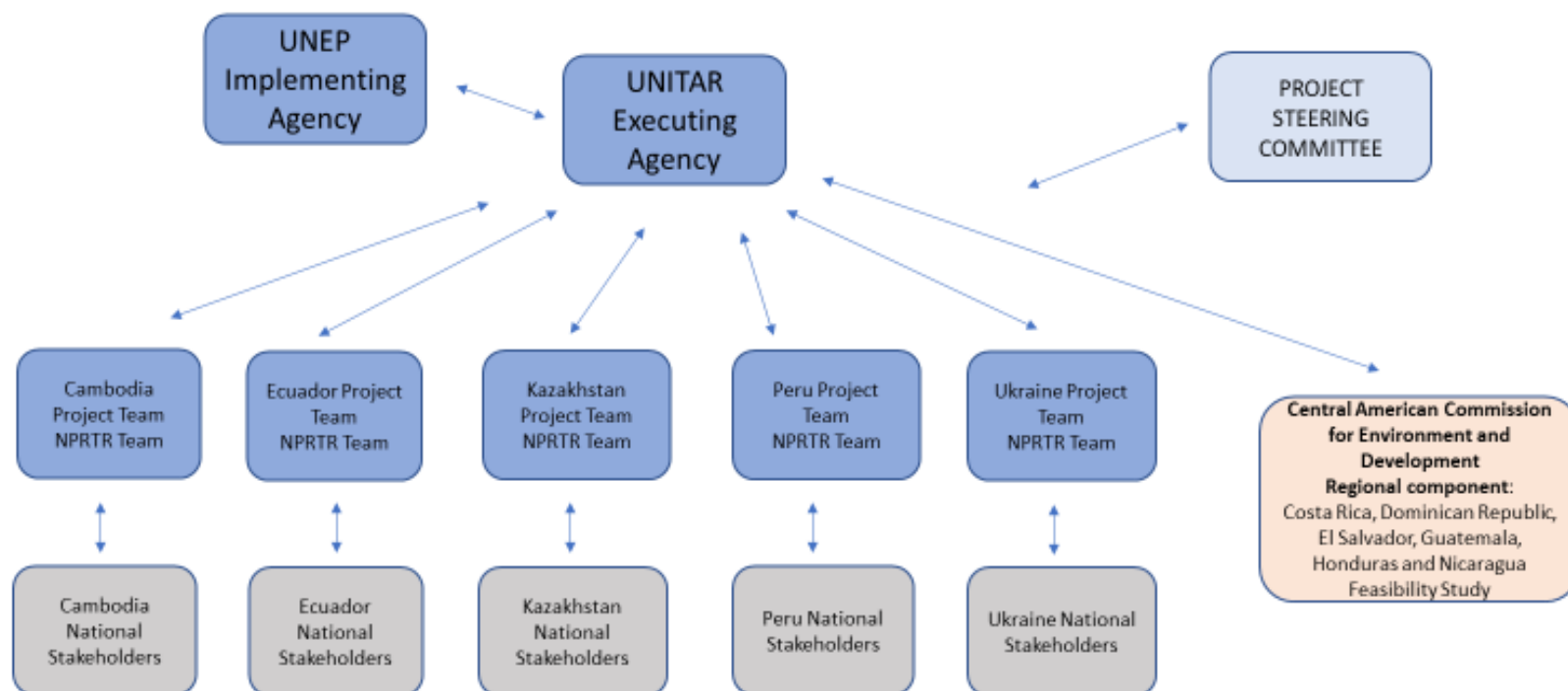
3.4 Project implementation structure and partners

71. The Implementing Agency for the Project was UNEP and Executing Agency UNITAR. As part of its implementing role, UNEP supervised and provided administrative support to the Executing Agency. UNITAR in turn managed the Project execution on a day-to-day basis, composed of managerial and technical teams, and hired technical consultants as needed. UNITAR reported to UNEP on the Projects progress and on monitoring and evaluation activities.

72. A **National Coordinating Team (NCT)** was appointed within all Project countries composed by different stakeholders from main sectors to supervise and participate in the Project. **National PRTR Project Teams (PTs)** were established within the national executing agencies in every participating country. The PTs reported to the NCTs and to the POPs National Coordinating body. PTs had the responsibility of involving relevant representatives from government, NGOs, industry and academia.

73. A **Project steering committee (PSC)**, was established to assess the Project's progress and ensure that objectives and goals would be achieved. The PSC comprised of representatives from the donor community, implementing and executing agencies and Project coordinators from participating countries.

Figure 2. Implementation structure and decision-making flow chart



3.5 Changes in design during implementation

74. After approval, the Project started off in January 2009 and was completed in September 2012. At design, the Project was originally planned to be implemented from October 2008 to October 2010. During the Project implementation, however, a revision was agreed upon to allow for completion of the Project, after the implementation of Project activities had fallen behind.¹¹ There were delays in signing Project Memoranda of Understanding (MoU) between UNITAR and participating countries. National administrative regulations, especially in Ecuador, did not allow for efficient negotiations and swift formalization of the MoUs. Next to that, a lack of national management capacities slowed down the implementation of Project activities and required more international assistance than originally planned. Unfortunately, frequent changes of the staff assigned to the Project as coordinator at UNITAR further contributed to the delays experienced within the Project. Faced by various administrative barriers to appropriately implement the Project, Thailand decided to withdraw from the Project and concentrate on PRTR cooperation within the framework of a parallel Japan International Cooperation Agency (JICA) project in 2011. Notwithstanding the above-mentioned setbacks and delays, the total budget for the execution of the Project remained the same.

3.6 Project financing

75. The Project is regarded as a medium size project (MSP) in line with GEF project categories. The cost to the GEF Trust Fund was USD 950,000. At project design, the expected co-financing support (cash and in-kind) from various partner organizations and participating countries was USD 2,504,320. The total approved budget for the Project was USD 3,454,320 as outlined in the Table 3 and Table 4 below under "Total cost of the project". (Please see also Section 5.5 Financial management)

Table 3. Project budget at design by component

Project Component	GEF (USD)	Co-financing (USD)
1 Project Management and Supervision	95,000	435,800
2. Implement and use a PRTR as a model for POPs reporting and Monitoring system	150,000	767,200
3. Design a PRTR system for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine	439,000	922,320
4. Regional Assessment of reporting systems for POPs and other chemicals in Central America	0	146,200
5. Identification of Good practices and sharing lessons learned in POPs monitoring and reporting	241,000	232,800
6. Monitoring and Evaluation Programme	25,000	0
Total Project Cost by funding source	950,000	2,504,320

¹¹ Copies of the official requests for Project extension were not available for the evaluation.

Project Component	GEF (USD)	Co-financing (USD)
TOTAL PROJECT COST		3,454,320

Table 4. Project budget at design by funding source

Source	Amount (USD)
GEF Trust Fund	950,000
Total Co-financing	2,504,320
Switzerland (POPs and Mercury Project support)	380,000
USEPA (Mercury project in Chile, Panama and Ecuador)	350,000
USEPA (Central American assessment)	174,200
QSPTF (Kazakhstan and Cambodia)	100,800
GRID-Arendal	200,000
UNECE	12,000
UNITAR	100,000
Chile	600,000
Canada POPs Fund	250,000
UNIDO	10,000
UNEP DTIE	20,000
Countries (Ecuador, Peru, Thailand, Cambodia, Kazakhstan, Ukraine)	307,320
TOTAL PROJECT COST	3,454,320

4. Theory of Change

76. At the time when the Project document was designed, the Theory of Change (TOC) was not yet a requirement for the development of UNEP GEF Project proposals. Therefore, the TOC has been reconstructed during the evaluation inception phase based on the defined outcomes, outputs, results and objectives as described in the original Project document.

77. In the Project document the Results framework in its Appendix 3 lists the outcomes, outputs, key indicators, baseline, target, means of verification and assumptions to achieve the Project goal to: *protect human health and the environment from POPs*.¹² Table 5 below outlines the linkages that exist between the Project outcomes and outputs as set out within the original Project document and compares them with the Reconstructed TOC as proposed by the Evaluation Consultant.

78. In Section 3.2 above, Project components, outputs and outcomes have been introduced already. However, for clarity of the proposed Reconstructed TOC and in order to comment on the causal logic of the Project in a systematic way, an overview of the **Direct Outcomes**¹³, **Project Outcomes**¹⁴, **Intermediate States**¹⁵, **Impact**¹⁶, **Assumptions**¹⁷ and **Drivers**¹⁸ is given in the below sub-sections. The sub-sections also indicate which parts are copied from the original Project document and which parts are formulated additionally for use in the proposed Reconstructed TOC.

79. Outputs and outcomes used in the reconstructed TOC are copied, almost unchanged, from the original Project document.¹⁹ Direct outcomes in the reconstructed TOC have been developed based on the Project document's results framework in Appendix 3 and Table 4 'Outputs and Milestones from Project Activities'.

80. Direct outcomes in the reconstructed TOC have been formulated as follows:

Direct outcome 1: PRTR trainings and guidelines are developed and stakeholders are actively using them

Direct outcome 2: Web based PRTR portal is used by stakeholders from participating countries

¹² The project's results framework in Appendix 3 of the Project document lists the outputs very briefly. In the Project document's Table 4 Outputs and Milestones from Project Activities a more complete set of outputs is provided.

¹³ An outcome that is intended to be achieved from the uptake/adoption/application of outputs and occurring prior to the achievement of Project Outcome(s).

¹⁴ To distinguish between the Reconstructed TOC Direct outcomes and the original outcomes, the latter are identified here as Project outcomes. Project Outcomes are those outcomes that are intended to be achieved by the end of project timeframe/funding envelope

¹⁵ Intermediate states are changes (i.e. changes at the outcome level) beyond the Project Outcomes, that are required to contribute towards the achievement of the intended impact of a project.

¹⁶ Impacts are long-lasting results arising, directly or indirectly from a project. Impacts are intended and positive changes and must relate to UNEP's mandate.

¹⁷ An assumption is a significant external factor or condition that needs to be present for the realization of the intended results but is beyond the influence of the project and its partners.

¹⁸ A driver is a significant external factor that, if present, is expected to contribute to the realization of the intended results of a project. Drivers can be influenced by the project and its partners.

¹⁹ The outputs are not listed here to avoid lengthy repetitions. Refer to Table 2

81. The original Project document included the following 4 Project outcomes:

Project Outcome 1: PRTR implemented and used for POPs monitoring and reporting system in Chile
Project Outcome 2: POPs monitoring and reporting system designed in Ecuador, Peru, Cambodia, Kazakhstan and Ukraine
Project Outcome 3: Regional reporting system for the SC in Central American countries developed. Countries involved Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua
Project Outcome 4: Good practices and replicable elements on POPs monitoring and reporting identified

82. The anticipated long-term Impacts used in the Reconstructed TOC are formulated as:

Impact 1: Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of public accessible PRTRs in 6 project countries
Impact 2: Experience and results from the PRTR project are replicated in the 6 CA countries

83. Assumptions (A) used in the Reconstructed TOC are summarized from the assumption descriptions in the Project's results framework:

A1. In the case of Chile: prospect of joining OECD is a motivating factor (PRTRs is one of the requirements)
A2. National legal documents agreed and adopted in Chile
A3. Industry sectors are willing to train and able to fully participate in PRTRs
A4. National governments are open to adopting PRTRs as part of the national regulatory framework
A5. Countries willing to share experiences and expertise with other participating countries and beyond
A6. NGO groups and journalists available and interested
A7. Stakeholders actively assist to endorse technical and legal documents in support of PRTR implementation
A8. Governments lead the development of legal documents in support of PRTR implementation
A9. National NGOs, industry, academia, etc. participate in the Project and provide meaningful input into the Project
A10. Sustainable sources of funding are committed from national budgets to cover for the costs of further PRTR development and implementation of the reporting and monitoring system

84. There are no Drivers (D) included in the original Project document. Proposed drivers that could support change towards the intended impact, are formulated in the Reconstructed TOC as follows:

D1. Positive Project results and early Project results are achieved that strengthen national commitment and country ownership
D2. Use of PRTR in Chile demonstrates efficiency of PRTR to other participating countries

D3. National political decision makers are well informed about value and the importance of PRTRs
D4. National PRTR design in participating countries enables future reporting to SC
D5. Strong advocacy for the importance of the project from IA and EA is provided / achieved
D6. Prospect of efficient SC POPs reporting and monitoring strengthens national commitment and country ownership
D7. Robust and participatory mechanisms for capacity building, awareness raising
D8. Quality of the web based PRTR portal in terms of its utility, accessibility and functionality is ensured

4.1 Causal pathways from Outputs to Outcomes

85. Outputs related to **Project outcome 1** (PRTR implemented and used for POPs monitoring and reporting system in Chile) are designed to provide the necessary support and training for Chile to develop all technical infrastructure, documents, legislation, public outreach strategy and website to implement the national PRTR reporting and monitoring system and make sure that it will be used amongst others for POPs. Only when the combined planned outputs under this component are accomplished and used by stakeholders, will **Direct outcome 1** (PRTR trainings and guidelines are developed and stakeholders are actively using them) and **Direct outcome 2** (Web based PRTR portal is used by stakeholders from participating countries) be successfully achieved. Provided that most of the above-mentioned assumptions hold and drivers are in place, the achievement of Project outcome 1 will follow.

86. Assumptions and drivers relevant for **Direct outcome 1** are equally important for **Project outcome 1**. Regarding the assumptions it is important to state that without the aim to join the OECD, the Chilean government is expected to be less motivated for the adoption of a PRTR reporting system (A1). Consequently, without active country ownership and commitment no national legal documents are expected to be agreed and adopted in Chile (A2). To achieve a well-functioning PRTR it is necessary to involve and properly train the industry sector and develop the relevant guidelines (A3 and A4). It is also important that NGO groups and journalists available and interested (A6). Without NGO participation the Aarhus Convention principle of public access to environmental information and decision making will not be implemented. Stakeholders need to actively assist to endorse technical and legal documents in support of PRTR implementation (A7). Governments need to lead the development of legal documents in support of PRTR implementation (A8). All relevant stakeholders need to participate and provide input (A9). Finally, without a governmental commitment to finance the PRTR over a longer time, the initiative will not be sustained (A10). As far as the drivers are concerned: positive Project results achieved early on in the Project are expected to create enthusiasm for achieving the Project goals and are expected to strengthen country ownership (D1). Without being well informed about the value of PRTRs in terms of e.g. data reliability and cost-effectiveness national decision makers will not have the strong enough Project ownership and commitment to carry through the required endorsement and adoption decision making (D3). Without taking into account in the PRTR design the need that the system should enable future SC reporting, the system will not be convenient as a tool for that reporting (D4). The authority of representatives of IA and EA on the subject of PRTRs and PRTR SC reporting could strengthen government ownership and commitment (D5 and D6). Robust and participatory mechanisms for capacity building and awareness raising are expected to enhance the quality of the national proposals and legal instruments (D7). The quality of the web based PRTR portal in terms of its utility, accessibility and functionality is expected to ensure that stakeholders will be able to access the provided information (D8).

87. For the achievement of **Direct outcome 2** a driver that supports the creation of the web based PRTR portal is the above-mentioned driver (D8). Without an accessible and functionally designed website, the PRTR portal will not be used. Moreover, for the PRTR portal to be used, some assumptions are relevant. National legal documents need to be adopted (A2 and A4), NGOs, industry sectors and journalists need to be willing to train and participate in the Project (A3, A6 and A9) and the governments need to commit budgets to the initiative (A10). Relevant other drivers include: the need to inform political decision makers about the value and importance of PRTRs (D3, D5 and D6) and the need to organize robust and participatory mechanisms for capacity building and awareness raising (D7). Without a real integration into the Chilean policy and legal framework the PRTR web portal is not expected to carry any significance for stakeholders and will not be used for POPs monitoring and reporting.

88. Outputs related to **Project outcome 2** (POPs monitoring and reporting system designed in Ecuador, Peru, Cambodia, Kazakhstan and Ukraine) are designed to identify the goals and objectives of national PRTR systems, assess the relevant infrastructure, design key features of national PRTR systems, conduct a pilot, develop national proposals and conduct national PRTR implementation workshops. Accomplishment of the combined planned outputs under this component is expected to result in the achievement of Project outcome 2, provided that most of the assumptions hold and drivers are in place. Regarding the assumptions it is important to state that without the industry sector and other stakeholders like NGOs and academia willing to train (A3, A6 and A9) and without the required budget to finance the PRTR (A10), no relevant feasibility studies, technical designs, normative frameworks, communication and awareness raising plans are expected to be developed, no pilots will be carried out and no national PRTR proposals will be drafted. Without active endorsement of technical and legal documents in support of PRTR implementation of all stakeholders (A4 and A7) not enough capacity will be built. Governments are expected to lead the development legal documents in support of PRTR implementation (A8).

89. For the drivers it is important to state that the national political decision makers need to be well informed about the value, importance and prospect of efficient SC reporting of PRTRs (D3, D6). It is expected that strong advocacy from IA and EA is very important in this respect (D5). The practical use of PRTR in Chile is expected to demonstrate the efficiency of PRTRs (D2) and the prospect of efficient SC POPs reporting is expected National PRTR design in participating countries needs to enable future reporting to the Stockholm Convention (D4). Robust and participatory mechanisms for capacity building are key to guarantee the quality of trainings, guidelines and other capacity building activities (D7).

90. Outputs related to **Project outcome 3** (Regional reporting system for the SC in Central American countries developed) are designed to carry out a regional assessment of the possibility to set up a regional POPs reporting system in Central America and conduct a PRTR pilot in two of the participating countries. Only when the combined planned outputs under this component are accomplished, will Project outcome 3 be successfully achieved. Regarding the assumptions, it is important to highlight that without National governments being open to adopting PRTRs as part of the national regulatory framework (A4) the PRTR pilot will fail to be successful. It is equally important that industry sectors, NGOs and other relevant stakeholders are willing to train and able to fully participate in PRTRs (A3, A9). Without involvement of the industry, it is expected that it will be impossible to work with reliable data in the PRTR pilot. Without NGO participation the Aarhus Convention principle of public access to environmental information and decision making will not be implemented. Technical and legal documents need to be developed and endorsed by relevant stakeholders in support of a regional

reporting system for the SC in Central American Project countries (A7 and A8). Commitment of financial resources from national budgets are important to sustain the initiative over a longer period of time (A10). As far as the drivers are concerned it is expected that national political decision makers need to be well informed about value and the importance of PRTRs (D3), and that the prospect of efficient SC POPs reporting and monitoring will strengthen national commitment (D6) to the assessment and pilot PRTRs. Efficient use of the PRTR system in Chile could work as a practical example (D2). The authority of representatives of IA and EA on the subject of PRTRs and PRTR SC reporting is expected to strengthen government ownership and commitment (D5 and D6). Robust and participatory mechanisms for capacity building and awareness raising are key to guarantee the development of an efficient regional reporting system (D7). Finally, a quality web portal in terms of its utility, accessibility and functionality, needs to be put in place for the Regional reporting system to ensure that stakeholders will be able to access the provided information (D8).

91. Outputs related to **Project outcome 4** (Good practices and replicable elements on POPs monitoring and reporting identified) are thematically cross-cutting and designed to provide the key lessons learned from the whole Project and to disseminate these lessons learned among national stakeholders and SC parties. Regarding the assumptions, it is essential for the achievement of Project outcome 4 that countries are willing to share experience and expertise with other participating countries and beyond (A5). The lessons learned are expected to be used to facilitate the development of PRTRs in other countries. The drivers to support the achievement of Project outcome 4 highlight the importance of strong project ownership achieved through positive Project results (D1) including demonstrated results from the Chile experience (D2) that are expected to strengthen the motivation to share experience and expertise internationally.

92. The achievement of the Intermediate States can be seen as a precondition that is essential to the Impact becoming realized: Here, endorsement and adoption are critical elements in the change process. Without endorsement and adoption of Project proposals, legal documents, reports, guidelines, documents and strategies, institutionalization of meaningful use of PRTRs such as reporting to the Stockholm Convention will not happen and as a consequence the participating countries will not comply with their obligations under the convention. It is important to note that there was a significant difference between Chile and the rest of the main participating countries Cambodia, Ecuador, Peru, Kazakhstan and Ukraine when the Project started. Chile had already designed its PRTR reporting system before the Project started.

93. Without determination of country decision makers to institutionalize the PRTRs within the responsible ministry's management, working processes and legal frameworks, PRTRs will not be used and the intended Impact of the Project will not be achieved. The **Intermediate State 1** (At least Chile officially implements a PRTR and starts reporting to SC using a PRTR in an integrated way) and **Intermediate State 2** (CA countries endorse the regional design and implementation plan on PRTRs) include a considerable degree of institutionalization of outputs and outcomes provided by the Project, including the assumed country ownership and commitment to Project results (A4, A7, A8 and A10). Without active commitment and Project ownership of national Project partners to endorse (and ultimately adopt) technical and legal documents in support of future PRTR implementation, Chile's (and other country's) PRTRs will not be used.²⁰

²⁰ In the case of Chile, the assumption: prospect of joining OECD is expected to be a strong motivating factor.

94. At the same time, it is expected that without such commitment countries will fail to integrate national PRTR reporting with reporting to the Stockholm Convention. Based on the Project document narrative and discussions with UNITAR staff, it is important to mention that the Project primarily focused for the main Project countries, except Chile, on the design and endorsement of PRTRs and less on the adoption of the needed technical and legal documents in support of PRTR implementation. In the case of Chile, adoption of technical and legal documents is expected to be essential for achieving official implementation of a PRTR in the national structure for chemicals management and the country's reporting to the Stockholm Convention.

95. With regard to the achievement of Intermediate State 1 and 2, the assumed stakeholder commitment and country ownership are the central requirements for successful endorsement and adoption of PRTRs as part of the national regulatory framework (A4, A7, A8 and A10). Key drivers that are expected to support the achievement of the Intermediate states highlight the importance of positive Project results (D1), well informed decision makers (D3), strong advocacy for the importance of PRTRs (D5) and the prospect of efficient SC POPs reporting (D6). All such drivers are expected to support changes needed for the achievement of Intermediate State 1 and 2.

4.2 Causal pathways from Intermediate states to Impact

96. In the long term, the ultimate goal of working with PRTRs as a management and reporting tool is to improve the protection of human health and the environment and achievement of the Project's intended **Impact1** (Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of public accessible PRTRs in 6 Project countries). Both the Stockholm and the Aarhus conventions mention the development of PRTRs not as a goal in itself, but as an effective and efficient tool to be used in reporting to the Stockholm Convention and to provide access to information and facilitate public participation in environmental decision making in line with the provisions of the Aarhus Convention.

97. Whether decision makers in Project countries are willing to commit themselves to the Project in connection with the above listed assumptions is beyond the direct control of key Project stakeholders. However, country ownership and governmental commitment to the Project objectives are of crucial importance for the achievement of the desired impact. Without the political will to make decisions in favour of endorsement for and adoption of PRTRs as part of the national regulatory framework, PRTRs will not be implemented in Project countries, PRTRs will not be used for reporting on POPs, and public participation and awareness on environmental matters will not be enhanced. Key Project stakeholders can facilitate governmental Project commitment and decision making in favour of PRTR implementation by making sure that the Project would be carried out to the highest possible standards including e.g. engagement with appropriate stakeholders, hiring of the best available experts and provision of efficient Project management.

98. Possible replication of experience and results from the Project in the 6 Central American countries as mentioned above in **Impact 2** would clearly demonstrate the sustainability of the initiative.

99. Table 5 below compares the Project document narrative and Results framework with the reconstructed TOC. Based on the Results framework and the planned activities from the original Project document, Figure 3 below presents the reconstructed TOC.

Table 5. Comparison of results between the Project document narrative and results frame versus the reconstructed TOC

Project Document		Reconstructed TOC		Justification for reconstruction
		Impact	<p>Impact 1: Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of public accessible PRTRs in 6 Project countries</p> <p>Impact 2: Experience and results from the PRTR project are replicated in the 6 CA countries</p>	<p>As it was not a requirement at Project design, the Project document does not contain a TOC</p> <p>The ultimate goal of working with PRTRs as a management and reporting tool is to improve the protection of human health and the environment</p> <p>Working with PRTRs strengthens the Aarhus Public Participation principles of access to information and public participation in environmental decision making</p>
Overall Development Objective	To meet participants countries' obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR.	Intermediate States (IS) Proposed by the evaluator based on the Results Framework	<p>IS 1: At least Chile officially implements a PRTR and starts reporting to SC using a PRTR in an integrated way</p> <p>IS 2: CA countries endorse the regional design and implementation plan on PRTRs</p>	<p>The intermediate states formulated here all include a considerable degree of institutionalization of outputs and outcomes provided by the Project, including country ownership and commitment to the Project results. Without institutionalization the PRTRs will not be used and Impact 1 will not be achieved</p> <p>Without endorsement and adoption of Project proposals, legal documents, reports, guidelines documents and public information institutionalization of meaningful use of PRTRs cannot be developed and improved access and accuracy of environmental data and enhanced PP on environmental matters cannot be achieved</p>
Overall Project Objective/Purpose	To protect human health and the environment from POPs			
Outcomes (in ProDoc results frame)	<p>Outcome 1: PRTR implemented and used for POPs monitoring and reporting system in Chile</p> <p>Outcome 2: POPs monitoring and</p>	Outcomes	<p>Outcome 1. PRTR implemented and used for POPs monitoring and reporting system in Chile</p> <p>Outcome 2. Designed POPs monitoring and</p>	

Project Document		Reconstructed TOC		Justification for reconstruction
	<p>reporting system designed in Ecuador, Peru, Thailand, Cambodia, Kazakhstan and Ukraine</p> <p>Outcome 3: Regional reporting system for the SC in Central American countries developed. Countries involved Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua</p> <p>Outcome 4: Good practices and replicable elements on POPs monitoring and reporting identified</p>		<p>reporting system endorsed in Cambodia, Ecuador, Peru, Kazakhstan and Ukraine</p> <p>Outcome 3. Designed Regional reporting system for the SC in Central American countries endorsed. Countries involved Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua</p> <p>Outcome 4. Good practices and replicable elements on POPs monitoring and reporting identified and approved by national counterparts</p>	<p>Project management, monitoring & evaluation</p> <p>Thailand withdrew from the Project and is omitted in the Reconstructed TOC and in the TE</p> <p>In the reconstructed Outcomes 2, 3, and 4 the word “endorsed” was added to properly reflect the intended uptake of project outputs in the outcomes in line with the narrative of the Project document</p>
		Direct Outcomes	<p>Direct Outcome 1. PRTR trainings and guidelines are developed and stakeholders are actively using them</p> <p>Direct Outcome 2. Web based PRTR portal is used by stakeholders from participating countries</p>	<p>Direct outcomes in the reconstructed TOC have been developed based on the Project document’s results framework</p>
Outputs	<p>Output 1.1 Project management and supervision</p> <p>Output 2.1 Draft PRTR legislation; Single window implementation plan; Draft norm on liquid industrial waste</p> <p>Output 2.2 Report on reviewed classification system; Reporting from single window uploaded and working; Draft first PRTR report</p> <p>Output 2.3 Public Outreach Strategy plan; Reports on training programme for stakeholders; PRTR website; First final PRTR report</p>	Outputs	<p>Output 2.1.1 Draft PRTR legislation is developed</p> <p>Output 2.1.2 Single window implementation plan is established</p> <p>Output 2.1.3 Draft norm on liquid industrial waste is produced</p> <p>Output 2.2.1 Report on reviewed classification system is developed</p> <p>Output 2.2.2 Reporting from single window is uploaded and working</p> <p>Output 2.2.3 Draft first PRTR report is developed</p>	<p>The following outputs originally listed in the ProDoc are omitted as output as they are not necessarily part of the project’s TOC:</p> <p>1.1. Project management and supervision,</p> <p>4.1 Agreements between EA and Regional South American Partners in place; Progress, monitoring and evaluation reporting and procedures agreed with participating countries</p> <p>6.1. Monitoring and evaluation programme developed</p> <p>6.2 External evaluation report</p> <p>5.3 Three meeting reports on lessons learned and good</p>

Project Document		Reconstructed TOC		Justification for reconstruction
	<p>Output 3.1 Report on workshop on PRTR objectives</p> <p>Output 3.2 Feasibility study in every participating country</p> <p>Output 3.3 Report on designed PRTR</p> <p>Output 3.4 Pilot test report and recommendations</p> <p>Output 3.5 National Proposal report and implementation plan</p> <p>Output 3.6 National proposal and implementation plan endorsed</p> <p>Output 4.1 Agreements between EA and Regional South American Partners in place; Progress, monitoring and evaluation reporting and procedures agreed with participating countries</p> <p>Output 4.2 Report on regional assessment on PRTR development</p> <p>Output 4.3 Report on pilots</p> <p>Output 5.1 Guidelines developed or updates on PRTRs for POPs</p> <p>Output 5.2 Final Report on lessons learned and good practices report</p> <p>Output 5.3 Three meeting reports on lessons learned and good practices</p> <p>Output 6.1 Monitoring and evaluation programme developed</p> <p>Output 6.2 External evaluation report</p>		<p>Output 2.3.1 Public Outreach Strategy plan is developed</p> <p>Output 2.3.2 Reports on training programme for stakeholders are developed</p> <p>Output 2.3.3 PRTR website is online</p> <p>Output 2.3.4 First final PRTR report is developed</p> <p>Output 3.1 Report on workshop on PRTR objectives is developed</p> <p>Output 3.2 Feasibility study in every participating country is carried out</p> <p>Output 3.3 Report on designed PRTR is developed</p> <p>Output 3.4 Pilot test report and recommendations are developed</p> <p>Output 3.5 National Proposal report and implementation plan are developed</p> <p>Output 3.6 National proposal and implementation plan are endorsed</p> <p>Output 4.2 Report on regional assessment on PRTR development is developed</p> <p>Output 4.3 Report on pilots is developed</p> <p>Output 5.1 Guidelines or updates on PRTRs for POPs are developed</p> <p>Output 5.2 Final Report on lessons learned and good practices is developed</p>	<p>practices (5.2 is the actual output)</p>

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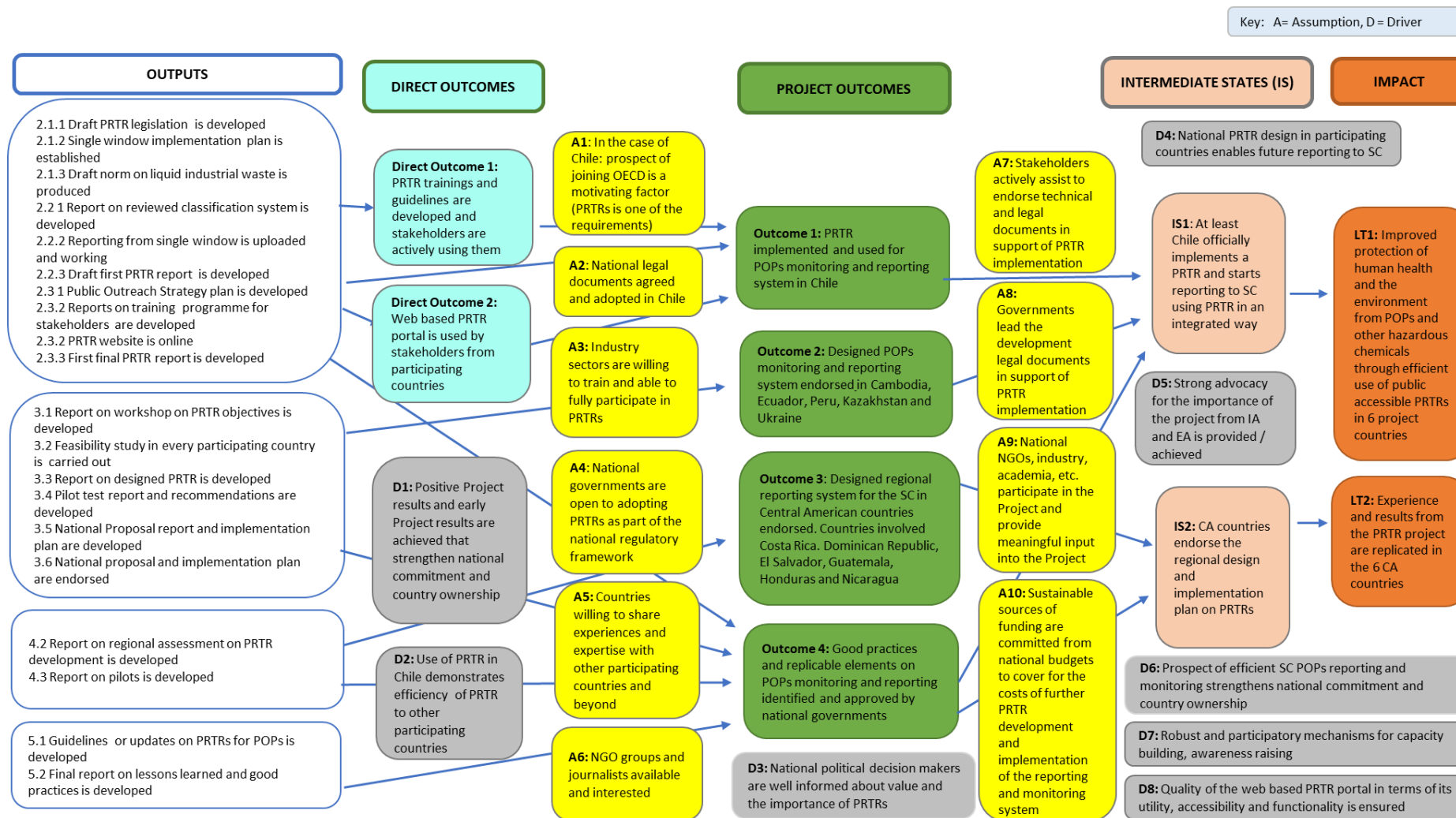


Figure 3. Reconstructed Theory of Change

Component 1 (Project management and supervision) and **Component 6** (Monitoring and evaluation) are not represented as they are not relevant for the Results logic and TOC

5. Evaluation findings

100. As this Terminal Evaluation is carried out eight years after the Project was finalized, the evaluation findings and especially the evaluation ratings given below are based upon limited information. Many of the involved Project stakeholders could not be reached for the evaluation interviews and the survey, as they moved on to different jobs or retired. Some of the Project documents were missing. These special circumstances make it even more difficult than in a normal evaluation to provide ratings for the different evaluation criteria and answer the specific evaluation questions, as set out in the TOR for the evaluation. Therefore, the Evaluator would like to stress that not for all aspects of the Project ratings can be given. It is also not possible to assign an overall rating for the quality of Project implementation. The ratings that are given in the report below, are provided with caution and to the best available knowledge but include a certain level of uncertainty.

5.1 Strategic relevance

5.1.1 Alignment with MTS and POW

101. When the Project was developed, UNEP did not have medium-term strategies and POWs yet. However, the UNEP Annual Report 2007 already announces the existence of a draft version of UNEP's Medium-Term Strategy for 2010–2013, in which under the sub-programme Harmful Substances and Hazardous Waste, relevant Multilateral Environmental Agreements are highlighted, and the strategic aim is to assist countries "in increasing their capacities for sound management of chemicals and hazardous waste, including the collection of relevant data and information."

Sub-rating for Alignment with MTS and POW – HIGHLY SATISFACTORY (HS)

5.1.2 Alignment to UNEP / GEF Strategic policies

102. As UNEP is the main driving force in the UN system for activities related to the sound management of chemicals, the Project is well aligned with UNEP strategy to provide technical support to the Parties of the Stockholm Convention on Persistent Organic Pollutants via UNEP Chemicals.

103. The Project is well aligned with UNEP's Bali Strategic Plan for Technology Support and Capacity building and amongst others foresees to implement Project activities via South-South cooperation.²¹ The Bali Strategic Plan for Technology Support and Capacity Building is an inter-governmentally agreed framework for strengthening the capacity of governments in developing countries and countries with economies in transition to consistently address their needs, priorities and obligations in the field of the environment. The project fits well within the Bali Strategic Plan's thematic areas (vii) Chemicals, (viii) Waste management, (x) Health and environment, and cross-cutting issues (ix) Access to scientific and technological information,

²¹ <http://62.160.8.20/bsp/staticpages/mandate.aspx>

(x) Facilitating access to and support for environmentally sound technologies and corresponding know-how, and; (xi) Education and awareness raising. The above-mentioned South-South Cooperation is a cross-cutting mechanism intended to enhance UNEP's ability to deliver environmental capacity building and technology-support activities in developing countries and regions of the South. The implementation of the South-South Cooperation initiative is carried out as part of the Bali Strategic Plan for Technology Support and Capacity Building.

104. The Project is also in line with the GEFs Persistent Organic Pollutants (POPs) focal area strategy and strategic programming for GEF-4 (2007 – 2010), approved by the GEF Council in September 2007. The Project adheres closely to the GEF Focal Area CHEM 1: Phase out POPs and reduce POPs releases, and CHEM 3: Pilot sound chemicals management and mercury reduction.

105. The GEF's goal in the POPs focal area of GEF 4 was described as the goal to protect human health and the environment by assisting countries to reduce and eliminate production, use, and releases of POPs, and consequently contribute generally to capacity development for the sound management of chemicals. This goal was programmed to be met through:

- a) Strengthening capacities for National Implementation Plans (NIPs) implementation, including assisting those countries that lag farthest behind to establish basic, foundational capacities for sound management of chemicals
- b) Partnering in investments needed for NIP implementation to achieve impacts in POPs reduction and elimination
- c) Partnering in the demonstration of feasible, innovative technologies and best practices for POPs reduction and substitution

Sub-rating for Alignment to UNEP / GEF Strategic policies – HIGHLY SATISFACTORY (HS)

5.1.3 Relevance to regional, sub-regional and national environmental priorities

106. All the participating countries are signatories to the Stockholm Convention and mentioned efficient ways to improve compliance with their reporting obligations to the convention in their National Implementations Plans (NIP) and other national strategic documents as a priority. At design, the Stockholm Convention Secretariat was developing a clearinghouse mechanism to facilitate efficient reporting on progress made in the field of POPs reduction.

107. The Project actively coordinated its activities with the Working Group of the Parties to the Aarhus Convention on PRTRs, Task Force on Electronic Information Tools and other relevant for a within the UN Economic Commission for Europe (UNECE).

108. In Chile, previous PRTR design activities have been carried out with support of Environment Canada (2002 – 2003) and of US-EPA in the framework of the USA/Chile Free Trade Agreement (2003 – 2005)

109. Ukraine hosted the fifth Ministerial Conference "Environment for Europe" which concluded a Protocol on Pollutant Release and Transfer Registers to the UNECE Aarhus Convention. Ukraine was one of the signatories to the Protocol.

110. In response to growing chemicals pollution in Central America, the Central American Regional Action Plan 2005 – 2010 was developed. The action plan highlights the need to organize pollution control as a regional strategic objective that should be managed through regionally harmonized systems. The Central American Council of Environmental Ministers

asked the Central American Commission on Environment and Development (CCAD) Executive Secretariat to coordinate the development of a regional approach for PRTR implementation in Central America with UNITAR.

111. At design Cambodia and Kazakhstan were engaged in Strategic Approach to International Chemicals Management (SAICM) enabling activities that contribute towards assessment of legal, administrative, technical capacities and facilitating the access to environmental information on chemicals management, including POPs, all of which are important ingredients for PRTR design. Other relevance for the Project in Kazakhstan at the time was a TACIS Project on Strengthening Public Participation and Civil Society Support to Implementation of the Aarhus Convention in Central Asia, and in particular the component related to PRTRs. The TACIS project included an assessment of reporting of emissions and discharges in Almaty, identifying gaps with PRTR requirements in order to develop recommendations for introducing a national PRTR system.

Sub-rating Relevance to regional, sub-regional and national environmental priorities – HIGHLY SATISFACTORY (HS)

5.1.4 Complementarity with existing Interventions

112. As shown by the large number of international organizations who prioritize PRTR development in the involved Project countries and co-financed the Project initiative, the Project was well designed to avoid a duplication of efforts, create synergies and be complementary with existing interventions.

Sub-rating Complementary with existing interventions – HIGHLY SATISFACTORY (HS)

Rating Strategic Relevance – HIGHLY SATISFACTORY (HS)

5.2 Quality of the Project design

113. Overall, the Project is well elaborated. The Project has a results framework that contributes towards the Project objective.²² The outputs and outcomes, however, are not clearly defined throughout the document. Component 1 establishes the managerial regime for Project management and supervision. Component 2 is focusing on kickstarting the regional component in Chile, including the required improvements in the legal and regulatory frameworks and building capacity to implement PRTRs as a national SC reporting system. Component 3 is reserved for the design of PRTR systems for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine. Component 4 involves the assessment of regional feasibility of PRTR reporting systems for POPs and other chemicals in Central America. Component 5 identifies good practices, lessons learned and replicable elements in POPs monitoring and reporting. Component 6 establishes the Project's monitoring and evaluation programme. The Project design shows the following strengths and weaknesses:

5.2.1 Strengths

- The Project is well embedded in national and international initiatives on the Stockholm Convention;
- Linkages to related initiatives and projects are taken into account;
- The baseline situation regarding reporting to the SC in partner countries is described;
- Planned Project activities are described in detail;
- As the SC requires parties to report regularly on POPs management and parties have indicated that they have encountered difficulties in gathering and centralizing this information at the national level, this Project is highly relevant;
- The Project document clearly describes the management structure of the Project.

5.2.2 Weaknesses

- The Project document does not provide a stakeholder analysis. The document merely states that stakeholder participation and results dissemination among wider stakeholder groups is foreseen;
- National Project partners are not selected. The Project document states that the Project will work with "agencies responsible for environmental management" as National Project partners;
- Sustainable development is mentioned in different sections throughout the Project document, but not identified and dealt with in a systematic way;
- The Aarhus Convention is mentioned at different places throughout the Project document, however, the importance of public participation and the Aarhus Convention when building capacities to work with PRTRs could have had a more central role in the Project design;
- The Project document does not make a clear distinction between outputs and outcomes;
- The Project document does not plan any activities involving national decision makers to advocate the importance for acceptance of PRTRs and required legislation at the national level (institutionalization);

²² The results framework provides a slightly different Project objective and development objective than originally provided in Project document (Prodoc) text. For the evaluation report it is assumed that the objectives from the main Prodoc text are the correct objectives.

- The Project plans to develop a regional reporting system for the SC in 6 Central American countries that do not have national PRTRs. Although a series of national and regional developments are documented in the Project document in favour of working with PRTRs, it is not entirely clear how the Project would develop a regional reporting system when the development and implementation of relevant national PRTRs is incomplete.
- With the Central American component added to the Project, a large number of 13 countries is involved. There is a risk that the Project will lack the required focus during implementation.

114. The quality of the overall Project design is assessed following the Evaluation Office of UNEP's template 'Assessment of the project design quality', with an overall rating of Satisfactory. The results of the assessment are presented below in Table 6.

Table 6. Calculating the overall Project design quality score

	SECTION	RATING (1-6)	WEIGHTING	TOTAL (Rating x Weighting/100)
A	Nature of External Context	6	4	0.24
B	Project Preparation	5	12	0.6
C	Strategic Relevance	6	8	0.48
D	Intended Results and Causality	4	16	0.64
E	Logical Framework and Monitoring	4	8	0.32
F	Governance and Supervision Arrangements	2	4	0.08
G	Partnerships	5	8	0.4
H	Learning, Communication and Outreach	5	4	0.2
I	Financial Planning / Budgeting	5	4	0.2
J	Efficiency	3	8	0.24
K	Risk identification and Social Safeguards	2	8	0.16
L	Sustainability / Replication and Catalytic Effects	5	12	0.6
M	Identified Project Design Weaknesses/Gaps	5	4	0.2
			TOTAL SCORE (Sum Totals)	4.36
				Satisfactory

1 (Highly Unsatisfactory)	< 1.83
2 (Unsatisfactory)	>= 1.83 < 2.66
3 (Moderately Unsatisfactory)	>=2.66 <3.5
4 (Moderately Satisfactory)	>=3.5 <=4.33
5 (Satisfactory)	>4.33 <= 5.16
6 (Highly Satisfactory)	> 5.16

115. Below a textual summary of the quality of the project design per section is provided:

116. **Nature of the external context:** Highly Favourable. The Project document does not identify any unusually challenging operational factors that are likely to negatively affect Project performance. There is no likelihood of conflict, natural disaster or turbulent change of the national government in Project countries.

117. **Project Preparation:** Satisfactory. The Project document includes a problem analysis in the Project rationale for the GEF intervention that is rather short. The Project document provides a detailed situation analysis for all participating countries. A robust stakeholder analysis, however, is missing. Sustainable development is mentioned in different sections throughout the Project document, but not identified and dealt with systematically. Gender concerns and gender policies are not mentioned throughout the Project document, as it was not a priority at the time when the Project document was developed. Indigenous people are not mentioned throughout the Project document, as it was also not a priority at the time.

118. **Strategic relevance:** Highly Satisfactory. The Project document is not clearly aligned with UNEPs MTS and POW as describing such an alignment in project documents was not the practice at the time when the Project document was developed. The Project document is clearly aligned with the Stockholm Convention and the Aarhus Convention is mentioned at different places throughout the Project document. In the sections 'Linkages to related activities', and 'Country situation', the Project's alignment to regional, sub-regional and national environmental priorities is described. The same holds true for complementarity with other interventions.

119. **Intended Results and Causality:** Moderately Satisfactory. The Project document does not provide a Theory of Change as this was not the praxis at the time when the Project document was developed. The causal logic is however described in the results framework of the Project, but rather brief. Whereas Assumptions are clearly described, Drivers have not been identified. The roles of the different stakeholders of participating countries are clearly defined in section 4 'Implementation Arrangements, Monitoring and Evaluation', but not for each causal pathway. Although the outcomes are rather general and not distinguished from outputs, they seem realistic.

120. **Logical Framework and Monitoring:** Moderately Satisfactory. In Appendix 3 'Results Framework' a detailed component overview with SMART indicators of achievement is provided (not specified as outcomes or outputs but including detailed means of verification). The results framework only provides baseline information for 2 components. In Section 4.2 'Monitoring and Evaluation' the planned monitoring and evaluation plan is described. The section contains tables with deliverables, timing, division of responsibilities, indicators for evaluation of effective operation of the Project, delivery of outputs, and a monitoring and evaluation budget. The Workplan in Appendix 2 is realistic, however, very concise and no explanations have been provided.

121. **Governance and Supervision Arrangements:** Unsatisfactory. Governance, roles and responsibilities are clearly and described in detail. However, the national partners of the Executing Agency were not yet selected at design. This could lead to start-up / implementation delays and/or failure to incorporate issues such as capacity needs for example into the project design and budget.

122. **Partnerships:** Satisfactory. Capacities of partner countries have been described rather generally. The role of UNCE as an external partner is clearly described. National and

international external consultants are mentioned throughout the Project, but not clearly defined separately.

123. **Learning, Communication and Outreach:** Satisfactory. The Project includes a separate component on knowledge management, lessons learned and global exchange of information.

124. **Financial Planning / Budgeting:** Satisfactory. A detailed budget has been provided including international and national co-financing commitments.

125. **Efficiency:** Moderately Unsatisfactory. On paper the Project has been appropriately designed in relation to the duration and/or levels of secured funding although one could argue that two years for a global Project with 13 participating countries is rather short. Linkages to related initiatives, projects and Multilateral Environmental Agreements are taken into account.

126. **Risk identification and Social Safeguards:** Unsatisfactory. Possible risks and proposed mitigation measures are properly identified. They have, however, not been included in the Results framework. Potentially negative environmental, economic and social impacts of the project have not been identified. Identification of such impacts was not required when the Project was developed.

127. **Sustainability / Replication and Catalytic Effects:** Satisfactory. Sustainability aspects of the Project initiative are mentioned throughout the Project document, although the issue is not dealt with in an integrated way in the design of the Project. Replication and Catalytic Effects of the Project are dealt with in a more systematic way in the separate component 5 'Identification of Good practices and Sharing Lessons learned in POPs monitoring and reporting'.

128. **Identified Project Design Weaknesses/Gaps:** As mentioned above, the fact that national partners were not fully selected implies a weakness in the Project design. Although it was not required at the time for the development of GEF projects, it is important to mention that that no potentially negative environmental, economic and social impacts of the Project were identified and no gender equity and human rights considerations were included in the Project document.

<i>Rating Quality of Project design – SATISFACTORY</i>
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5.3 Nature of External Context

129. The nature of the external context is rated as Moderately Favourable to the project, although it can be said that the situation in three countries was not completely stable during the project's lifespan. In Thailand, serious political unrest developed starting from 2008, based on a conflict between the People's Alliance for Democracy (PAD) and the People's Power Party (PPP). Large demonstrations with up to 100,000 protestors against the government took place in Bangkok in 2010. It is assumed that the above-mentioned unrest did not create favourable circumstances to solve various administrative barriers that occurred and efficiently implement the Project in Thailand. In the PIR 2009 / 2010 the UNEP Task Manager reported that "political problems [in Thailand] caused long delays in signing the MoU." The external risk in the Project context for Political stability was rated as a medium risk. In Ukraine in the build-up to the Maidan protests of 2013-2014, there was also a lot of political unrest that is assumed to have influenced the country commitment and Project ownership.

Initially Ukraine, for instance, proposed to host the last Steering Group Meeting of the Project, but due to the political unrest and personnel changes at the Ministry of Environment, the National Project Team needed to withdraw its proposal. Finally, it is important to mention the earthquake that struck Chile on 27 February 2010 and seriously slowed down the Project's progress in the country. The external risk in the Project context for Environmental conditions was rated as a medium risk in the PIR of 2009 / 2010.

Rating for Nature of External Context – MODERATELY FAVOURABLE (MF)

5.4 Effectiveness

5.4.1 Delivery of outputs

130. Project activities were well-structured around the UNITAR/ IOMC Guidance Series for Implementing a National PRTR design Project, developed in 1997. The series includes a core guidance document: Implementing a National PRTR Design Project and four detailed supplements:

- Preparing a National PRTR Infrastructure Assessment;
- Designing Key Features of a National PRTR System;
- Implementing a PRTR Reporting Trial; and
- Structuring a National PRTR Proposal.

In 1998 three additional supporting documents were added to the UNITAR guidance series:

- Addressing Industry Concerns related to PRTRs
- Guidance for Facilities on PRTR Data Estimation and Reporting and
- Guidance on Estimating Non-point Source Emissions

131. UNITAR's approach has been successfully used internationally in e.g. Cuba, Argentina, Egypt, the Czech Republic, the Slovak Republic and South Africa. The core document and the 4 supplements are available in English, Spanish and Russian at <http://prtr.unitar.org/site/document/1219>

132. According to progress reports and information provided by UNITAR, UNEP and the Country Coordinators interviewed, the Project has successfully delivered the activities and outputs planned in the Project document. The evaluation of the quality and completeness of the Project outputs, however, cannot be fully carried out since, eight years after the Project ended some documents are missing.

The following documents were **not** available for the evaluation:

- Signed PCA
- Attachments to Quarterly progress reports including consultancy reports such as
 - Guidance on POPs reporting,
 - Guidance on legal adaptation requirements
 - Development of online reporting system report
- Quarterly Progress report Q3 – 2012
- Quarterly Financial report Q2 – 2012

- Quarterly Financial report Q3 – 2012
- PIR 01-01-2009 / 30-06-2009
- PIR 01-07-2011 / 30-06-2012
- PIR 01-07-2012 / 30-09-2012
- Country progress reports to UNITAR
- Country MoUs
- CCAD MoU
- CCAD reporting to UNITAR
- ToRs for activities and experts
- Mission reports from experts
- Consultancy reports from experts (See attachments to Q reports mentioned above)
- Budget revisions requests / agreements
- Project extension requests / agreements
- Independent Financial Audit report on the spent Project finances

133. Consequently, the evaluation of delivery of outputs provided below is based on an incomplete collection of Project data.²³

Component 2 Outputs: PRTR implementation and use of POPs reporting and monitoring in Chile

134. The TOC defined the following outputs for Component 2. PRTR implemented and used for:

- **Output 2.1.1** Draft PRTR legislation is developed
- **Output 2.1.2** Single window implementation plan is established
- **Output 2.1.3** Draft norm on liquid industrial waste is produced
- **Output 2.2.1** Report on reviewed classification system is developed
- **Output 2.2.2** Reporting from single window is uploaded and working
- **Output 2.2.3** Draft first PRTR report is developed
- **Output 2.3.1** Public Outreach Strategy plan is developed
- **Output 2.3.2** Reports on training programme for stakeholders are developed
- **Output 2.3.3** PRTR website is online
- **Output 2.3.4** First final PRTR report is developed

Output 2.1.1 Draft PRTR legislation is developed

135. The Project planned to develop a strategy for PRTR implementation and institutionalization including the required adoption of the national regulatory framework. The existing PRTR in Chile operated through voluntary cooperative agreements among

²³ As component 1 is about Project management and supervision and component 6 about monitoring and evaluation they are not relevant for the TOC

governmental institutions to share data on pollutant releases and transfers. With support of the Project, draft (mandatory) regulation has been developed, that was approved by the National Council of Ministers for Sustainability on 22 July 2012 and approved by the President on 02-01-2013. Reporting on POPs using the PRTR started in Chile around the same time. (See also *Output 2.3.4 First final PRTR report is developed*)

Output 2.1.2 Single window implementation plan is established

136. Chile designed and implemented a single window reporting system that integrates reporting schemes of eight governmental authorities based on the detailed single window implementation plan developed within the framework of the Project. As a result of the Project, harmonized data on releases to air, water and land are reported to the eight authorities via the only national reporting window. The single window reporting system is the mandatory national way of reporting under the above mentioned PRTR regulation.

Output 2.1.3 Draft norm on liquid industrial waste is produced

137. In addition to the existing reporting schemes within the single window, Chile included in 2012 the reporting liquid waste to the sea in 2012.

Output 2.2 1 Report on reviewed classification system is developed

138. According to the Project's Final Report, within the PRTR system in Chile all industrial facilities are classified according to the International Standard Industrial Classification system (ISIC). Chemicals and industrial facilities are identified via unique codes. The report that assessed the baseline situation at Project start proposes to harmonize the classification system. The implementation plan of that harmonization is not provided as an attachment to the Final Report.

Output 2.2.2 Reporting from single window is uploaded and working

139. The single window system is fully operational in Chile as a result of the Project intervention. According to the Final Report all industrial facilities (about 3000 facilities) report to Chile's eight different monitoring authorities through the single window online system, that Stakeholders evaluate as a major achievement of the Project.

Output 2.2.3 Draft first PRTR report is developed

140. As mentioned under *output 2.1.2*, Chile designed and implemented a single window reporting system that integrates reporting schemes of eight governmental authorities. PRTR reports that are published at the following Chilean web portal: <https://retc.mma.gob.cl/>

Output 2.3 1 Public Outreach Strategy plan is developed

141. A public outreach strategy was reportedly developed as part of the national strategy for PRTR implementation and institutionalization. The strategy was not provided with the output documents annexed to the Final Report.

Output 2.3.2 Reports on training programme for stakeholders are developed

142. The Ministry of Environment developed separate training programmes for representatives from government, industry, NGO and media sectors to explain why working with PRTRs is beneficial for each sector. Training workshops were delivered in 6 regions of Chile in 2010. Training reports annexed to the final Project report document those trainings in detail and provide an overview of the training programmes.

Output 2.3.3 PRTR website is online

143. A special section of the Ministry of Environment in Chile website was dedicated to Chile's PRTR system. The link provided in the Project's final report does not make the required connection anymore and directly takes the web page visitor to the start page of the Ministry's website. Chile's PRTR can now be found at <https://retc.mma.gob.cl/>

Output 2.3.4 First final PRTR report is developed

144. As mentioned under *output 2.1.2 and 2.2.3*, Chile designed and implemented a single window reporting system that integrates reporting schemes of eight governmental authorities. PRTR reporting data are published at <https://retc.mma.gob.cl/>

145. In parallel to the Project, Chile worked with the Stockholm Convention Secretariat to establish a National Focal Point office. This office planned during the Project to report on Chile's National Releases to the Stockholm Convention's Electronic Reporting System directly from the PRTR single window. As PRTRs have thresholds of reporting (e.g. facilities with 10 employees or more report to the PRTR), a PRTR report provides a partial picture of releases. The Stockholm Convention, however, requests countries to report on all emissions. As a consequence, the SC office in Chile collects the PRTR data and adds the additional information on releases that are not included in the PRTR to generate Chile's national report to the Stockholm Convention. Based on the evaluation interviews it is understood that in practice Chile is reporting its national releases to the Stockholm Convention's, only not directly from the PRTR to the SC Electronic Reporting System, as additional data need to be included.

Component 3 Outputs: Design a PRTR system for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru and Ukraine

146. The TOC defined the following outputs for Component 3:

- **Output 3.1** Report on workshop on PRTR objectives is developed
- **Output 3.2** Feasibility study in every participating country is carried out
- **Output 3.3** Report on designed PRTR is developed
- **Output 3.4** Pilot test report and recommendations are developed
- **Output 3.5** National proposal report and implementation plan are developed
- **Output 3.6** National proposal and implementation plan are endorsed

Output 3.1 Report on workshop on PRTR objectives is developed

147. National PRTR inception workshops were organized in Cambodia (August 2009), Ecuador (September 2010), Kazakhstan (October, year not mentioned in the report), Peru (November 2009), Ukraine (November 2009). At the workshops national stakeholders of the Project countries identified their PRTR objectives and planned Project activities. Amongst others it was highlighted in different country workshop reports that for successful Project implementation there was a need to: raise awareness among governmental stakeholders on the value of PRTRs, build institutional capacities and train the needed experts to design the PRTRs, involve all national stakeholders and widely disclose the Project results and adapt national legislation to integrate a PRTR in the national legal frameworks and make PRTR reporting to the government obligatory for industry sectors.

Output 3.2 Feasibility study in every participating country is carried out

148. Planned feasibility studies were carried out in the form of an assessment of the existing infrastructure relevant to a national PRTR in Cambodia, Ecuador, Kazakhstan, Peru and Ukraine. The reports give an overview of the strengths and weaknesses in national chemicals management. Key characteristics described in the reports include national trends in the production and use of chemicals, hazardous waste management practice, polluting sectors and pollution hotspots (including POPs, ozone depleting substances and mercury hotspots), awareness raising and public access to information, policy and regulatory frameworks, government control and regulation, government capacities and responsibilities relating to chemicals and waste management, relevant international conventions, national governmental programmes and activities from the NGO sector. Whereas the reports of Cambodia, Ecuador and Peru are providing quite a detailed overview of the baseline situation in their infrastructure assessments, the reports of Kazakhstan and Ukraine lack that level of thoroughness and detail.

Output 3.3 Report on designed PRTR is developed

149. All countries designed the key features of their national PRTR, based on the information provided in the national infrastructure assessments. National reports on designed PRTRs were discussed in national technical meetings and the proposed key features of the designed national PRTRs were further developed and agreed by stakeholders during national Project meetings. The national reports on the key features of the PRTRs do not provide an equal level of detail.

Output 3.4 Pilot test report and recommendations are developed

150. According to the Final Project Report, Pilot trials were carried out in Cambodia, Ecuador, Kazakhstan, Peru and Ukraine. The countries selected a limited number of (at least 8) facilities to report on a limited number of chemical substances for the pilot trials. Based on the Pilot experience, recommendations were formulated for further PRTR implementation. Important examples of these recommendations from the different countries include e.g. "PRTR reporting is a new concept and there is an urgent need for further capacity building on the subject of PRTR reporting and chemicals management" (Cambodia). "PRTR reporting is time consuming, and industrial facilities are not eager to assign this work to one of their staff members as long as this is not mandatory in the required reporting to governmental agencies" (Kazakhstan). The Ukrainian report describes several aspects of existing environmental reporting in the country, there is, however, no reporting on a Ukrainian pilot trial.

Output 3.5 National Proposal report and implementation plan are developed

151. As stated in the Final Project report, National PRTR Executive Proposals have been developed for Cambodia, Ecuador, Kazakhstan, Peru and Ukraine. In the reports the countries systematically describe international experience with PRTRs, expected benefits in terms of efficiency and improved monitoring and reporting quality both to national authorities and secretariats of Multilateral Environmental Agreements, enhanced public participation, targeted national PRTR goals, including a selection of substances to be reported, required adaptation of the legislative frameworks and the required national budget. Not all of the reports provide the same level of detail in their proposals for PRTR implementation.

Output 3.6 National proposal and implementation plan are endorsed

152. All National Proposals were reportedly endorsed by decision makers in the environmental ministries from Cambodia, Ecuador, Kazakhstan, Peru and Ukraine. This is confirmed by the country reports on national final workshops in the main Project countries, mentioned above. Decision makers from the Project countries also participated in the last Steering Group Meeting of the Project on 29 and 30 August 2012 in Geneva. To express the

value of the Project for the different countries, Project partners confirmed at the last Steering Group Meeting in separate “high level statements” that their countries endorsed the PRTR National Proposals and Implementation Plans, intended to adopt the required technical and legal documents, and expressed their interest to continue cooperation with UNEP and UNITAR on the issue of PRTRs in the framework of the Phase II project. A summary of these statements was appended to the Final Project Report.

Component 4 Outputs: Regional assessment of reporting systems for POPs and other chemicals in Central America

153. The TOC defined the following outputs for Component 4:

- **Output 4.2** Report on regional assessment on PRTR development is developed
- **Output 4.3** Report on pilots (in two countries) is developed

Output 4.2 Report on regional assessment on PRTR development is developed

154. The Central American regional assessment was reportedly carried out in the framework of an international cooperation initiative between the Central American Commission for Environment and Development (CCAD) and USAID. As decided by the Council of Ministries of Environment of Central America during its 46th meeting in June 2010, CCAD is in charge of the regional coordination of PRTR development. The output report provided for the evaluation “*Conceptual Proposal for a PRTR in Central America and the Dominican Republic*” is actually not assessing the feasibility of a regional PRTR but proposing a concept of how such a regional PRTR could work. It is understood that the concept was based on infrastructure assessments for national PRTR implementation in the involved countries carried out earlier with the support of USAID and US-EPA. One of the problems with the proposed regional PRTR reporting system is directly highlighted in the document. No PRTRs had been implemented in the involved countries at the time. The conceptual proposal proposes to define the scope (in e.g. sectors, number of chemicals, point sources, diffuse sources and reporting thresholds, types of hazardous wastes) of the regional PRTR and use them in turn to serve as a guide for future development of PRTRs in the individual countries. Assuming that the regional political push to implement PRTRs in line with the example of the regional PRTR is strong enough, it is expected that the proposed approach could work.

155. According to the Final Project Report, the key features of a regional PRTR were endorsed by national PRTR coordinators in CA Project countries. In addition to the original Project document partnering countries, the second 2011 quarterly progress report to UNEP mentions technical meetings in Belize and Panama, where PRTR activities have been financed from other (US-EPA) funding sources.

156. Three regional meetings have been reportedly organized to discuss PRTR development and plan for coordinated actions at the national level towards implementation of PRTR reporting initiatives. The Final Report provides a meeting report of one of these meetings held in Costa Rica on 14 June 2011. Representatives of different South American countries presented their experiences with the development of national PRTR reporting systems. The Final Report provides also a technical proposal from an IT consulting company on how this company proposes to design a regional PRTR reporting and monitoring system and a technical and financial proposal to develop the IT infrastructure for a PRTR in Belize. Next to that, executive proposals for Guatemala and Honduras are annexed to the Final Report. Unfortunately, email and telephone requests by the evaluator to obtain information

from CCAD on further results of the Project initiative and recent PRTR developments in the region have not been successful.

Output 4.3 Report on pilots (in two countries) is developed

157. According to the Final Report, PRTRs are fully designed in Belize, Costa Rica, Guatemala and Honduras. What happened in the Dominican Republic, El Salvador and Nicaragua is unclear. Reports on the pilots and national Executive Proposals (except for the two above mentioned reports from Guatemala and Honduras) are missing. The evaluator unfortunately could not obtain any further information from CCAD on the final results of the pilots.

Component 5 Outputs: Identification of good practices and lessons learned in POPs monitoring and reporting

158. The TOC defined the following outputs for Component 5:

- **Output 5.1** Guidelines or updates on PRTRs for POPs are developed
- **Output 5.2** Final Report on lessons learned and good practices is developed

Output 5.1 Guidelines or updates on PRTRs for POPs are developed

159. The Project has reportedly developed new guidance on how to report POPs using PRTR reporting and monitoring systems according to Stockholm Convention requirements. Unfortunately, this guidance document was not attached to the Final Report. In addition, UNITAR has updated the at the beginning of this section mentioned UNITAR/ IOMC Guidance Series for Implementing a National PRTR design project. Regarding the POPs guidance it is important to mention that in the lessons learned report described directly hereafter, countries highlighted the fact that the guidance was not available in a timely manner when the work on the national PRTR design was carried out. As emission factors for POPs are only standardized for dioxins and furans, Project countries expressed the need for more detailed guidance on adapting PRTR reported data to the reporting requirements of MEAs.

Output 5.2 Final Report on lessons learned and good practices is developed

160. A detailed lessons learned report was developed in English, Russian and Spanish based on the discussions held with partner countries at sub-regional meetings and during the final steering Group Meeting that was held on 29 and 30 August 2012 in Geneva²⁴. Subjects of the report include e.g. Project design and implementation, PRTR national working groups, cooperation with stakeholders, country Project ownership, legislation, POPs reporting, data collection, release estimation, reporting formats and information dissemination.

161. Project partners highlighted amongst others, that the planned two years of Project duration was in practice too short to implement all activities efficiently, frequent changes of the UNITAR coordinator did not enable effective Project implementation, and that there was at times a shortage of available technical experts (with the required language skills) in specific areas of PRTR development. UNITAR's well-structured step-by-step approach in PRTR development was highly appreciated by Project partners, although more timely available guidance was missed on the issue of POPs reporting to the SC. The multi stakeholder National

²⁴ The Russian and Spanish versions were not attached the Final Project Report.

Coordination Teams were seen as successful especially when they were built using existing chemicals management structures e.g. SAICM, POPs focal points. The industrial sector and especially the industrial associations were identified as key partners that needed training and transparency about future implementation and insights into how PRTRs could be beneficial for the involved companies. Involvement of NGOs was well appreciated but not always easy, and special training on the subject of PRTRs was needed. Many countries selected a lead (partner) NGO to disseminate PRTR information further. Country ownership and commitment to PRTR implementation should be strengthened in future projects according to Project partners through the organization of frequent high-level awareness-raising meetings with decision makers. Regional comparability in legislative frameworks e.g. Kazakhstan and Ukraine was seen as an opportunity to develop a regionally unified approach for PRTR legislative adaptation. Kiev Protocol chemicals were seen as a good basis to start identifying priority chemicals to be included in a new national PRTR. According to Project partners, available mechanisms for calculating of non-point sources of emissions need to be adapted to the realities in the different countries. Notwithstanding the Project activities implemented, most of the countries experienced a lack of capacities regarding estimation and or direct measurement of emissions.

Rating Delivery of Outputs – NOT RATED due to the limited information available

5.4.2 Achievement of Project outcomes

162. The Project was evaluated against the Direct outcomes, Project outcomes, assumptions and drivers in the reconstructed Theory of Change. The achievement of each outcome will be discussed below.

163. **Project outcome 1: PRTR implemented and used for POPs monitoring and reporting system in Chile** has been fully achieved. As mentioned in Section 5.4.1. 'Delivery of outputs', Chile designed and implemented a single window reporting system that integrates reporting schemes of eight governmental authorities based on the detailed single window implementation plan developed within the framework of the Project. Reporting on POPs using the PRTR started in Chile as well during the Project implementation. Although Chile for practical reasons does not report to the Stockholm Convention's Electronic Reporting System directly from the PRTR single window, the PRTR plays an important role in POPs reporting to the convention. (For specific details on the Chilean PRTR and SC reporting see Section 5.4.1. Delivery of outputs, Output 2.3.4 First final PRTR report is developed.)

164. The necessary support and training for Chile to develop all technical documents, legislation, public outreach strategy and website to implement the national PRTR and make sure that it will be used amongst others for POPs reporting resulted in the achievement of **Direct outcome: 1 PRTR trainings and guidelines are developed and stakeholders are actively using them** and **Direct outcome 2: Web based PRTR portal is used by stakeholders from participating countries** followed by the achievement of Project outcome 1.

165. In the interviews, respondents confirmed that indeed many of the assumptions mentioned in Chapter 4 Theory of Change were important for the achievement of Project outcome 1. The prospect to join the OECD was a strong motivation for the Chilean government to actively develop the national PRTR (A1) Governmental commitment to sustain the PRTR is

demonstrated by long term funding made available to the national PRTR in Chile (A10).²⁵ The government developed within the Project active country ownership and commitment to endorse and adopt national legal documents (A2, A4 and A8). Industry sectors and NGOs were willing to train and able to fully participate in the PRTRs (A3, A6, A7 and A9) (Representatives of Chilean academia were not involved) As far as the drivers are concerned, respondents confirmed the importance of many of the drivers mentioned in *Chapter 4* above. The PRTR initiative in Chile was well underway when the Project started and early on in the Project positive project results could be shown (D1). Chilean decision makers were well informed about PRTRs (D3) and strong advocacy for the importance of the project by the IA and EA (D5) played a vital role to convince Chilean decision makers of the need to endorse and adopt PRTR technical and legal documents required for PRTR implementation. From the start the Chilean PRTR was designed with the goal to enable SC reporting (D4 and D6).

166. Robust and participatory mechanisms for capacity building and awareness raising (D7) were in place during the Project phase in which the PRTR was developed. Participants were inspired by the framework of multilateral agreements such as the Stockholm and Aarhus conventions and the important and integrated role that PRTRs can play in meeting national obligations under these conventions. With the well-functioning Chilean PRTR portal at: <https://retc.mma.gob.cl/> it is clear that the quality of the website in terms of its utility, accessibility and functionality was ensured (D8).

167. **Project outcome 2: POPs monitoring and reporting system designed in Ecuador, Peru, Cambodia, Kazakhstan and Ukraine** has been achieved according to the Final Project Report and the evaluation interviews with country stakeholders. The combined outputs related to Project outcome 2 were developed to design national PRTR reporting and monitoring systems. As mentioned in *Section 5.4.1. 'Delivery of outputs'* all National Proposals were endorsed by decision makers in the Ministries of Environment from Cambodia, Ecuador, Kazakhstan, Peru and Ukraine. Decision makers from the Project countries also participated in the last Steering Group Meeting of the Project on 29 and 30 August 2012 in Geneva. To express the value of the Project for the different countries, they confirmed at that last Steering Group Meeting that they endorsed the PRTR National Proposals and Implementation Plans and expressed their interest to continue cooperation with UNEP and UNITAR on the issue of PRTRs. A summary of these statements was appended to the Final Project Report.

168. In the framework of the PRTR phase II project, Kazakhstan has been piloting the collection of information to the National PRTR since 2013. In 2016, the Environmental Code of the country was amended to oblige enterprises to provide information to the National PRTR (Article 160 of the Kazakh Environmental Code). In parallel, a domestic procedure for the ratification of the PRTR Protocol was conducted. The President of the Kazakhstan officially signed the Law on Ratification of the PRTR Protocol on 12 December 2019. On 27 January 2020, Kazakhstan officially acceded to the UNECE Protocol on PRTRs of the Convention on Access to Information, Public Participation in Decision-making and Access to Justice in Environmental Matters (Aarhus Convention). With this accession Kazakhstan is the thirty-seventh Party that signed the Protocol. Kazakhstan is the first country in Central Asia to accede to the Protocol.

169. In addition, the drafting of a new version of the National Environmental Codex started that takes into account the basic requirements for the implementation of the country's obligation under the PRTR Protocol. The Codex is expected to be signed towards the end of

²⁵ Chile became an OECD member country in 2010

2020, beginning of 2021. In practice this means that today Kazakh industries are reporting on paper to the 17 environmental authorities of the country at regional (oblast) level. After the adoption of the new Environmental Codex, single window reporting to the national PRTR will become obligatory. It is planned that the Kazakh PRTR system then will also be used for the collection of POPs data and reporting to the Stockholm Convention.

170. In the case of Peru, the seriousness of the PRTR endorsement in support of future adoption and implementation is demonstrated by a government decision of 12 October 2012 to create an official PRTR Working Group by Ministerial Resolution No. 274-2012-MINAM.²⁶ Further proof of the fact that Peru is preparing for full implementation of its PRTR system can be found in the fact that today the Peruvian government is reportedly preparing for membership of the OECD. Having a fully functional PRTR is one of the requirements to become a member country of the organization.²⁷

171. In the evaluation interviews stakeholders confirmed that many of the assumptions mentioned in *Chapter 4 Theory of Change* were important for the achievement of Project outcome 2. The industry sector and other stakeholders like NGOs and academia in partner countries were willing to train and provide meaningful input into the Project (A3, A6, A7 and A9). However, countries like Ecuador and Peru mentioned that the NGO sector is not very strong in their countries and it was difficult to find the right NGOs to be involved. As mentioned above, active endorsement of technical and legal documents in support of PRTR implementation was provided by the governments (A4 and A8). Especially the aspect of exchange of experience with other countries was highly appreciated by project partners (A5).

172. Concerning the drivers, the evaluation interviews confirmed that the Project informed national political decision makers about the value and importance of PRTRs (D3). In this respect the example of Chile played an important role (D2). Also, strong advocacy from IA and EA (D5) is confirmed to be provided in the framework of the different Project meetings. Robust and participatory mechanisms for capacity building and awareness raising were in place (D7). Although Project reports and evaluation interviews confirm that much of the preparatory work for design of the PRTRs in Ecuador, Peru, Cambodia, Kazakhstan and Ukraine has been carried out and that governments endorsed the PRTRs and planned SC reporting (D4, D6) in support of swift implementation under the Phase II project, a reality check in 2020 is quite sobering. From the countries that participated in both the First and Second Phase PRTR projects (Cambodia, Ecuador, Kazakhstan and Peru) unfortunately, only Kazakhstan has adopted the required technical and legal documents to enable full implementation of the PRTR reporting and monitoring system. In the evaluation interviews frequent changes of the Ministers of Environment is mentioned as one of the reasons behind the lack of Project ownership and decisive adoption of technical and legal documents in support of PRTR implementation. New ministers arrive with different agenda's and were not involved with previous Project activities at the time when they were carried out. Moreover, the ministries of environment are not taking such decisions alone, they must find support for PRTR adoption among other ministries at the national level, that often have different priorities. In this respect the lessons learned report mentions the important point that PRTRs are sometimes perceived by national decision makers as barriers to production growth and international investments.

²⁶ <https://sinia.minam.gob.pe/normas/crean-grupo-trabajo-registro-emisiones-transferencia-contaminantes-retc>

²⁷ As the intention of Peru to join the OECD is a relatively recent development, it is most probably more relevant to look into the details of Peru's planned OECD membership in the framework of the Terminal Evaluation of the PRTR Phase II project that is being carried out in parallel to this PRTR Phase I evaluation.

173. **Project outcome 3: Regional reporting system for the SC in Central American countries developed.** Countries involved Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua. It is unclear whether Project outcome 3 has been fully achieved. A Conceptual Proposal for PRTR development has been delivered and activities towards national PRTR development in the Central American countries have been carried out. However, with the unavailability of CCAD staff involved with the implementation of the component's activities, it is not possible to accurately assess what the status of those initiatives is and if a viable regional reporting system has been developed.

174. **Project outcome 4: Good practices and replicable elements on POPs monitoring and reporting identified.** Next to the lessons learned report mentioned in *Section 5.4.1 Delivery of outputs*, the evaluation interviews provided further insight in what those lessons were and what was done to make sure they were used in the design of and the preparations for the PRTR Phase II project. As the Phase I project clearly demonstrated how important country ownership is for PRTR implementation, UNEP required in advance from countries declaring their interest to participate in the Phase II project, clear confirmation that the decision makers were ready to demonstrate a strong political will to adopt all required technical and legal documents in support of future PRTR implementation. As stated in *Section 5.4.1. 'Delivery of outputs'*, countries confirmed in "high level statements" during the last Steering Group Meeting that their governments intended to adopt the required technical and legal documents and were very much interested to continue the cooperation in a second phase follow-on project. As mentioned in paragraph 02 above, national Project partners highlighted in the evaluation interviews that the absence of national decisions to adopt technical and legal documents in support of PRTR implementation is a difficult problem to solve, mainly caused by frequent changes at minister level.

175. Another important lesson learned from the Project implementation was the fact that for those countries for whom the concept of PRTRs was entirely new, one project was not enough to prepare them to the required level for PRTR implementation. The lessons learned from the Project concluded that a lot of capacity building and other important groundwork had been carried out during the Phase I Project. It was clear at the same time, however, that more project work would be needed to create the required solid baseline that would enable the next step to real national implementation in the different Project countries. Awareness raising and technical training for industry partners was evaluated by national partners as one of the key activities of the Project implementation. Without a training that brings industry partners up to speed with what is required in PRTR development and implementation, a national PRTR would not properly function. As a result, adequate training activities were included in the Phase II Project activities.

176. As mentioned above, in the evaluation interviews national partners appreciated the effectiveness of experience exchange and South-South cooperation as opposed to traditional training programmes. The Phase II Project features this form of capacity building as an important aspect of the Project design. At the same time the lessons learned report highlighted the need to increase the number of different technical experts available from UNITAR PRTR expert roster, preferably able to speak the relevant native languages of the target countries.

177. Integration of Project activities with other initiatives such as national obligations under the Stockholm and Aarhus conventions and the international initiative to foster sound chemicals management SAICM (Strategic Approach to International Chemicals Management) is mentioned as an important aspect of successful Project implementation. The Phase I Project was designed with the intention to foster integration of different projects and

initiatives in the field of sound chemicals management and public participation. The Phase II Project design repeated this approach in a more systematic way.

178. In the evaluation interviews Cambodia and Peru mentioned as an important lesson from the Project that the inter-ministerial PRTR working groups functioned well. Non-cooperation between different ministries is often a serious problem in both developed and developing countries. However, in both Cambodia and Peru the inter-ministerial PRTR working groups created in the framework of the Project are still functioning today. Peru has assigned an official status to the working group by Ministerial Resolution in 2012 to strengthen the country's ambition to become OECD member and in Cambodia the PRTR working group is still functioning today.

179. Based on the Project reporting and evaluation interviews it is safe to say that good practices and replicable elements on PRTR development for POPs monitoring and reporting have been identified and are endorsed by the governments. As only Chile and Kazakhstan have implemented a functioning PRTR, experience with the use of PRTRs for POPs monitoring and reporting to the Stockholm Convention is limited.

180. With Chile becoming an OECD member in 2010 and Peru currently preparing itself to become a member, the assumption that the prospect of joining OECD (A1) would be a motivating factor is clearly important. It is very possible that Peru intends to replicate the successful example of its southern neighbour. The assumption that countries would be willing to share experience and expertise with other participating countries (A5) clearly held during the Project implementation. In the evaluation interviews countries confirmed that the experience exchange between countries and South-South cooperation was highly appreciated and effective. The relevant driver for Project outcome 4: '*Strong project ownership based on positive Project results*' (D1), was in place. More advanced countries were clearly motivated to share their experience with PRTR development internationally.

Indicators from the Project results framework

181. In order to measure the achievement of Project objectives and outcomes, the Project's results framework provides a set of indicators for the Project objective, for the Project development objective and more specifically detailed per Project outcome. For monitoring purposes during implementation, indicators for outputs were also provided.

182. **Project objective indicator:** number of countries with designed and implemented tools for POPs monitoring nationally. Achievement of the Project objective is confirmed by PRTR adoption and implementation in Chile and Kazakhstan.

183. **Project development objective indicators:** The Project development objective is assigned two indicators. The first indicator assumes adoption of all technical and legal documents and practical use of the PRTR for reporting, the second indicator assumes endorsement of the technical and legal documents in preparation for future adoption.

184. **Project development indicator nr 1.** Number of countries using PRTRs as a monitoring and reporting tool for the Stockholm Convention. Achievement of the Project objective (Indicator nr 1) is confirmed by the fact that in Chile the PRTR is used for the collection of data for its POPs reporting to the Stockholm Convention. Kazakhstan is preparing to follow the example of Chile when reporting to the national PRTR will become obligatory, after the adoption of the country's new Environmental Codex. (See also section 5.4.2. Achievement of

Project outcomes, Project outcome 2: POPs monitoring and reporting system designed in Ecuador, Peru, Cambodia, Kazakhstan and Ukraine)

185. **Project development indicator nr 2.** Number of countries with a PRTR system designed as a tool for POPs monitoring and reporting. Achievement of the Project objective (Indicator nr 2) is confirmed by the fact that all six main Project partners Cambodia, Chile, Ecuador, Kazakhstan, Peru and Ukraine developed a PRTR system designed as a tool for POPs monitoring and reporting.

186. **Project outcome 1 indicator:** POPs monitoring system is in place and operational in Chile. Achievement of the Project outcome 1 is confirmed by the fact that Chile has an operational PRTR in place and Kazakhstan is preparing to follow the example of Chile when reporting to the national PRTR will become obligatory.

187. **Project outcome 2 indicator:** Number of countries with designed PRTR systems. Achievement of the Project outcome 2 is confirmed by the fact that in the five partner countries Cambodia, Ecuador, Kazakhstan, Peru and Ukraine PRTR reporting systems have been designed. However, there are some reservations to be made in regard to the actual achievement of this outcome. The above mentioned 2020 reality check and barriers towards adoption of the required technical and legal documents show how important awareness raising and advocacy among governmental decision makers really is (Drivers D3 and D5). A fully designed (and endorsed) PRTR reporting system can, figuratively speaking, sit in a drawer without being used and overtime lose its relevance. Thus, the achieved outcome could not result in real application or uptake.

188. **Project outcome 3 indicator:** Number of countries participating in the regional assessment with a sound feasibility study. As it is not possible to accurately assess what the status of Outcome 3 initiatives is and if a viable regional reporting system has been developed, it is not possible to confirm achievement of Project outcome 3.

189. **Project outcome 4 indicator:** Number of countries participating in the identification of lessons learned and good practices. The Final Project Report and evaluation interviews confirm achievement of Project outcome 4: all main Project countries Chile, Cambodia, Ecuador, Peru, Kazakhstan and Ukraine participated in identification of lessons learned and good practices activities of the Project.

<i>Rating Achievement of Outcomes – NOT RATED due to the limited information available</i>
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5.4.3 Likelihood of impact

190. As mentioned above in Section 4.3 'Causal pathways from Intermediate states to Impact', the ultimate goal of working with PRTRs as a management and reporting tool is to improve the protection of human health and the environment and achievement of the Project's intended **Impact I** (*Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of public accessible PRTRs in 6 Project countries*). The achievement of the Intermediate States can be seen as a precondition that is essential to the Impact becoming realized. Here, the assumption about *endorsement and adoption of technical and legal documents* (A4 and A7) is the central point. The assumed political will to make the required decisions for PRTR implementation was clearly

demonstrated by the Chilean government leading the development legal documents in support of PRTR implementation (A8) before achieving **Intermediate state 1**. (*At least Chile officially implements a PRTR and starts reporting to SC using a PRTR in an integrated way*) clearly has been achieved. Chile has officially implemented a PRTR and started reporting to the Stockholm Convention using PRTR in an integrated way. In Kazakhstan the PRTR will be officially implemented after the adoption of the country's new Environmental Codex towards the end or 2020, beginning 2021. Seven years after the completion of this Project the Kazakh government also decided in favour of PRTR implementation.

191. On a declarative level the governments of Cambodia, Ecuador, Peru and Ukraine showed the assumed Project ownership and commitment by endorsing the framework of the Project designed PRTRs (A4). The "high level" statements mentioned in *Section 5.4.1 'Delivery of outputs'* above officially express these endorsements. Unfortunately, the statements have not yet led to PRTR implementation in all of those countries to date. In line with the achieved outcome 2, important groundwork in terms of PRTR capacity building and design has been carried out and the endorsed PRTRs functioned as a solid baseline ready for further development in the Phase II project. With this, the primary goal of PRTR implementation in Chile and PRTR design in Cambodia, Ecuador, Peru, Kazakhstan and Ukraine is achieved.

192. With regard to the achievement of **Intermediate state 2** (*CA countries endorse the regional design and implementation plan on PRTRs*), it is unfortunately not possible to assess the Central American regional design and implementation plan. According to the Final Project Report a Regional PRTR Concept Document was endorsed by the participating Central American countries. However, the status and role in the Project of the pre-selected countries and the countries that later joined the Project is unclear and the evaluator could not obtain any further information from CCAD on the results of this Project component.

193. Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of public accessible PRTRs in 6 project countries has been defined in the TOC as the Project's intended long-term **Impact I**. The achievement of an efficiently working and public accessible PRTR in Chile (and planned to be implemented in Kazakhstan) as a result of the Project intervention demonstrates that in Chile (and Kazakhstan) the intended long-term impact of the Project is likely. The Chilean and Kazakh governments demonstrated the political will to make decisions in favour of endorsement for and adoption of PRTRs as part of the national regulatory framework in the country. Chile has developed a system that enables all relevant industrial facilities to report to Chile's eight different monitoring authorities through the single window online system. This is an important achievement that could not have been reached without serious governmental investments and the commitment to continue Chile's (and Kazakhstan's) future environmental reporting via a PRTR reporting and monitoring system. With this achievement the important assumption (A10) holds. Not all the drivers are relevant for the transition from intermediate state to impact in Chile and Kazakhstan. To achieve improved protection of human health (Impact 1) driver (D3) is relevant: decision makers were well informed about the value of PRTRs. Also, driver (D4) applies: national PRTR design in participating countries enabled future reporting to SC.

194. For Cambodia, Ecuador, Peru and Ukraine the achievement of **Impact 1** is less likely. It has to be acknowledged, however, that in line with the Project goals the countries have focused primarily on PRTR design in the PRTR Phase I Project. As a result, they have prepared a solid baseline in support of future PRTR implementation. The evaluation has found that Project partners did a lot to make sure that countries not only endorsed the required technological and legal documents, but definitively prepared themselves for adoption during the implementation of the Phase II project. Nonetheless, the sobering reality is that today

adoption of these documents in Cambodia, Ecuador and Peru, countries that also participated in the PRTR Phase II project, is still pending.

195. Concerning the likelihood of the achievement of **Impact 2** (*Experience and results from the PRTR project are replicated in the 6 CA countries*) it difficult to assess if experience and results from the PRTR project are replicated in the 6 Central American countries. With the unclarity about the status of the regional PRTR initiative, it is very difficult to evaluate this part of the Project in a meaningful way.

Using the Evaluation Office of UNEP’s standardized approach,

196. Table 7 below summarizes the analysis of likelihood of impact. However, Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for the likelihood of impact cannot be given.

Table 7. Analysis of Likelihood of Impact

#	Criteria	Findings
1	Drivers to support transition from outputs to outcomes are partially in place / are in place / are not in place	The drivers were partly in place: D1) The Project was implemented 8 years ago. It is impossible to verify if there were early project results. D2) Chile demonstrated the efficiency of PRTRs. D3) National decision makers were well informed. D4) National project design in most of the countries enabled future reporting to SC. D5) IA and EA provided strong advocacy for the importance of PRTRs. D6) For Chile the prospect of efficient SC reporting strengthened national commitment, for the other countries this is not really clear. D7) Robust mechanisms for capacity building were in place
2	Assumptions for the change process from outputs to outcomes hold/ partially hold/ do not hold	The assumptions for the change process hold: A1) prospect of joining OECD was a motivating factor in Chile and Peru. A2) National legal documents were adopted in Chile and Kazakhstan A3) The industry sectors were willing to train and participate. A4) National governments were open to adopt PRTR (Chile and Kazakhstan in practice, other countries on paper) A5) All main countries were willing to share experience. A6) NGOs and journalists were in some countries difficult to engage but in principle in the main countries available and interested. A7) Stakeholders in the main countries were actively endorsing PRTR implementation. A8) Government led the development of legal documents in support of PRTR implementation in Chile and Kazakhstan, in the other countries this is less clear. A9) National NGOs, industry and academia participated (not all to the same extend in every country) and provided meaningful input to the project.

#	Criteria	Findings
		A10) Sustainable sources of funding are committed in Chile and Kazakhstan, in the outer countries this is less clear.
3	Proportion of outcomes fully achieved / partially achieved	Some of the outcomes are fully achieved. Outcome 1 and 2 have been achieved. PRTRs in Chile and Kazakhstan are adopted, Designed PRTRs in the main Project countries are endorsed. With regard to outcome 3, it is difficult to assess what has been achieved in the framework of the project without verifiable data. Outcome 4 has been achieved. Based on the evaluation interviews and project reporting good practices and replicable elements from the project could be identified.
4	Outcomes to attain intermediate states / impact (the most important, others)	The most important outcomes (outcome 1, 2 and 4) contributed to attainment of intermediate state 1: At least Chile officially implemented a PRTR and started reporting to SC using PRTR in an integrated way. Kazakhstan is following Chile's example. As there is limited information on the results of the regional component, it is unclear whether outcome 3 contributed to the attainment of Intermediate state 2 on the replicability of results.
5	Level of outcome achievement	As discussed in Section 5.4.2, most of the outcomes were formally achieved. With a number of PRTR Phase I countries that still have not officially implemented their PRTRs, after implementation the Second Phase PRTR Project the level of outcome achievement should be described as partial.
6	Drivers to support transition from outcome(s) to intermediate states are in place / partly in place / not in place	In the transition from outputs to outcomes, drivers to support transition from outcomes to intermediate state 1 were partially in place. It is expected that driver D2) <i>Use of PRTR in Chile demonstrates the efficiency of PRTRs to other participating countries</i> was in relevant for Kazakhstan. The same is true for D4) <i>National PRTR design in participating countries enables future reporting to SC</i> , D5) <i>Strong advocacy for the importance of PRTR</i> , D6) <i>Prospect of efficient SC POPs reporting</i> and D8) <i>Quality of the web based PRTR portal</i> .
7	Assumptions for the change process from outcomes to intermediate states hold / partly hold / do not hold	As for the change process from outcomes to intermediate state assumptions partly hold. Not all the assumptions are relevant for the transition. Eight years after the end of the project, the assumption A4) <i>"National governments are open to adopting PRTRs as part of the national regulatory framework"</i> is more or less relevant for Chile where the national PRTR is actively used and Kazakhstan will follow the example of Chile with the obligatory reporting via its national PRTR to be expected in 2021 A7) <i>Stakeholders actively assist to endorse technical and legal documents in support of PRTR implementation</i> is relevant for Kazakhstan and the same is true for A8) <i>Governments lead the development of legal documents in support of PRTR implementation</i> .
8	Proportion of Intermediate states achieved all / some / none	Some of intermediate states were achieved. Intermediate state 1 is achieved. At least Chile officially implemented a PRTR and started reporting to SC using PRTR in an integrated way. Kazakhstan is following Chile's example. As key information about the results of the regional Central American component is not available, it is unclear if Intermediate state 2 has been achieved.

#	Criteria	Findings
9	Level of Intermediate state achievement full / partial	The evaluation has found partial levels of intermediate state achievement.
10	Drivers to support transition from intermediate states to impact are? In place / Partially in place / Not in place	Not all the drivers are relevant for the transition from intermediate states to impact. To achieve improved protection of human health (Impact 1) driver D3) is relevant: <i>decision makers were well informed about the value of PRTRs</i> . Also, driver D4) applies: <i>national PRTR design in participating countries enables future reporting to SC</i> .
11	Assumptions for the change process from intermediate states to impact hold / partially hold / do not hold	Not all assumptions are relevant for the change process from Intermediate states to impact 1 <i>“Improved protection of human health and the environment from POPs and other hazardous chemicals through efficient use of a public accessible PRTR”</i> . Impact has been achieved in Chile and is expected to be achieved in Kazakhstan. Especially important in this respect is assumption A10) <i>Sustainable sources of funding are committed from national budgets to cover for the costs of further PRTR development and implementation of the reporting and monitoring system</i> . There is too little information available about the results of the Project in Central America to assess the achievement of impact 2.
	OVERALL RATING	Not rated due to the limited information available

Rating Likelihood of Impact – NOT RATED due to the limited information available

197. The indicator from the Project results framework for the Project objective: Number of countries with designed and implemented tools for POPs monitoring nationally confirms achievement of the Project objective. There are two countries (Chile and Kazakhstan) that have developed and implemented tools for POPs monitoring on the national level. In Chile, the PRTR is fully designed and implemented, in Kazakhstan the PRTR is fully designed and implementation awaits official adoption of the new Environmental Codex.

198. The indicator from the Project results framework for the Project development objective indicator: *Number of countries with a PRTR system designed as a tool for POPS monitoring and reporting* confirms achievement of the Project development objective. Although not all systems are fully developed and ready for use, five countries - Cambodia, Ecuador, Peru, Kazakhstan and Ukraine have developed a PRTR system designed as a tool for POPs monitoring and reporting.

199. It can be concluded that the Project has produced many of the programmed outputs and outcomes and impact is visible. However, Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for effectiveness cannot be given.

Overall rating Effectiveness – NOT RATED due to the limited information available

5.5 Financial management

200. The total approved budget was USD 3,454,320 (See *also* Table 3 and Table 4 in Section 3.6 *Project financing*) including USD 950,000 in cash from the GEF Trust Fund and USD 2,504,320 of in-kind and cash co-financing contributions from Project countries and international partners. The actual budget reported consisted of the total Project cost of USD 4,198,320, including USD 950,000 in cash from the GEF Trust Fund and USD 3,248,320 of co-financing in in-kind and cash contributions from Project countries and international partners. This is USD 744,000 more than anticipated. Table 8 below presents an overview of total GEF project budget, actual project expenditures and expenditure ratio (actual/planned). The total GEF project budget was USD 950,000. The actual expenditure at project end was USD 934,892.70²⁸. The total amount available for UNITAR from the GEF funding was USD 924,000. The difference was financed from UNITARs own financial sources. With all the planned project costs realized, that results in the overall expenditure ratio of 0.98.

Table 8. Expenditure reported by UNITAR following UNEP Budget lines

²⁸ With an unspent UNEP budget for the Terminal Evaluation of USD 26,000

	Estimated cost at design	Actual Cost/ expenditure	Expenditure ratio (actual/planned)
Personnel component			
Project personnel			
Global project coordinator	45,000.00	52,135.57	1.16
National project coordinators	32,100.00	27,100.00	0.84
Sub total	77,100.00	79,235.57	1.03
Consultants			
Technical assistance - local implementa	35,000.00	33,198.80	0.95
Technical assistance - local design	165,000.00	147,107.35	0.89
Technical assistance - International des	60,000.00	55,666.74	0.93
Sub total	260,000.00	235,972.89	0.91
Administrative support			
Support staff	68,000.00	65,900.00	0.97
Sub total	68,000.00	65,900.00	0.97
Travel on official business			
Travel national experts	53,000.00	48,900.00	0.92
Travel international experts	69,000.00	68,263.35	0.99
Sub total	122,000.00	117,163.35	0.96
Training component			
Group training			
Training implementation	15,000.00	15,955.00	1.06
Training design	28,700.00	31,250.00	1.09
Trining global	1,800.00	-	-
Sub total	45,500.00	47,205.00	1.04
Meetings / Conferences			
Workshops/ meetings Implementation	29,900.00	29,900.00	1.00
Workshops/ meetings Design	60,000.00	61,324.41	1.02
Workshops/ meetings Global	55,000.00	112,703.74	2.05
Sub total	144,900.00	203,928.15	1.41
Equipment and premises component			
Expendible equipment			
Operating costs	65,000.00	60,537.74	0.93
Sub total	65,000.00	60,537.74	0.93
Non-expendible equipment			
Computer/fax machine/ data projector	30,000.00	22,000.00	0.73
Sub total	30,000.00	22,000.00	0.73
Miscellaneous component			
Reporting costs			
Information dissemination, public inform	77,500.00	75,000.00	0.97
Printing publications, public information	5,000.00	2,050.00	0.41
Sub total	82,500.00	72,950.00	0.88
Communication costs	30,000.00	30,000.00	1.00
Sub total	30,000.00	30,000.00	1.00
Evaluation			
Mid-term evaluation	-	-	-
Terminal evaluation	25,000.00	-	-
Sub total	25,000.00	-	-
GRAND TOTAL	950,000.00	934,892.70	0.98
Total GEF funding available	950,000.00		
Terminal Evaluation UNEP	26,000.00		
Total amount available for UNITAR	924,000.00		

201. Co-financing was provided by BAFU Switzerland, US EPA-HG, US EPA Central America, Mexico SEMARNAT Central America, SAICM Quick Start Programme, GRID ARENDAL, UNECE, UNITAR, UNIDO, Chile Government, Canada PF, UNEP DTE and the main participating countries. Table 5 below presents the actual Project expenditures per donor and objective / activity. A UNEP Completion Revision document signed on 15-04-2014 confirms acceptance of the Project expenditure reports and formal Project closure.

Table 9. Actual project expenditure per donor and objective / activity

	OBJECTIVE / ACTIVITY	GEF FUNDING	CO-FINANCING														Total project co-financing actual	Total Project + co-financing
			BAFU CH	USEP-HG	US EPA Central America	Mexico SEMARNT	Spain Central America	QSP- SAICM	GRID ARENDAL	UNECE	UNITAR	UNIDO	Chile Government	Canada PF	UNEP DTI	Countries design project		
1	Project management and supervision	90,000			28,000					60,000		92,800			245,000	425,800	515,800	
2	Implementation and use of PRTs as a model for POPs reporting and monitoring system	150,000									10,000	507,200	250,000			767,200	917,200	
3	Design a PRTR system for POPs monitoring and reporting in 6 countries		5,000	300,000				4,000	10,000							402,320	402,320	
	Cambodia	80,000													15,800	15,800	95,800	
	Ecuador	80,000													12,000	12,000	92,000	
	Kazakhstan	83,000													10,000	10,000	93,000	
	Peru	80,000													15,520	15,520	95,520	
	Thailand	1,351	30,000												-	30,000	31,351	
	Ukraine	70,000													-	-	70,000	
4	Regional assessment of reporting systems for POPs and other chemicals in Central America															1,377,200	1,377,200	
4	Conduct regional assessment	-			60,200	7,000	500,000									567,200	567,200	
4	Pilot exercise in 2 countries			86,000		724,000										810,000	810,000	
5	Identification of good practices and lessons learned							160,800		30,000						190,800	190,800	
5	Development of global guidelines for POPs monitoring and reporting	121,399								10,000				20,000		30,000	151,399	
5	Identification of good practices and lessons learned	169,250							12,000	20,000						32,000	201,250	
6	Monitoring and evaluation programme															23,000	48,000	
6	Monitoring and evaluation activity	25,000														-	25,000	
6	Steering Committee Meetings		5,000							18,000						23,000	23,000	
	Total Actual	950,000	40,000	300,000	174,200	7,000	1,224,000	160,800	4,000	12,000	148,000	10,000	600,000	250,000	20,000	298,320	3,248,320	4,198,320

5.5.1 Completeness of Financial Information

202. Assuming that the Project Cooperation Agreement (PCA)²⁹ between UNEP and UNITAR required from the latter to send progress and financial reports within one month of the end of the reporting period, the quarterly financial reporting shows a structural delay during implementation. Many of the reports were several months late (in some instances even up to 8 or 9 months). In the last two quarterly financial reports (Q2 and Q3 2012), budget revisions requests and accountancy reports on the spent Project finances are missing from the available Project documentation. Nonetheless, the financial information presented in Table 4: Expenditure reported by UNITAR following UNEP Budget lines and Table 5: Actual project expenditure per donor and objective / activity, copied from the Final Project report suggest that Project finances were well administered and at the end of the Project a complete overview was reported on how the available budget was spent. Co-financing reports per donor at Project end were available. These reports give an overview of the activities supported in cash and in kind and form the basis of Table 9 above which presents Actual project expenditure per donor and objective / activity.

Rating of Completeness of Financial Information – Moderately Satisfactory (MS)

5.5.2 Communication between Finance and Project Management Staff

203. Interviews with the former UNEP Task Manager and the former Fund Management Officer revealed that, apart from some time delays in reporting due to frequent changes in the responsible officers at UNITAR, there were no principal issues with the reporting and that the financial management has been sound throughout the lifetime of the Project. Also, it was confirmed in these interviews that appropriate communication was maintained between the Executing Agency and the Fund Managing Officer.

Table 10. Completeness of Project financial information

Financial management components:		Rating	Evidence/ Comments
1. Completeness of project financial information:			
Provision of key documents to the evaluator		HS:HU	
A.	Co-financing and Project Cost's tables at design (by budget lines)	Yes	Provided Project reports
B.	Revisions to the budget	Yes (partly)	Only the Completion Revision document was provided (no interim budget revision documents)
C.	All relevant project legal agreements (e.g. SSFA, PCA, ICA)	No	
D.	Proof of fund transfers	No	

²⁹ A copy of the PCA was missing from the available Project documentation.

Financial management components:		Rating	Evidence/ Comments
E.	Proof of co-financing (cash and in-kind)	Yes,	The actual project expenditure per donor and objective / activity in co-financing was provided
F.	A summary report on the project's expenditures during the life of the project (by budget lines, project components and/or annual level)	Yes	The actual expenditure reported by UNITAR following UNEP Budget lines was provided
G.	Copies of any completed audits and management responses (<i>where applicable</i>)	No	
H.	Any other financial information that was required for this project (list):	Yes	Quarterly financial reports were provided (although 2 of them were missing)
Any gaps in terms of financial information that could be indicative of shortcomings in the project's compliance with the UN Environment or donor rules		No	
Project Manager, Task Manager and Fund Management Officer responsiveness to financial requests during the evaluation process		S	Interviews with former TM and former FMO
2. Communication between finance and project management staff		HS:HU	
Project Manager and/or Task Manager's level of awareness of the project's financial status.		S	Interviews with former TM and former FMO
Fund Management Officer's knowledge of project progress/status when disbursements are done.		S	Interviews with former TM and former FMO
Level of addressing and resolving financial management issues among Fund Management Officer and Project Manager/Task Manager.		S	Interviews with former TM and former FMO
Contact/communication between by Fund Management Officer, Project Manager/Task Manager during the preparation of financial and progress reports.		S	Interviews with former TM and former FMO
Overall rating		S	

*Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU)

Overall Rating Financial Management – MODERATELY SATISFACTORY (MS);

5.6 Efficiency

204. Cost-effectiveness and timely implementation are key for the quality of any project implementation. As mentioned above in *Section 3.5 Changes during implementation* the Project was originally planned for a 24-month implementation period and subsequently extended to 48 months. An important comment on the original Project design is that planning the implementation of this international Project involving 13 Project countries³⁰ in only two years was most probably too ambitious. As reported in the available quarterly reports and confirmed by the former UNEP Task Manager, the tight planning of the Project has caused delays right from the start in the extensive time that was needed to sign the MoUs with the individual Project countries. Bureaucratic hurdles in national administrative regulations (especially in the case of Ecuador), in some cases political unrest (Thailand) and a natural disaster (Chile) significantly delayed the Project implementation. Next to that, a lack of national management capacities slowed down the implementation of Project activities and

³⁰ 7 GEF funded countries and 6 Central American countries covered by co-financing.

required more international assistance than originally planned. Unfortunately, frequent changes of the staff assigned to the Project as coordinator at UNITAR and long administrative procedures within both UNEP and UNITAR for the transfer of Project funds further contributed to the delays experienced within the Project (See also Section 5.3 *Nature of External Context*).

205. The differentiation between front runner Chile that had already started with its PRTR design before the Project start and the rest of the main Project countries worked quite well. The Project feature of a successful frontrunner seems to have inspired other Project countries to follow the example of their peer and it seems to have strengthened the efficiency of the Project. The originally planned South-South cooperation worked efficiently. The two levels of experience created circumstances in which well experienced experts from the Project countries could support colleagues overseas e.g., Chile has provided technical support to several countries in the region for design and implementation, Peru has shared its experience in Central American countries and a Mexican PRTR expert assisted Cambodia with the design of the Cambodian PRTR. In the evaluation interviews the respondents stated that this approach was very much appreciated and that they were efficiently provided with the needed support to design national PRTR systems. At the same time, it was highlighted in the lessons learned report that there were not always enough international experts available from UNITARs PRTR expert roster to provide targeted training and support in specific technical areas.

206. To avoid duplication of efforts and to create synergies with other international, regional and national PRTR initiatives, the Project efficiently cooperated with a large group of international organizations that were all involved in PRTR initiatives in specific ways. As a result, a large part of the co-financing of the Project was provided by these international PRTR initiatives. (See also sections 3.3.1 *International organizations* and 5.5 *Financial management*)

207. As standard operating procedure for minimizing its environmental footprint, UNITAR implemented efficiency measures by combining necessary Project travel for different activities to avoid excessive travel, planning steering committee and Project meetings “back-to-back” with the same purpose to avoid extra travel. The second Project Steering Committee Meeting was even organized as an online event.

208. Concerning the Central American component of the Project, the Terminal Evaluation was unable to assess the efficiency of the Project implementation.

Rating of Efficiency – NOT RATED due to the limited information available

5.7 Monitoring and reporting

5.7.1 Monitoring design and budgeting

209. The Terminal Evaluation has assessed the monitoring tools provided by the Project document to assure the overseeing of Project implementation, including planned monitoring

and evaluation activities and tools.³¹ In the Project design, adequately planned activities and resources were foreseen for Mid-term and Terminal Evaluation. A monitoring plan to track progress against SMART indicators towards achievement of the Project outputs and direct outcomes was part of the Project document. Monitoring was assumed to be carried out as part of the day-to-day Project management at country level by the national Project teams and at Project level respectively by the Executing Agency and the Implementing Agency. A monitoring and evaluation plan and separate budget for the Terminal Evaluation was foreseen in the Project document. Gender and low represented groups were mentioned in the Project document and in the evaluation interviews. These groups were, however, not included in the monitoring tools.

Rating of Monitoring design and budgeting – Satisfactory (S)

5.7.2 Monitoring implementation

210. Based on the available reporting and the interview with the Former Task Manager the evaluator learned that there were delays at the start of the Project in signing the Project MoUs between UNITAR and participating countries. A lack of national management capacities and frequent changes of the staff assigned to the Project as coordinator at UNITAR further contributed to the delays experienced within the Project. With no possibility to interview the people who coordinated the Project at the time, however, it is not possible to assess how UNITAR reacted to the delays in Project implementation and what measures for adaptive management were taken to mitigate risks of further implementation delays. There is some evidence of adaptive management from UNEP and UNITAR resulting from monitoring data in Project reporting and feedback from the Project Steering Group Meetings. In hindsight it is clear that the problems that delayed Project implementation were ultimately solved via one or more no-cost Project extension, which were not available during the Terminal Evaluation from the Project documentation provided. As far as known to the evaluator, no Mid-term Project Review was carried out.

211. Based on the above-described lack of information it is not possible to assess if a well-functioning monitoring system was in place.

Rating of Monitoring implementation – NOT RATED due to the limited information available

5.7.3 Project reporting

212. The Terminal Evaluation found that there were serious delays in progress and financial reporting. Based on the interview with the Former Task Manager it is understood that delays in Project reporting did occur due to frequent changes of UNITAR staff. The reporting available for the evaluation was of good quality and showed the Project's developing progress. Country

³¹ These include e.g. Progress and Financial Quarterly Expenditure Reports, Annual Progress Reports, Project Implementation Reports (PIRs), Work Plan, Annual Inventory of Non-expendable Equipment Reports, Project Completion Financial Audit, Project Completion Co-financing Reports, Final Project Report, Inception Workshop, National Coordination Group Meetings and Steering Group Meetings reports.

and CCAD reports to UNITAR and other reporting such as reports from technical experts were not available for the evaluation. (See also sections 5.4.1. *Delivery of outputs* and 5.5.1 *Completeness of Financial Information*)

Rating of Project reporting – NOT RATED due to the limited information available

Overall rating of Monitoring and reporting - NOT RATED due to the limited information available

5.8 Sustainability

213. In line with the ToR for this Terminal Evaluation, the following aspects of Project sustainability are addressed in this section: Socio-political sustainability, Financial sustainability and Institutional sustainability.

5.8.1 Socio-political sustainability

214. The most important sustainability question regarding the Project is determined by socio-political aspects. As mentioned in different sections of this report the question whether Project countries are willing to endorse and adopt the different technical and legal documents required for PRTR implementation can have the potential to limit the achievement of the Project outcomes and its final impact. As stated in different sub sections of *Section 5 Evaluation findings*, the Terminal Evaluation has found that Chile has shown enough Project ownership and political will to fully implement a PRTR and has started to use the system officially from 2013. With the accession to the UNECE Protocol on PRTRs of the Aarhus Convention on 27 January 2020, Kazakhstan is the first Project country to follow the example of Chile (Eight years after Project completion and one month after the completion of the PRTR Phase II project). Such policy decisions have far reaching consequences for the countries and will have serious budget implications for the future. It clearly demonstrates the government's commitment to the continue with the PRTR reporting and monitoring system in future years and with that it demonstrates strong sustainability of the Project initiative.

215. For the other participating countries, it is less clear whether decision makers will ultimately endorse and adopt the different technical and legal documents required for PRTR implementation. Under these circumstances the sustainability of the Project initiative is not assured. As reported in the evaluation interviews with Country coordinators, many experts from the national environmental ministries are strongly motivated to work with PRTRs and clearly see the benefits the reporting systems bring. However, the frequent changes of ministers in the main Project countries have not strengthened national Project commitment. New ministers have different experiences and often different priorities. Such circumstances potentially can negatively affect the sustainability of the Project initiative. However, strong endorsement for the PRTR design has been confirmed during the last Steering Group Meeting and in recent individual contacts with the UNEP Task Manager. UNEP has confidence that in the near future next to Kazakhstan more countries will follow Chile's example and officially implement their national PRTR amongst others as a result of the PRTR Phase II Project. The fact that having a fully functioning national PRTR system is a requirement to become an OECD member country, (and that more of the Project countries develop this ambition) might

strengthen the sustainability of the Project initiative. (See also Section 6.5 Country ownership and driven-ness)

216. Sustainability of the Project outcomes depends by and large on future **socio-political commitment** to implement the PRTR reporting systems. If governments have the commitment to adopt the required technical and legal documents that make PRTR reporting obligatory, the private sector will comply. During the implementation of the Project many representatives of the private sector have shown a keen interest in the subject of PRTR reporting and have participated in different project training activities and the execution of pilots.

217. National decision making is of course beyond direct control of Project stakeholders. The most stakeholders could do to influence the Project's sustainability was making sure that Project activities were carried out to the highest possible standards and that high-quality outputs were produced and well disseminated amongst Project stakeholders. Thus, enabling political decision makers to take well informed decisions to adopt policies and legislation in support of PRTR implementation. The evaluation has found that in most of the main Project countries, Project partners have successfully tried to carry out the Project to the highest possible standards and thus contributed to the sustainability of the Project.

218. Concerning the Central American component of the Project, the Terminal Evaluation has found little evidence of a strong socio-political commitment to continue in the future with the Project initiative.

Rating Socio-political sustainability – NOT RATED due to the limited information available

5.8.2 Financial sustainability

219. Sustainability of the Project outcomes depends on **financial commitment** of governments to the continue with the PRTR reporting and monitoring system in future years. Thus far only Chile and Kazakhstan have made that commitment in practice. The financial and institutional sustainability of the Project cannot be separated from socio-political and institutional sustainability. The political decision whether to endorse and adopt the different technical and legal documents required for PRTR implementation is, as far as financial sustainability is concerned, also the central factor. The decision to officially implement a national PRTR has serious budget implications for the future (See also Section 5.8.1. Socio-political sustainability). As stated in the evaluation interviews, Chile (and Kazakhstan) could not have financed their PRTR reporting system only from financial support provided in the framework of international technical assistance projects and both countries have reserved a national budget to maintain the PRTR system in the future. The same is true for the other main Project countries that have thus far not taken the decisions in favour of PRTR implementation; implementation of PRTRs is expected to increase the efficiency and effectiveness of pollutant release and transfer reporting. It will, however, at the same time require substantial investments from the Project countries.

220. Concerning the Central American component of the Project, the Terminal Evaluation has found little evidence of a strong financial commitment to continue in the future with the Project initiative.

Rating Financial sustainability – NOT RATED due to the limited information available

5.8.3 Institutional sustainability

221. The institutional sustainability of the Project is directly dependent on a political decision in the main Project countries in support of PRTR implementation. As the current policy and regulatory framework in those countries does not enforce (single window) PRTR reporting, the active motivation is lacking in the business sector to invest in PRTR reporting capacity and acquire the necessary skills for reporting via PRTRs. Without official endorsement and adoption of the required technical and legal documents in support of PRTR implementation, PRTRs will not be used for national reporting and POPs reporting and monitoring.

222. Based on the review of available Project outputs and reports and based on the evaluation interviews conducted, the evaluator believes Project stakeholders representing Chile and the main Project countries did to a satisfactory level what they could to ensure the Project's sustainability. Concerning the **institutional commitment** to PRTR reporting the evaluation has found that in most Project countries there is a strong commitment from the technical experts at relevant ministries and among the key PRTR stakeholders in society.

223. Concerning the Central American component of the Project, the Terminal Evaluation has found little evidence of a strong institutional commitment to continue in the future with the Project initiative.

Rating of Institutional sustainability – NOT RATED due to the limited information available

Overall rating of Sustainability – NOT RATED due to the limited information available

6. Factors Affecting Performance

6.1 Preparation and readiness

224. With regard to the inclusion of prior PRTR initiatives in Chile and in the main Project countries the Project was well prepared. The Project document carefully described the baseline situation in the countries regarding implementation of the Stockholm Convention National Implementation Plans. The Project document also gave an overview of a series of bilateral initiatives on the subject of PRTRs undertaken by international organizations that provided co-financing during the implementation of the Project. Not all countries were equally experienced in the field of PRTR reporting and monitoring. For some of the countries the subject even was quite new. The two levels of experience and the two levels of Project goals, with Chile as a more experienced frontrunner, compensated well for the difference in experience with PRTR reporting and monitoring. On the content level most of the main countries were ready to work with this new tool. Regarding the Central American countries there is not enough information available to assess their preparation and readiness.

225. Concerning the Project preparation and readiness at managerial level, it has to be mentioned that the planned timeline for Project implementation was too short. At the same time, Project management and negotiation of MoU with countries turned out to be more challenging than anticipated. This was especially relevant for Ecuador and the countries were political unrest or natural environmental disasters occurred. This experience confirms the fact that projects like the one at hand need more time for implementation, especially to deal with mentioned practical managerial difficulties. (See also Section 3.5 'Changes in design during implementation')

Rating of Preparation and readiness – NOT RATED due to the limited information available

6.2 Quality of Project management and supervision

226. As mentioned under Section 3.5 'Changes in design during implementation' the Project management performance of the Executing Agency was not always of the needed quality due to frequent personnel changes at UNITAR. Although it is practically understandable that personnel changes can cause difficult situations and serious delays for executing agencies, it is important to avoid such situations and guarantee ongoing support and direction to Project countries. The Terminal Evaluation also found earlier-mentioned indications that the quality of Project management and supervision at UNITAR sometimes should have been better than it actually was: a lack of technical experts on the UNITAR PRTR roster was observed by countries in the lessons learned report, no Mid-term review was carried out and the Terminal Evaluation was not carried out at Project end.

Rating of Quality of Project management and supervision – Unsatisfactory (U)

6.3 Stakeholder participation and cooperation

227. In the evaluation interviews, it was expressed that Stakeholder involvement activities and awareness raising were well appreciated and seen as successful. The National Coordination Team in Chile, that is still active today and includes multidisciplinary stakeholders with a background in different sectors of society, played a fundamental role in the design and implementation of Chile's PRTR and was enshrined in the national PRTR regulation in 2013. Earlier in 2012, Peru already gave its National Coordination Team and official status by Ministerial Resolution, when the country created an official PRTR Working Group. In some countries, like Ecuador the NGO sector was not strong and the National Coordination Team experienced difficulties to involve NGOs in the Project. Stakeholder engagement of the industry sector was very important to guarantee that colleagues from the industry understood well the type of data input that they were expected to provide. Cooperation with the industry sector was evaluated in the evaluation interviews as successful. Due to the fact that not all Project documentation is still available today, the Terminal Evaluation cannot provide any numbers of the people that were involved with Project activities in the different countries. There is consequently also no statistical information available about the gender balance and number of people involved representing vulnerable groups or human rights advocacy groups. There is also no information available on stakeholder participation and cooperation under outcome 3 of the Project.

Rating of Stakeholder participation and cooperation – NOT RATED due to the limited information available

6.4 Responsiveness to human rights and gender equity

228. Gender concerns, gender policies, indigenous people and human rights are not mentioned throughout the Project document, as it was no priority at the time when the Project document was developed. During implementation, the Executing Agency has also not developed a systematic Project policy to make sure that gender equity was guaranteed and relevant vulnerable groups, human rights advocacy groups and indigenous people would be properly involved with the PRTR initiative. In responses to the evaluation interview questions, however, National Coordinators confirmed that in practice women were well presented in Project activities. Some National Coordinators mentioned also that Project activities in principle were open for NGOs representing vulnerable groups. However, no specific information was reported on this issue. As mentioned in Section 6.3 'Stakeholder participation and cooperation' there is no statistical information available about the gender balance and number of people involved representing vulnerable groups or human rights advocacy groups.

Rating of Responsiveness to human rights and gender equity – NOT RATED (these aspects were not programming principles at the time of the project development and initiation. There is no differentiated data with which an analysis of performance can be made.)

6.5 Country ownership and driven-ness

229. The Terminal Evaluation has found that country ownership among political decision makers is the central point in this Project for the achievement of Project outcomes, intermediate states and intended impact. Countries need to be determined to endorse and adopt all technical and legal documents in support of integrated PRTR implementation. Without this commitment PRTRs will not be implemented and used for national reporting and

for POPs reporting and monitoring. As stated in different subsections of *Section 5.4 Effectiveness*, Project counterparts from the national environmental ministries are strongly motivated to work with PRTRs and clearly see the benefits the reporting systems bring. National political decision makers, however, are further away from the reporting processes in which the PRTRs would support national environmental ministries (National reporting + Stockholm and Aarhus conventions). Frequent changes of ministers in the ministries of Environment of the main Project countries have not strengthened the national Project commitment. At the same time, the PRTR Phase I and Phase II project are well received at national level. This was officially stated at the last Steering Committee and in bilateral contacts with UNEP. It is expected that over time more of the Project countries will move forward and show the required country ownership and driven-ness in support of PRTR implementation. Possibly extra motivated by the wish to become a member country of OECD.

Rating of Country ownership and driven-ness – SATISFACTORY (S)

6.6 Communication and public awareness

230. The Project included a series of activities to raise public awareness and improve communication on pollution releases and transfers. According to the Final Project report and the evaluation interviews, civil society organizations and journalists were trained on the subject of PRTRs, publications on PRTRs and POPs were published, and relevant stakeholders were involved with the important Project meetings and workshops. Reports of stakeholder trainings in Chile were annexed to the Final Report. However, with the incomplete Project documentation it is difficult to get a clear picture of the quality of the Project's overall communication and public awareness activities.

Rating of Communication and public awareness – NOT RATED due to the limited information available

Overall rating of Factors affecting performance – NOT RATED due to the limited information available

7. Conclusions and Recommendations

231. Despite a delayed start caused by administrative difficulties in the formalization of MoUs between UNITAR and the Project countries, the Terminal Evaluation has found that the Project played a key role to support Chile, Cambodia, Ecuador, Kazakhstan, Peru and Ukraine in the development of national PRTRs.

232. Project countries have received: appropriate tools to monitor progress made on protecting human health and the environment from POPs threats, and an enhanced capacity to meet SC obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR. Without the initiative of the Project the involved countries would not have been able to achieve these important results.

233. Chile's PRTR is officially implemented and fully in use for national reporting as well as for POPs reporting and monitoring since 2013. The implementation of Chile's PRTR is seen in the country as a major achievement and enabled amongst others the country to become an OECD member in 2010. On 27 January 2020, Kazakhstan acceded to the UNECE Protocol on PRTRs of the Aarhus Convention. The country is preparing to follow the example of Chile. Reporting to the national PRTR will become obligatory, after the adoption of the country's new Environmental Codex.³²

234. Next to Chile, the five main Project countries - Cambodia, Ecuador, Peru, Kazakhstan and Ukraine have developed a PRTR system designed as a tool for POPs monitoring and reporting. It has to be acknowledged that not all systems are fully developed and ready for use. National governments endorsed the PRTRs in support of swift implementation under the Phase II project. Notwithstanding reported positive developments within the Project countries, national implementation is still pending today.

235. The Evaluation has found that capacity building and training activities carried out within the framework of the Project were commonly seen as highly relevant and successful. In Cambodia, Chile and Peru PRTR working groups still function today. Stakeholder involvement activities and awareness raising were well appreciated and seen as successful.

236. With the lack of clarity about the current status of the regional PRTR initiative, it is difficult to assess the quality of the PRTR regional assessment in Central America.

237. Regarding the thematically cross-cutting lessons learned component of the Project, the Terminal Evaluation has found country ownership and the political will to carry through the required decisions in support of PRTR implementation as one of most important themes of the Project (*See also **Question D** below*).

³² During the data collection phase of the Terminal Evaluation adoption of the new Kazakh Environmental Codex was expected to take place towards the end of 2020, beginning of 2021.

238. In addition to the above conclusions this Terminal Evaluation of the Project is required to especially find answers to the following set of key strategic questions:

- A. In what ways, and to what extent, was the Project able to demonstrate the feasibility of using the PRTR system as a national and regional reporting system for chemicals management?
- B. It was expected that countries with more advanced POPs and chemicals monitoring and reporting systems in place would technically assist and advise less advanced countries. To what extent does the evidence suggest that a) information exchange among participating countries and identification of good practices was adequate and b) south-to-south cooperation in PRTR development was promoted?
- C. In what ways, and to what extent, was the Project able to support participating countries to develop and/or implement the national institutional frameworks and information dissemination mechanisms that are required to sustain their PRTR systems?
- D. In what ways, were recommendations and key lessons learned from the implementation of this Project taken into consideration in the PRTR Phase II Project and is there any evidence available to support this?

239. As an answer to **Question A)** the Terminal Evaluation has found that the Project was very well able to demonstrate the feasibility of using the PRTR system as a national and international reporting system for chemicals management. Especially the Project design with Chile as the more experienced frontrunner, that officially started using its national PRTR system as national and international reporting system for chemicals management in 2013, enabled the Project to clearly demonstrate the value of PRTRs. The feasibility of national PRTR reporting was demonstrated by the fact that starting from 2013 all relevant national polluting objects report to Chile's eight national environmental authorities through a single window in Chile's PRTR. The feasibility of international reporting was demonstrated by the fact that Chile's national Stockholm Convention office collects the PRTR data on POPs listed in the convention and adds the additional information on releases that is not included in the PRTR as a basis for Chile's national report to the SC Secretariat. The Terminal Evaluation has not found evidence for the feasibility of a regional reporting system in the Central American component of the Project.

240. Regarding **Question B)** the evaluation has found that indeed Project countries with more advanced POPs and chemicals monitoring and reporting systems in place have technically assisted and advised less advanced countries. Representatives from different more experienced countries shared their experience with other countries. (See also Section 5.6. 'Efficiency') In answer to the **sub-question a)** whether information exchange among participating countries and identification of good practices was adequate, it can be said that the approach of two levels of experience (with Chile as a frontrunner) was quite successful and created circumstances in which well experienced experts from the Project countries could support colleagues overseas. As for **sub-question b)** whether South-South cooperation in PRTR development was promoted, it is important to state that according to the evaluation interview respondents South-South cooperation via peer review mechanisms worked unexpectedly well and was experienced as inspiring. (See also sections: 5.4.2 'Achievement of. Project outcomes [Outcome 4]' and 5.6. 'Efficiency')

241. With respect to the development of national institutional frameworks and information dissemination mechanisms that are required to sustain their PRTR systems highlighted in **Question C** the evaluation concluded that next to Chile, the five main Project countries Cambodia, Ecuador, Peru, Kazakhstan and Ukraine have developed a PRTR system designed as a tool for POPs monitoring and reporting. Not all systems, however, are fully developed and ready for use³³ (See also sections 5.4.2 'Achievement of Project outcomes [Outcome 2]' and 5.4.3 'Likelihood of impact'). Actual implementation of national institutional frameworks in support of national and international PRTR reporting has only been achieved in Chile in 2013 and is underway in Kazakhstan. (See also sections 5.4.2 'Achievement of Project outcomes [Outcome 1]', 5.4.3. 'Likelihood of impact' and 5.8.3 'Institutional sustainability')

242. In answer to **Question D)** the Project's lessons learned report and the evaluation interviews provided insight in what the most important lessons were eight years ago and what was done respectively to make sure they were used in the design of and the preparations for the PRTR Phase II project. As the Phase I project clearly demonstrated how important country ownership was, UNEP required in advance of Phase II confirmation that the decision makers were ready to demonstrate a strong political will to adopt all required technical and legal documents in support of future PRTR implementation. (See as well sections 5.4.2 'Achievement of Project outcomes [Outcome 4]', 5.4.3. 'Likelihood of impact', 5.8.1 'Socio-political sustainability' and 6.5. 'Country ownership and driven-ness').

243. Another important lesson learned from the Project implementation was the fact that for those countries for whom the concept of PRTRs was entirely new, one project was not enough to prepare them up to the required level for PRTR implementation. The lessons learned from the project concluded that a lot of capacity building and other important groundwork had been carried out during the Phase I Project. As stated in the evaluation interviews, national partners appreciated the effectiveness of experience exchange and South-South cooperation as opposed to traditional training programmes. The Phase II Project features this form of capacity building as an important aspect of the Project design. (See also sections: 5.4.2 'Achievement of Project outcomes [Outcome 4]' and 5.6. 'Efficiency').

244. Integration of Project activities with other initiatives such as national obligations under the Stockholm and Aarhus Conventions and the international initiative to foster sound chemicals management SAICM is mentioned in the evaluation interviews as an important aspect of successful Project implementation. The Phase II Project repeated the approach in a more systematic way. (See also section 5.4.2 'Achievement of Project outcomes [Outcome 4]')

245. As described above the Terminal Evaluation has found that the Project was able to successfully demonstrate the feasibility of using the PRTR system as a national and international reporting system for chemicals management.

246. Following the ToR of this Terminal Evaluation ratings are given to different aspects of Project preparation and implementation, however, due to the limited information available

³³ It is important to note that the Project's objective was limited to the design of PRTRs in the main Project countries. Implementation was only an objective for the frontrunner Chile.

from the Project archives and stakeholders, especially on Outcome 3 not for all aspects of the project ratings can be given. As a consequence, it is also not possible to assign an overall rating for the quality of Project implementation. (*For a summary table of the evaluation ratings see Table 11 below*).

Table 11. Summary table of evaluation rating

Criterion	Summary assessment	Rating
A. Strategic relevance	The Project positioned its activities very well in line with prior and current national, regional and international PRTR initiatives and the Stockholm and Aarhus conventions (<i>Section 5.1</i>)	HS*
Alignment with MTS and POW	The Project was well aligned with the draft Medium-Term Strategy for 2010–2013 (<i>Section 5.1.1</i>)	HS
Alignment with UNEP/ GEF Donor Strategic priorities	The evaluation has found that the Project was in well line with UNEP / GEF Donor strategic Priorities. (<i>Section 5.1.2</i>)	HS
Relevance to regional, sub-regional and national priorities	Next to the Project countries agenda to comply with the obligations under the Stockholm and Aarhus conventions, the Project is relevant to a series of different national priorities (<i>Section 5.1.3</i>)	HS
Complementary with existing interventions	The evaluation has found that the Project was complementary with prior and current PRTR development support initiatives. (<i>Section 5.1.4</i>)	HS
B. Quality of Project design	The Project has a comprehensive, coherent logical framework that contributes towards the Project objective in both content and process. Not all stakeholders are properly identified in advance of the Project implementation and awareness raising and communication with stakeholders could have been more integrated in the planned Project activities. The original planned timeframe was too short. (<i>Section 5.2</i>)	S
C. Nature of the External Context	Notwithstanding political unrest in some of the Project countries and an earthquake in Chile, the nature of the external context was Moderately Favourable for the context. (<i>Section 5.3</i>)	MF
D. Effectiveness	The evaluation has found that the Project has produced important the programmed outputs and outcomes. However, Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for effectiveness cannot be given. (<i>Section 5.4</i>)	Not rated
Delivery of outputs	The Project has (with several delays) produced the programmed outputs. However, as not all output materials were available for the evaluation and Central American Project partners were not available to discuss the quality and status of the delivered outputs an overall rating for delivery of outputs cannot be given. (<i>Section 5.4.1</i>)	Not rated
Achievement of direct outcomes and Project outcomes	The Project has successfully produced important direct and Project outcomes faithful to the Project description. However, Due to the limited information available from the Project archives	Not rated

Criterion	Summary assessment	Rating
	and stakeholders, especially on Outcome 3 an overall rating for achievement of direct outcomes and Project outcomes cannot be given (<i>Section 5.4.2</i>)	
Likelihood of impact	Impact in Chile (and Kazakhstan) is clear, in the other Project countries impact will strongly depend on future political decision making. Impact in CA countries is unclear. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for the likelihood of impact cannot be given (<i>Section 5.4.3</i>)	Not rated
E. Financial management	Project reports suggest that Project finances (although delayed) were well administered. (<i>Section 5.5</i>)	MS
Completeness of financial information	Although not all documents were properly archived, the evaluation has found that the Project complied with UN Environment financial requirements and procedures (<i>Section 5.6</i>)	MS
Communication between finance and project management staff	The evaluation has found that the financial reporting was not always on time, but the required information was provided. (<i>Section 5.5</i>)	S
F. Efficiency	Frequent changes of the staff assigned to the Project as coordinator at UNITAR and long administrative procedures within both UNEP and UNITAR have not contributed to the efficiency of the Project. At the same time, the Project did demonstrate Efficiency in making use of and following up on the combined existing national and international PRTR initiatives. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Efficiency cannot be given. (<i>Section 5.6</i>)	Not rated
G. Monitoring and reporting	On Monitoring and reporting the evaluation has found that the monitoring was not of the required quality and reports were often late. Based on a lack of information it is not possible to assess if a well-functioning monitoring system was in place (<i>Section 5.7</i>)	Not rated
Monitoring design and budgeting	The evaluation has found that a well elaborated monitor plan including the needed budget was in place, (<i>Section 5.7.1</i>)	S
Monitoring implementation	The evaluation could not interview UNITAR Project staff that coordinated the Project. The delay in Project implementation, the fact that no mid-term review was carried out and the Terminal Evaluation forgotten, do not suggest that the Project monitoring during implementation was adequate. There is some evidence of adaptive management resulting based on reporting and Steering Group Meetings Based on a lack of information it is not possible to assess if a well-functioning monitoring system was in place. (<i>Section 5.7.2</i>)	Not rated
Project reporting	There were delays in the reporting throughout the lifetime of the Project. The reporting itself was of good quality but incomplete (<i>Section 5.7.3</i>)	Not rated

Criterion	Summary assessment	Rating
H. Sustainability	The efforts of Project of most Project country stakeholders to secure Project sustainability are regarded by the evaluator as satisfactory. Chile (and Kazakhstan) have demonstrated clear sustainability of the Project initiative through government investments in PRTR. The other main countries demonstrated fewer clear signs of sustainability of the PRTR initiative. However, the aim of becoming OECD member and bilateral talks with UNEP suggest a certain likelihood of sustainability. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Sustainability cannot be given. (Section 5.8)	Not rated
<i>Socio-political sustainability</i>	The evaluation found that the sustainability of the Project is very much dependent on socio-political circumstances. In Chile and Kazakhstan clear socio-political commitment is demonstrated to sustain the Project initiative. In the main other Project countries tentative signs of such a commitment are reported. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Socio-political sustainability cannot be given. (Section 5.8.1)	Not rated
<i>Financial sustainability</i>	Government investments in support of PRTR implementation have been demonstrated in Chile and Kazakhstan. In other Project countries investments are still an open question. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Financial sustainability cannot be given. (Section 5.8.2)	Not rated
<i>Institutional sustainability</i>	Chile and Kazakhstan have demonstrated institutional sustainability. Technical experts within the environmental ministries and key PRTR stakeholders in the main Project countries have demonstrated a strong commitment to work with the reporting system. However, without political commitment PRTRs will not become part of the national legal framework and the initiative will be not sustained. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Institutional sustainability cannot be given. (Section 5.8.3)	Not rated
I. Factors affecting performance	The evaluation has found that the Project in some aspects dealt in a satisfactory way with factors affecting its performance. However, due to the limited information available from the Project archives and stakeholders an overall rating for Factors affecting performance cannot be given. (Section 6)	Not rated
<i>Preparation and readiness</i>	The evaluation has found that on the subject of PRTRs the Project prepared well for implementation. At planning and managerial level, however, the required quality should have been better. On the content level most of the main countries were ready to work with this new	Not rated

Criterion	Summary assessment	Rating
	tool. Regarding the Central American countries there is not enough information available to assess their preparation and readiness. (Section 6.1)	
Quality of Project management and supervision	The quality of Project management and supervision was should have been better. (Section 6.2)	U
Stakeholder participation and cooperation	There were problems with the identification of NGO partners in some countries, but in general the quality of stakeholder participation was found to be good in the main Project countries. Due to the limited information available from the Project archives and stakeholders, especially on Outcome 3 an overall rating for Stakeholder participation and cooperation cannot be given. (Section 6.3)	Not rated
Responsiveness to human rights and gender equity	Human rights and gender equity were not a priority when the Project was developed. Also during implementation, it has not been given extra attention. (Section 6.4)	Not rated
Country ownership and driven-ness	Chile (and ultimately Kazakhstan) have demonstrated strong country ownership and drivenness. The other main Project partners to a lesser extent (Section 6.5)	S
Communication and public awareness	Based on the incomplete Project documentation an overall rating of the communication with key Project stakeholders cannot be given.	Not rated
Overall Project rating:	NOT RATED	

*Satisfactoriness: Highly Satisfactory (HS); Satisfactory (S); Moderately Satisfactory (MS); Moderately Unsatisfactory (MU); Unsatisfactory (U); Highly Unsatisfactory (HU). **Sustainability, ***Likelihood of impact: Highly Likely (HL); Likely (L); Moderately Likely (ML); Moderately Unlikely (MU); Unlikely (U); Highly Unlikely (HU).

7.1 Lessons learned

247. The most important lessons that are discussed throughout this Terminal Evaluation are shortly summarized in the section below.

Lesson 1. *A realistic timeframe for the implementation of Project activities is important to ensure the quality of the Project initiative; rather be pessimistic than optimistic in the assessment of the time needed for implementation, because especially practical and administrative procedures tend to take more time than expected.*

Context from which lesson is derived:

The evaluation found that the original time frame of two years for the implementation of the Project was rather optimistic. Starting up international projects takes usually time. Much time is needed to overcome typical administrative problems of international cooperation and specific country difficulties to get an MoU in place and start-up Project activities. Especially in the first phase of the Project it is important that the executing agency assigns enough time to make sure that the MoUs are in line with national requirements and executing agency policies and regulations. Next to that it is important that the necessary requirements for reporting and funds transfer are clear and that the application of reporting rules functions as required. With this mechanism in place further challenges are easier to deal with. In the first phase of this Project the required guidance seemed not to be fully available. (See also sections 3.5. 'Changes in design during implementation', 5.3 'Nature of External Context' and 5.6. 'Efficiency')

Contexts in which lesson may be useful:

Development of future UNEP Mid-Size projects.

Lesson 2. *The two levels of experience approach of the Project, with one country as a frontrunner paired with a group of others that are at a lower level of accomplishment can provide effective opportunities for experience and knowledge sharing.*

Context from which lesson is derived:

In the evaluation interviews country coordinators stated that the two levels of experience (with Chile as a frontrunner) was well appreciated by Project partners. The example of Chile inspired the main Project countries in how to design their national PRTRs. The approach allowed for the inclusion of more peer review capacity building (South-South cooperation) as opposed to traditional training. (See also sections 5.6. 'Efficiency' and 6.1 'Preparation and readiness')

Contexts in which lesson may be useful:

Development of future UNEP projects, where such a difference in national experience exists and can be used in the Project design.

Lesson 3. *Acquiring relevant technical expertise during Project preparation in terms of the availability of the required technical experts is key to ensure the quality of the Project's capacity building activities.*

Context from which lesson is derived: The evaluation found that South-South cooperation organized within the framework of this Project was experienced as very positive. Project partners found the experience of a more experienced country in their region more relevant than experience from developed countries. However, Project partners struggled with the fact that at times technical and legal experts were not available from the UNITAR roster when they needed them. As many national experts that participate in Project capacity building and training programmes do not speak English, the language skills of the technical experts on the roster should be seen as an important priority. (See also sections 5.4.2 'Achievement of Project outcomes' and 5.6. 'Efficiency')

Contexts in which lesson may be useful: When preparing for Project execution during inception phase of future UNEP projects.

Lesson 4. *High level representation from IA and EA in targeted advocacy meetings with national decision makers in Project activities is an effective way to strengthen country commitment to Project objectives and reinforce the sustainability of the Project intervention.*

Context from which lesson is derived: The evaluation revealed that country ownership among political decision makers and the will to endorse and adopt the required technical and legal documents in support of PRTR implementation is the central point in this Project for the achievement of Project outcomes intermediate states and intended impact. As national decision makers have to operate in a complex political field with a broad variety of interests, they need to be well aware of the value in terms of e.g. data reliability and cost-effectiveness that the proposed technical and legal measures can bring to their country. The authority of UNEP and UNITAR (or another EA) is expected to strengthen that message. (See also sections 4 Theory of Change, 5.4.2.1. Achievement of Direct outcomes and Project outcomes, 5.4.2.2. Achievement of Project outcome 2 and 5.4.3. Likelihood of impact)

Contexts in which lesson may be useful: Development of future UNEP projects that propose endorsement and adoption of policy and legal frameworks.

Lesson 5. *Rather than engaging a large number of countries into one global project, evenly distributed regional representation of a limited number of countries across the different continents can help to put certain issues on the global agenda; moreover, a too large number of participating countries includes the risk that the project will lose the required focus.*

Context from which lesson is derived: The total number of countries involved in the Project was 13. The evaluation was unable to assess with the required level of confidence how successful the Central American feasibility study with activities in Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua was. An important reason for this is the fact that the evaluation is carried out eight years after the Project ended and that the relevant Central American stakeholders could not be reached. At the same time it should be mentioned that the Central American feasibility

study was an entirely separate component in a Project, where the main focus was on adoption of PRTR in Chile and endorsement of PRTR design in Cambodia, Chile, Ecuador, Kazakhstan, Peru, Thailand³⁴ and Ukraine. It is expected that the Central American component would have had more focus and would have been managed with more attention when it was carried out as a separate project. (See also sections 5.2. 'Quality of Project design', 5.4.1. 'Delivery of outputs', 5.4.2 'Achievement of Project outcomes', 5.4.3. 'Likelihood of impact', 5.5. 'Financial management', 5.6. 'Efficiency' and 5.8.1 'Socio-political sustainability')

Contexts in which lesson may be useful:

Development of future UNEP projects

³⁴ Thailand decided to withdraw from the Project in 2011.

7.2 Recommendations

248. Considering the scope of the evaluation and based on the main findings, conclusions and lessons learned, the recommendations presented here are addressed to UNEP as the Implementing Agency and UNITAR as the Executing Agency of the project *POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)*.

Recommendation #1:	<i>Use all bilateral and international meetings (such as the 10th SC COP in 2021) with 3348 Project countries to keep the issue of political decisions on the support of national PRTR implementation high on the national agenda of those countries, and make efforts to ensure that current and new ministers of environment are well informed about the value of PRTRs in terms of e.g. data reliability, cost-effectiveness and OECD membership.</i>
Context/comment:	<p>The evaluation has found that many experts from the national environmental ministries in Project countries are strongly motivated to work with PRTRs and clearly see the benefits that the reporting systems bring. However, the frequent changes of ministers in the main Project countries have not strengthened national Project commitment. New ministers have different experiences and often different priorities. Such circumstances potentially can negatively affect the sustainability of the Project initiative. In turn, diplomatic advocacy initiatives from the side of UNEP and UNITAR could reinforce political decision making in support of PRTR implementation in main Project countries that have not yet taken the decision to implement the PRTRs designed within the framework of this Project.</p> <p>A separate issue is the unclear status of PRTR developments in Central America. It is suggested to use possible bilateral and international meetings to clarify what has been achieved in the Central American Project countries.</p>
Priority Level ³⁵:	Opportunity for improvement to strengthen the sustainability of the Project initiative
Type of Recommendation	Project
Responsibility:	Implementing Agency UNEP and executing agency UNITAR

³⁵ Priority level are described as follows:

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

Important recommendation: address reportable deficiencies or weaknesses in governance, risk management or internal control processes, such that reasonable assurance might be at risk regarding the achievement of programme objectives.

Opportunity for improvement: comprise suggestions to improve performance that do not meet the criteria of either critical or important recommendations.

Proposed implementation time-frame:	10th SC COP in Geneva, 19 July to 30 July 2021 and other possible occasions.
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Recommendation #2:	<i>Promote an organisational culture for robust document control for completed, ongoing and future projects. This is not only relevant for Monitoring and Evaluation, but also for the further development of organizational knowledge and learning systems and UN historiography.</i>
Context/comment:	The evaluation has found that not all relevant Project documents were available eight years after the Project was completed. Without a proper document control and archiving system there is a risk that valuable information will be lost.
Priority Level:	Opportunity for improvement
Type of Recommendation	Institutional
Responsibility:	Implementing Agency UNEP and executing agency UNITAR
Proposed implementation time-frame:	-

Annex 1. Terms of Reference for the Terminal Evaluation

Section 1: PROJECT BACKGROUND AND OVERVIEW

a. Project General Information

Table 1. Project summary

GEF Project ID:	3348	IMIS number	GFL-2328-2760-4A26
Implementing Agency:	United Nations Environment Programme (UNEP)	Executing Agency:	United Nations Institute for Training and Research (UNITAR)
Sub-programme:	Chemicals, Waste and Air Quality	Expected Accomplishment(s):	...
UNEP approval date:	February 2009	Programme of Work Output(s):	...
GEF approval date:	October 2008	Project type:	Medium-size Project (MSP)
GEF Operational Programme #:	GEF 4 – OP14	Focal Area(s):	Persistent Organic Pollutants (POPs)
Relevant SDG(s) and indicator(s):	Sustainable Development Goal targets 3.9, 6.3, 9.4, 12.4, 12.5, 12.8, 16.10	GEF Strategic Priority:	POPs-SP1
Expected start date:	October 2008	Actual start date:	January 2009
Planned completion date:	October 2010	Actual operational completion date:	September 2012
Planned project budget at approval:	USD 3,454,320	Actual total expenditures reported as of June 2011:	USD
GEF grant allocation:	USD 950,000	GEF grant expenditures reported as of June 2011:	USD 782,555.60
Project Preparation Grant - GEF financing:	n/a	Project Preparation Grant - co-financing:	n/a
Expected Medium-Size Project/Full-Size Project co-financing:	USD 2,504,320	Secured Medium-Size Project/Full-Size Project co-financing:	USD 3,248,320
First disbursement:	January 2009	Planned date of financial closure:	December 2012
No. of formal project revisions:	1	Date of last approved project revision:	March 2010
No. of Steering Committee meetings:	?	Date of last/next Steering Committee meeting:	Last: March 2011
Mid-term Review/ Evaluation (planned date):	November 2009	Mid-term Review/ Evaluation (actual date):	?
Terminal Evaluation (planned date):	Q1 2013	Terminal Evaluation (actual date):	Q1 2020
Coverage - Country(ies):	Cambodia, Chile, Ecuador, Kazakhstan, Peru, Thailand, Ukraine, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua	Coverage - Region(s):	Global
Dates of previous project phases:	n/a	Status of future project phases:	PRTR II (GEF 5648) Completed in December 2019

b. Project rationale

The Stockholm Convention (SC) on Persistent Organic Pollutants (POPs) requires Parties to exchange information (article 9), facilitate public information, awareness and education (Article 10) report to the Secretariat (Article 15) and periodically update implementation plans (Article 7). Article 10 explicitly

acknowledges the value of Pollutant Release and Transfers Registers (PRTRs)³⁶ for the collection and dissemination of information on estimates of annual quantities of chemicals listed in Annex A, B or C, that are released or disposed of. SC Parties are required to report on the overall management of POPs and quantities at certain intervals and PRTRs are designed to assist Parties collect this information faster and in a more cost-effective way. PRTRs act as a central database and are recognized as a robust and comprehensive data-recording system on pollutants, which is also able to record annual information and to gather temporal data for a large number of chemicals. PRTRs also provide a publicly accessible system that can assist governments to disseminate information on POPs and other chemicals in a systematic and effective manner.

The “POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers” (hereinafter referred to as “project”) was a global pilot project that was expected to demonstrate the value of using PRTRs as a monitoring and reporting system for POPs at the country level. This was undertaken in three countries in the Latin America and the Caribbean (LAC) region, two countries in the Central and Eastern Europe (CEE) region and two countries in Asia, as well as at the regional level involving five Central American countries.

All participating countries had indicated a desire to enhance their national capacity for monitoring and reporting to the Stockholm Convention in their National Implementation Plans (NIP), and had expressed their willingness to use PRTRs as a preferred environmental tool to comply with SC requirements. However, the main challenges regarding the above mentioned intentions were: lack of data collection systems; lack of a strategy to update NIP and inventory information; ad hoc access to information; lack of a feasible and sustainable system to report to the SC Secretariat; and lack of a productive relationship with target sectors to enable a comprehensive reporting.

This project, considered as PRTR Phase I, was funded by GEF, implemented by UNEP and executed by UNITAR from 2009 to 2012. This phase led to the completion of national infrastructure assessments in the participating countries, detailing chemicals used in each country, the legislative and institutional basis for PRTRs, existing environmental emissions reporting, mechanisms for public access to data, and other activities related to PRTRs. PRTR Phase II (GEF ID 5648) was later designed to implement a PRTR in six countries, namely Belarus, Cambodia, Ecuador, Kazakhstan, Moldova and Peru. Its objective was to improve access and accuracy of environmental data on POPs and other priority chemicals in these 6 countries, and to enhance awareness and public participation on environmental matters, through implementation of fully operational national PRTRs. Replicable elements and products would then be available for other SC Parties and evidence of good practice and materials would help to facilitate replication in other parts of the world.

For PRTR Phase 1 GEF funds were used to fund the **incremental cost** of adapting PRTRs to be compatible with SC requirements and obligations in terms of monitoring and reporting; to exchange lessons learned and good practices in using PRTRs as a POPs monitoring tool; and to produce a report on good practices on monitoring and reporting for the SC using PRTRs. The project included a strong technical component that was addressed through an extensive training programme involving key stakeholders. The project also included a wide group of countries at different stages of PRTR development and in different regions and conditions. The basic criteria to select the participating countries in this project was based on NIPs completed with POPs monitoring and reporting system clearly indicated as a country priority. The project implemented a PRTR in Chile; designed a PRTR in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine; and conducted a study in six Central American countries (i.e. Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras and Nicaragua) on the feasibility of a PRTR system as a regional reporting system for chemicals management. Additional elements taken into account in the selection process were the regional representation (3 regions, 7 countries), chemicals monitoring and reporting systems at different levels, and level of industrialization. It was expected that countries with more advanced POPs and chemicals monitoring and reporting systems in place would technically assist and advice less advanced countries. Information exchange among participating countries and identification of good practices was an

³⁶ A PRTR is a catalogue or database of multimedia (air, water and land) releases and transfers of potentially harmful chemicals, including information on the nature and quantity of such releases and transfers.

integral part of this project and the diverse level of PRTR development in selected countries was expected to encourage south-to south cooperation.

c. Project objectives and components

According to the Project Document, the overall goal of the project was to reduce POPs and other chemicals releases. This would be achieved by (*main objective*) **assisting participating countries to meet SC obligations relating to reporting, information exchange and public awareness through the implementation of a PRTR**. To achieve the overall goal and objective above, the activities of the project were grouped into a series of **six components and specific objectives** as summarised below:

Table 2: Summary of Project components, objectives, planned activities and outputs*

Project Component	Specific Objectives	Activity	Outputs
Component 1: Project management and supervision	Objective 1: to set up a project management and supervision regime	1.1 Operate project management, review, monitoring and evaluation regime	
Component 2: Implementation and use of PRTRs as a model for POPs reporting and monitoring system	Objective 2: to implement and use PRTRs in Chile as a model for POPs reporting and monitoring	2.1 Legal framework development 2.2 National technical capacity enhancement 2.3 Public Information, dissemination to main Stakeholders 2.4 Information Exchange Scheme	PRTR operational and functioning
Component 3: Design a PRTR system in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine	Objective 3: to design PRTRs for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine	3.1 Identify goals and objectives of a National PRTR system 3.2 Assessing the existing infrastructure relevant to PRTRs 3.3 Designing the key features of a National PRTR 3.4 Conducting a PRTR pilot test 3.5 Finalizing a national PRTR proposal 3.6 National Workshop on PRTR proposal implementation	PRTR designed in each country to comply with SC obligations on POPs reporting and monitoring
Component 4: Regional assessment of reporting systems for POPs and other chemicals in Central American countries (Costa Rica, El Salvador, Guatemala, Honduras and Nicaragua)	Objective 4: to assess regional reporting systems in Central America for POPs and other chemicals	4.1 National Execution 4.2 Regional Assessment Study 4.3 Pilot demonstration in two countries	Regional assessment for PRTRs as monitoring and reporting system for the SC available
Component 5: Identification of good practices, lessons learned and replicable elements in POPs monitoring and reporting	Objective 5: Identification of Good practices and Sharing Lessons learned in POPs monitoring and reporting	5.1 Development and/or update of global guidelines for POPs monitoring and reporting systems 5.2 Identification of lessons learned and good practices 5.3 Meetings on lessons learned and good practices	Lessons learned and good practices report produced
Component 6: Monitoring and Evaluation Programme	Objective 6: Development of a Monitoring and Evaluation Programme	6.1 Steering Committee Meetings 6.2 Monitoring and Evaluation Programme – External evaluation	

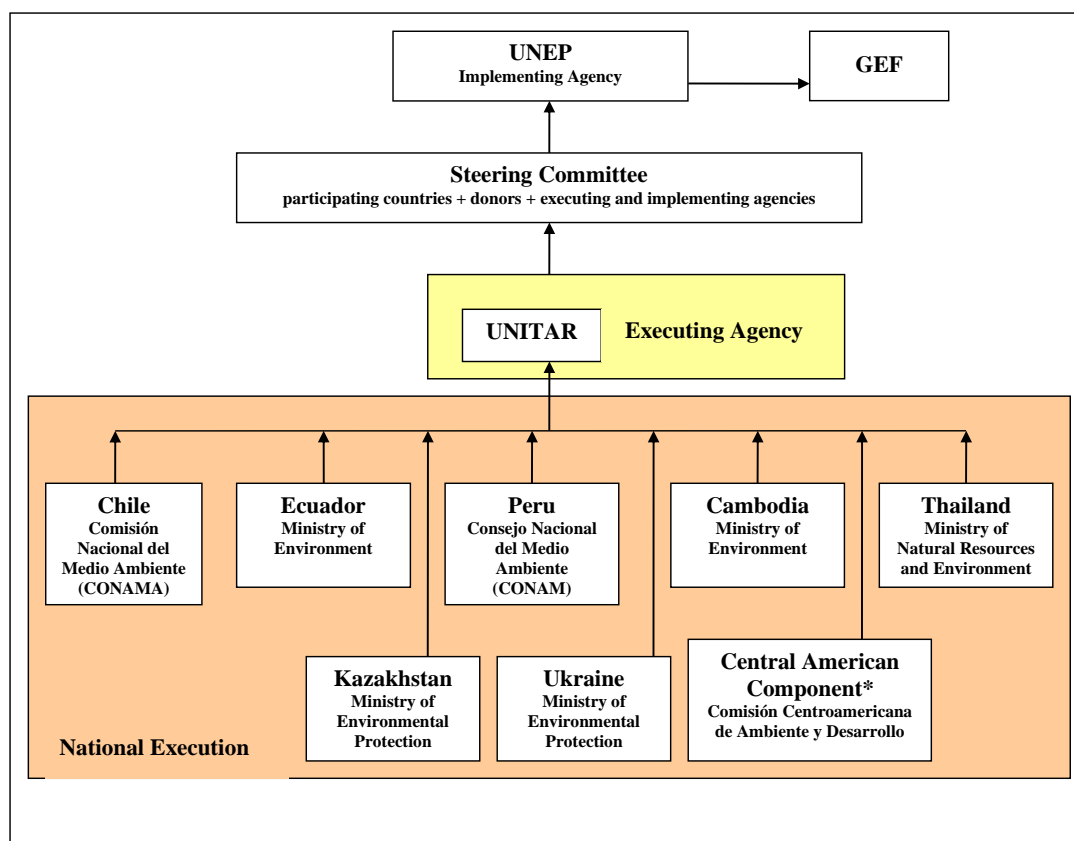
* Based on Prodoc 28-08-2008

d. Executing Arrangements

UNEP was the GEF **Implementing Agency** and UNITAR was the **Executing Agency** for the project. As part of its implementing role, UNEP supervised and provided administrative support to the Executing Agency. UNITAR was responsible for the project execution and its activities on a day-to-day basis. UNITAR established the necessary managerial and technical teams to execute the project and hired regional consultants necessary for technical activities. UNITAR was also responsible for organizing

independent audits to guarantee the proper use of GEF funds. Financial transactions, audits and reports were carried out in accordance with UNEP procedures, and UNITAR submitted administrative, progress and financial reports to UNEP. A **Project Team** was established within UNITAR, headed by a **Project Coordinator**. The Project Team was in charge of the day-to-day management of the project and reported to both UNEP and the Project Steering Committee. A **National Focal Point**, responsible for coordination of national level activities, was nominated by each participating country and was required to report regularly to the Project Coordinator. A **Project Steering Committee** was formed to meet at the beginning, in the middle and at the end of the project. The Steering Committee was formed by donors, Implementing Agency and Executing Agency, and other country executing agencies. The Steering Committee was responsible for assessing progress made and for taking the necessary measures to ensure project objectives and goals are achieved. Diagram 1 below illustrates the institutional arrangements for project implementation.

Diagram 1: Decision making flowchart and Organigram



UNITAR worked together with other partners to create synergies and increase the benefits of the project. These included: Federal Office for the Environment (FOEN) of Switzerland; United States Environmental Protection Agency (US EPA); United Nations Economic Commission for Europe (UNECE); the Stockholm Convention Secretariat; SAICM Secretariat and the SAICM Quick Start Programme Trust Fund (QSPTF); GRID-Arendal; UNIDO; and the Government of Canada

e. Project Cost and Financing

The project falls under the medium-size project (MSP) category, with a GEF allocation of **US\$ 950,000**. At project design, the expected co-financing support (cash and in-kind) from various partner organisations and participating countries was **US\$ 2,504,320**. This brings the estimated total cost of project to the amount of **US\$ 3,454,320**. The project budget by source and by component is presented in Tables 2 and 3 below respectively.

Table 2: Estimated project budget by funding source

Source	Amount (US\$)
GEF Trust Fund	950,000
Total Co-financing	2,504,320
<i>Switzerland (POPs and Mercury Project support)</i>	<i>380,000</i>
<i>USEPA (Mercury project in Chile, Panama and Ecuador)</i>	<i>350,000</i>
<i>USEPA (Central American assessment)</i>	<i>174,200</i>
<i>QSPTF (Kazakhstan and Cambodia)</i>	<i>100,800</i>
<i>GRID-Arendal</i>	<i>200,000</i>
<i>UNECE</i>	<i>12,000</i>
<i>UNITAR</i>	<i>100,000</i>
<i>Chile</i>	<i>600,000</i>
<i>Canada POPs Fund</i>	<i>250,000</i>
<i>UNIDO</i>	<i>10,000</i>
<i>UNEP DTIE</i>	<i>20,000</i>

Source	Amount (US\$)
Countries (Ecuador, Peru, Thailand, Cambodia, Kazakhstan, Ukraine)	307,320
TOTAL PROJECT COST	3,454,320

Table 3: Estimated project budget by component (USD)

Project Component	GEF (US\$)	Co-financing (US\$)
1 Project Management and Supervision	95,000	435,800
2. Implement and use a PRTR as a model for POPs reporting and Monitoring system	150,000	767,200
3. Design a PRTR system for POPs monitoring and reporting in Cambodia, Ecuador, Kazakhstan, Peru, Thailand and Ukraine	439,000	922,320
4. Regional Assessment of reporting systems for POPs and other chemicals in Central America	0	146,200
5. Identification of Good practices and sharing lessons learned in POPs monitoring and reporting	241,000	232,800
6. Monitoring and Evaluation Programme	25,000	0
Total Project Cost	950,000	2,504,320

f. Implementation Issues

The project was implemented between January 2009 and September 2012 (initially intended to run from 2008-2010). The project's First Steering Committee Meeting and Inception Workshop were held in June 2009 and the Second Steering Committee was in March 2011. The Terminal report was completed in December 2012.

One of the major causes of delay in the project was the conclusion of agreements (MoUs) between UNITAR and the partner countries, specifically in Ecuador. These delays were caused by internal administrative procedures out of the control of the Executing Agency. Another challenge was the lack of substantive and project management capacities at the national level to undertake the project. International assistance on the coordination of national activities and substantive support required more efforts than originally planned. Another factor that challenged the project success was the high turnover of project coordinators in UNITAR during the lifespan of the project, which further contributed to the delays experienced in the project. The project also experienced considerable delays in the development of guidance materials by the Executing Agency. The updating of these materials only took place in 2011 and could not be pilot tested in countries. According to the Terminal Report, the Executing Agency concentrated more on the national activities to the detriment of the global component. These among other causes of delays undermined the project outcomes and triggered the change of the project's workplan and the associated milestones for outputs delivery.

Upon request of the Pollution Control Department, Thailand decided to withdraw due to various administrative barriers to appropriately implement the project, and because they had another project with JICA on PRTRs so there was no need of the GEF component. The project in Thailand was subsequently terminated in 2011.

Global projects always represent a challenge in terms of coordination as not all countries respond at the same speed and some products are dependent on the synchronized results from all countries. This can cause loss of momentum and a gap in terms of sharing experiences among participating countries (countries not being at the same level). During implementation, the project had to adapt to the different national situations and realities. While some risks could be easily anticipated, others could not be predicted, and they required adaptive management. During the project's lifespan some national situations (e.g. earthquake in Chile, political demonstrations in Thailand, etc.) created implementation challenges. However, the management team was able to adapt enough to cope with the ensuing situations.

By the end of the project, all countries (except Thailand) had developed and endorsed PRTR infrastructure assessments, and all had National PRTR Executive Proposals which set clear objectives of the next steps to design their national PRTRs. By the time the Terminal Report was prepared, countries were advancing at good speed; in the case of Chile, most of the technical work was done, and

in the other 5 countries working on the design of PRTRs, the pilots were underway and the endorsement strategy was being developed.

Section 2. OBJECTIVE AND SCOPE OF THE EVALUATION

g. Objective of the Evaluation

In line with the UNEP Evaluation Policy³⁷ and the UNEP Programme Manual³⁸, the Terminal Evaluation is undertaken at completion of the project to assess project performance (in terms of relevance, effectiveness and efficiency), and determine outcomes and impacts (actual and potential) stemming from the project, including their sustainability. The evaluation has two primary purposes: (i) to provide evidence of results to meet accountability requirements, and (ii) to promote operational improvement, learning and knowledge sharing through results and lessons learned among UNEP, UNITAR, and relevant national government ministries and focal points in the participating countries. Therefore, the evaluation will identify lessons of operational relevance for future project formulation and implementation, especially if a third phase of the project is anticipated/planned.

h. Key Evaluation Principles

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

Attribution, Contribution and Credible Association: In order to *attribute* any outcomes and impacts to a project intervention, one needs to consider the difference between what has happened with, and what would have happened without, the project (i.e. take account of changes over time and between contexts in order to isolate the effects of an intervention). This requires appropriate baseline data and the identification of a relevant counterfactual, both of which are frequently not available for evaluations. Establishing the *contribution* made by a project in a complex change process relies heavily on prior intentionality (e.g. approved project design documentation, logical framework) and the articulation of causality (e.g. narrative and/or illustration of the Theory of Change). Robust evidence that a project was delivered as designed and that the expected causal pathways developed supports claims of contribution and this is strengthened where an alternative theory of change can be excluded. A *credible association* between the implementation of a project and observed positive effects can be made where a strong causal narrative, although not explicitly articulated, can be inferred by the chronological sequence of events, active involvement of key actors and engagement in critical processes.

Communicating evaluation results. A key aim of the evaluation is to encourage reflection and learning by UNEP staff and key project stakeholders. The consultant(s) 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 Manager. There may, however, be several intended audiences, each with different interests and needs regarding the report. The consultant(s) will plan with the Evaluation Manager 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.

i. Key Strategic Questions

³⁷ <https://www.unenvironment.org/about-un-environment/evaluation-office/policies-and-strategies>

³⁸ <https://wecollaborate.unep.org>

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

To what degree of success was the project able to demonstrate the feasibility of using the PRTR system as a **national** and **regional** reporting system for chemicals management?

It was expected that countries with a more advanced POPs and chemicals monitoring and reporting systems in place will technically assist and advice less advanced countries. Was information exchange among participating countries and identification of good practices adequate? Did this to some degree, promote south-to south cooperation in PRTR development?

To what level of success did this project support participating countries to develop and/or implement the national institutional frameworks and information dissemination mechanisms that were required to sustain their PRTR systems?

Were recommendations and key lessons learned from the implementation of this project taken into consideration in the PRTR Phase II project and is there any evidence available to support this?

j. Evaluation Criteria

Given that there has been a considerable lapse of time since project closure and its terminal evaluation, it is expected that one of the main limitations will be the availability of both primary and secondary data with which verifiable evidence to support the assessment can be based. With this in mind, it may be more practical in this case to conduct the exercise as an accountability assessment, as opposed to an in-depth evaluation - as would be normally required for a project of this nature. Each of the evaluation criteria below should be assessed to the extent possible based on the available supporting evidence, and the limitations impeding the assessment should be described in each case as well. To the extent possible, the consultant should provide a narrative describing the extent to which planned activities, Outputs and their respective Outcomes (as detailed in the Prodoc and Results Framework) were achieved, and the various factors that may have influenced project performance during its lifespan.

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

A. Strategic Relevance

The evaluation will assess 'the extent to which the activity is suited to the priorities and policies of the target group, recipient and donor'. The evaluation will include an assessment of the project's relevance in relation to UNEP's mandate and its alignment with UNEP's policies and strategies at the time of project approval. Under strategic relevance an assessment of the complementarity of the project with other interventions addressing the needs of the same target groups will be made. This criterion comprises four elements:

- ii. *Alignment to the UNEP Medium Term Strategy³⁹ (MTS) and Programme of Work (POW)*

³⁹ UNEP's Medium Term Strategy (MTS) is a document that guides UNEP's programme planning over a four-year period. It identifies UNEP's thematic priorities, known as Sub-programmes (SP), and sets out the desired outcomes, known as Expected Accomplishments (EAs), of the Sub-programmes. <https://www.unenvironment.org/about-un-environment/evaluation-office/our-evaluation-approach/un-environment-documents>

The evaluation should assess the project's alignment with the MTS and POW under which the project 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.

iii. *Alignment to UNEP / Donor/GEF Strategic Priorities*

Donor, including GEF, strategic priorities will vary across interventions. UNEP strategic priorities include the Bali Strategic Plan for Technology Support and Capacity Building⁴⁰ (BSP) and South-South Cooperation (S-SC). The BSP relates to the capacity of governments to: comply with international agreements and obligations at the national level; promote, facilitate and finance environmentally sound technologies and to strengthen frameworks for developing coherent international environmental policies. S-SC is regarded as the exchange of resources, technology and knowledge between developing countries. GEF priorities are specified in published programming priorities and focal area strategies.

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

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

v. *Complementarity with Existing Interventions*

An assessment will be made of how well the project, either at design stage or during the project inception or mobilization⁴¹, took account of ongoing and planned initiatives (under the same sub-programme, other UNEP sub-programmes, or being implemented by other agencies) that address similar needs of the same target groups. The evaluation will consider if the project team, in collaboration with Regional Offices and Sub-Programme Coordinators, made efforts to ensure their own intervention was complementary to other interventions, optimized any synergies and avoided duplication of effort. Examples may include UN Development Assistance Frameworks or One UN programming. Linkages with other interventions should be described and instances where UNEP'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

B. Quality of Project Design

The quality of project design is assessed using an agreed template during the evaluation inception phase, ratings are attributed to identified criteria and an overall Project Design Quality rating is established (www.unenvironment.org/about-un-environment/our-evaluation-approach/templates-and-tools). This overall Project Design Quality rating is entered in the final evaluation ratings table as item B. In the Main Evaluation Report a summary of the project's strengths and weaknesses at design stage is included, while the complete Project Design Quality template is annexed in the Inception Report.

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

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

C. Nature of External Context

⁴⁰ <http://www.unep.fr/ozonaction/about/bsp.htm>

⁴¹ 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.

At evaluation inception stage a rating is established for the project's external operating context (considering the prevalence of conflict, natural disasters and political upheaval⁴²). This rating is entered in the final evaluation ratings table as item C. Where a project has been rated as facing either an Unfavourable or Highly Unfavourable external operating context, and/or a negative external event has occurred during project implementation, the ratings for Effectiveness, Efficiency and/or Sustainability may be increased at the discretion of the evaluation consultant and Evaluation Manager together. A justification for such an increase must be given.

D. Effectiveness

i. Availability of Outputs⁴³

The evaluation will assess the project's success in producing the programmed outputs and achieving milestones as per the project design document (ProDoc). Any *formal* modifications/revisions made during project implementation will be considered part of the project design. Where the project outputs are inappropriately or inaccurately stated in the ProDoc, reformulations may be necessary in the reconstruction of the TOC. In such cases a table should be provided showing the original and the reformulation of the outputs for transparency. The availability 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 provision. The evaluation will briefly explain the reasons behind the success or shortcomings of the project in delivering its programmed outputs and meeting expected quality standards.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision⁴⁴

ii. Achievement of Project Outcomes⁴⁵

The achievement of project outcomes is assessed as performance against the project outcomes as defined in the reconstructed⁴⁶ Theory of Change. These are outcomes that are intended to be achieved by the end of the project timeframe and within the project's resource envelope. As with outputs, a table can be used where substantive amendments to the formulation of project outcomes is necessary. The evaluation should report evidence of attribution between UNEP's intervention and the project outcomes. In cases of normative work or where several actors are collaborating to achieve common outcomes, evidence of the nature and magnitude of UNEP's 'substantive contribution' should be included and/or 'credible association' established between project efforts and the project outcomes realised.

Factors affecting this criterion may include:

- Quality of project management and supervision
- Stakeholders' participation and cooperation
- Responsiveness to human rights and gender equity

⁴² 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 by the project team.

⁴³ Outputs are the availability (for intended beneficiaries/users) of new products and services and/or gains in knowledge, abilities and awareness of individuals or within institutions (UNEP, 2019)

⁴⁴ In some cases 'project management and supervision' will refer to the supervision and guidance provided by UNEP to implementing partners and national governments while in others, specifically for GEF funded projects, it will refer to the project management performance of the executing agency and the technical backstopping provided by UNEP.

⁴⁵ Outcomes are the use (i.e. uptake, adoption, application) of an output by intended beneficiaries, observed as changes in institutions or behavior, attitude or condition (UNEP, 2019)

⁴⁶ All submitted UNEP project documents are required to present a Theory of Change with all submitted project designs. The level of 'reconstruction' needed during an evaluation will depend on the quality of this initial TOC, the time that has lapsed between project design and implementation (which may be related to securing and disbursing funds) and the level of any formal changes made to the project design.

- Communication and public awareness

iii. Likelihood of Impact

Based on the articulation of long-lasting effects in the reconstructed TOC (*i.e. from project outcomes, via intermediate states, to impact*), the evaluation will assess the likelihood of the intended, positive impacts becoming a reality. Project objectives or goals should be incorporated in the TOC, possibly as intermediate states or long-lasting impacts. 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 project outcomes to impacts, taking account of whether the assumptions and drivers identified in the reconstructed TOC held. Any unintended positive effects should also be identified and their causal linkages to the intended impact described.

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 project design as risks or as part of the analysis of Environmental, Social and Economic Safeguards.⁴⁷

The evaluation will consider the extent to which the project has played a catalytic role or has promoted scaling up and/or replication⁴⁸ as part of its Theory of Change and as factors that are likely to contribute to longer term impact.

Ultimately UNEP and all its partners aim to bring about benefits to the environment and human well-being. Few projects are likely to have impact statements that reflect such long-term or broad-based changes. However, the evaluation will assess the likelihood of the project to make a substantive contribution to the long-lasting changes represented by the Sustainable Development Goals and/or the intermediate-level results reflected in UNEP's Expected Accomplishments and the strategic priorities of funding partners.

Factors affecting this criterion may include:

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

E. Financial Management

Financial management will be assessed under three themes: *adherence* to UNEP's financial policies and procedures, *completeness* of financial information and *communication* between financial and project management staff. The evaluation will establish the actual spend across the life of the project of funds secured from all donors. This expenditure will be reported, where possible, at output level and will be compared with the approved budget. The evaluation will verify the application of proper financial management standards and adherence to UNEP's financial management policies. Any financial management issues that have affected the timely delivery of the project or the quality of its performance will be highlighted. The evaluation will record where standard financial documentation is missing, inaccurate, incomplete or unavailable in a timely manner. The evaluation will assess the level of communication between the Project/Task Manager and the Fund Management Officer as it relates

⁴⁷ Further information on Environmental, Social and Economic Safeguards (ESES) can be found at <http://wedocs.unep.org/handle/20.500.11822/8718>

⁴⁸ *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.

to the effective delivery of the planned project and the needs of a responsive, adaptive management approach.

Factors affecting this criterion may include:

- Preparation and readiness
- Quality of project management and supervision

F. Efficiency

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

The evaluation will give special attention to efforts made by the project teams during project implementation to make use of/build upon pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities⁴⁹ with other initiatives, programmes and projects etc. to increase project efficiency. The evaluation will also consider the extent to which the management of the project minimised UNEP's environmental footprint.

The factors underpinning the need for any project extensions will also be explored and discussed. As management or project support costs cannot be increased in cases of 'no cost extensions', such extensions represent an increase in unstated costs to implementing parties.

Factors affecting this criterion may include:

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

G. Monitoring and Reporting

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

i. Monitoring Design and Budgeting

Each project should be supported by a sound monitoring plan that is designed to track progress against SMART⁵⁰ results towards the provision of the project's outputs and achievement of project 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. The adequacy of resources for mid-term and terminal evaluation/review should be discussed if applicable.

ii. Monitoring of Project Implementation

The evaluation will assess whether the monitoring system was operational and facilitated the timely tracking of results and progress towards projects objectives throughout the project implementation period. This should include monitoring the representation and participation of disaggregated groups (including gendered, vulnerable and marginalised groups) in project activities. It will also consider how

⁴⁹ Complementarity with other interventions during project design, inception or mobilization is considered under Strategic Relevance above.

⁵⁰ SMART refers to results that are specific, measurable, achievable, relevant and time-oriented. Indicators help to make results measurable.

information generated by the monitoring system during project implementation was used to adapt and improve project execution, achievement of outcomes and ensure sustainability. The evaluation should confirm that funds allocated for monitoring were used to support this activity.

iii. Project Reporting

UNEP has a centralised project information management system (Anubis) in which project managers upload six-monthly progress reports against agreed project milestones. This information will be provided to the Evaluation Consultant(s) by the Evaluation Manager. Some projects have additional requirements to report regularly to funding partners, which will be supplied by the project team (e.g. the Project Implementation Reviews and Tracking Tool for GEF-funded projects). The evaluation will assess the extent to which both UNEP and donor reporting commitments have been fulfilled. Consideration will be given as to whether reporting has been carried out with respect to the effects of the initiative on disaggregated groups.

Factors affecting this criterion may include:

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

H. Sustainability

Sustainability is understood as the probability of project 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 project outcomes (ie. 'assumptions' and 'drivers'). Some factors of sustainability may be embedded in the project design and implementation approaches while others may be contextual circumstances or conditions that evolve over the life of the intervention. Where applicable an assessment of bio-physical factors that may affect the sustainability of project 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 project outcomes. It will consider the level of ownership, interest and commitment among government and other stakeholders to take the project achievements forwards. In particular the evaluation will consider whether individual capacity development efforts are likely to be sustained.

ii. Financial Sustainability

Some project 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 project 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 project outcomes are dependent on future funding for the benefits they bring to be sustained. Secured future funding is only relevant to financial sustainability where the project's outcomes have been extended into a future project phase. Even where future funding has been secured, the question still remains as to whether the project outcomes are financially sustainable.

iii. Institutional Sustainability

The evaluation will assess the extent to which the sustainability of project 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 project outcomes after project closure. 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

I. Factors Affecting Project Performance and Cross-Cutting Issues

(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. Where the issues have not been addressed under other evaluation criteria, the consultant(s) will provide summary sections under the following headings.)

i. Preparation and Readiness

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

ii. Quality of Project Management and Supervision

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 and supervision provided by UNEP.

The evaluation will assess the effectiveness of project management with regard to: providing leadership towards achieving the planned outcomes; managing team structures; maintaining productive partner relationships (including Steering Groups etc.); communication and collaboration with UNEP colleagues; risk management; use of problem-solving; project adaptation and overall project execution. Evidence of adaptive management should be highlighted.

iii. Stakeholder Participation and Cooperation

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

iv. Responsiveness to Human Rights and Gender Equity

The evaluation will ascertain to what extent the project has applied the UN Common Understanding on the human rights-based approach (HRBA) and the UN Declaration on the Rights of Indigenous People. Within this human rights context the evaluation will assess to what extent the intervention adheres to UNEP's Policy and Strategy for Gender Equality and the Environment⁵¹.

In particular the evaluation will consider to what extent project design, implementation and monitoring have taken into consideration: (i) possible gender inequalities in access to, and the control over, natural resources; (ii) specific vulnerabilities of women, youth 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. Environmental and Social Safeguards

⁵¹The Evaluation Office notes that Gender Equality was first introduced in the UNEP Project Review Committee Checklist in 2010 and, therefore, provides a criterion rating on gender for projects approved from 2010 onwards. Equally, it is noted that policy documents, operational guidelines and other capacity building efforts have only been developed since then and have evolved over time.

<https://wedocs.unep.org/bitstream/handle/20.500.11822/7655/->

Gender_equality_and_the_environment_Policy_and_strategy-

2015Gender_equality_and_the_environment_policy_and_strategy.pdf.pdf?sequence=3&isAllowed=y

UNEP projects address environmental and social safeguards primarily through the process of environmental and social screening, risk assessment and management (avoidance or mitigation) of potential environmental and social risks and impacts associated with project and programme activities. The evaluation will confirm whether UNEP requirements⁵² were met to: screen proposed projects for any safeguarding issues; conduct sound environmental and social risk assessments; identify and avoid, or where avoidance is not possible, mitigate, environmental, social and economic risks; apply appropriate environmental and social measures to minimize any potential risks and harm to intended beneficiaries and report on the implementation of safeguard management measures taken.

vi. Country Ownership and Driven-ness

The evaluation will assess the quality and degree of engagement of government / public sector agencies in the project. While there is some overlap between Country Ownership and Institutional Sustainability, this criterion focuses primarily on the forward momentum of the intended projects results, ie. either a) moving forwards from outputs to project outcomes or b) moving forward from project outcomes towards intermediate states. The evaluation will consider the involvement not only of those directly involved in project execution and those participating in technical or leadership groups, but also those official representatives whose cooperation is needed for change to be embedded in their respective institutions and offices. This factor is concerned with the level of ownership generated by the project over outputs and outcomes and that is necessary for long term impact to be realised. Ownership should extend to all gendered and marginalised groups.

vii. Communication and Public Awareness

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

Section 3. EVALUATION APPROACH, METHODS AND DELIVERABLES

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

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

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

Project design documents (including Project Document, CEO Endorsement document, the logical framework and its budget);

Project reports such as financial reports, progress reports, relevant correspondence (including the Project Implementation Review (PIR) reports and Quarterly Progress reports);

⁵² For the review of project concepts and proposals, the Safeguard Risk Identification Form (SRIF) was introduced in 2019 and replaced the Environmental, Social and Economic Review note (ESERN), which had been in place since 2016. In GEF projects safeguards have been considered in project designs since 2011.

Project outputs (e.g. PRTRs, Guidance documents, National reporting systems, Workshop/Training reports, PRTR Proposals, Regional assessments, lessons learned and good practices reports, information exchange system, etc.);

Other relevant background documentation.

1.

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

UNEP Task Manager (TM);

Project management team, including the Project Manager within the Executing Agency;

UNEP Fund Management Officer (FMO);

Portfolio Manager and Sub-Programme Coordinator, where appropriate;

Project partners, representatives from relevant government ministries and the National Focal Points in the participating countries;

Other relevant resource persons.

Surveys as deemed appropriate.

Other data collection tools (to be determined during the evaluation inception phase).

a. Evaluation Deliverables and Review Procedures

The evaluation team will prepare:

- **Inception Report:** (see Annex 1 for links to all templates, tables and guidance notes) containing an assessment of project design quality, a draft reconstructed Theory of Change of the project, project stakeholder analysis, evaluation framework and a tentative evaluation schedule.
- **Preliminary Findings Note:** typically in the form of a PowerPoint presentation, the sharing of preliminary findings is intended to support the participation of the project team, act as a means to ensure all information sources have been accessed and provide an opportunity to verify emerging findings.
- **Draft and Final Evaluation Report:** (see links in Annex 1) containing an executive summary that can act as a stand-alone document; detailed analysis of the evaluation findings organised by evaluation criteria and supported with evidence; lessons learned and recommendations and an annotated ratings table.

An **Evaluation Brief**, (a 2-page overview of the evaluand and key evaluation findings) for wider dissemination through the UNEP website may be required. This will be discussed with the Evaluation Manager no later than during the finalization of the Inception Report.

Review of the draft evaluation report. The evaluation team will submit a draft report to the Evaluation Manager and revise the draft in response to their comments and suggestions. Once a draft of adequate quality has been peer-reviewed and accepted, the Evaluation Manager will share the cleared draft report with the Task Manager and Project Manager, who will alert the Evaluation Manager in case the report contains any blatant factual errors. The Evaluation Manager will then forward revised draft report (corrected by the evaluation consultant(s) where necessary) to other project stakeholders, for their review and comments. Stakeholders may provide feedback on any errors of fact and may highlight the significance of such errors in any conclusions as well as providing feedback on the proposed recommendations and lessons. Any comments or responses to draft reports will be sent to the Evaluation Manager for consolidation. The Evaluation Manager will provide all comments to the evaluation consultant(s) 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 consultants and the internal consistency of the report, the Evaluation Manager will provide an assessment of the ratings in the final evaluation report. Where there are differences of opinion between the evaluator and the Evaluation Manager on project ratings, both viewpoints will be clearly presented in the final report. The Evaluation Office ratings will be considered the final ratings for the project.

The Evaluation Manager will prepare a quality assessment of the first draft of the main evaluation report, which acts as a tool for providing structured feedback to the evaluation consultants. The quality

of the final 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 Task Manager. The Evaluation Office will track compliance against this plan on a six-monthly basis for a maximum of 18 months.

The Evaluation Consultant

For this evaluation, the evaluation team will consist of one Specialist who will work under the overall responsibility of the Evaluation Office represented by an Evaluation Manager (Pauline Marima), in consultation with the UNEP Task Manager (Ludovic Bernaudat), Fund Management Officer (Anu Shenoy) and the Coordinator of the UNEP Sub-programme on Chemicals, Waste and Air Quality, (T. Goverse). The consultant will liaise with the Evaluation Manager on any procedural and methodological matters related to the evaluation. It is, however, each 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 UNEP Task Manager and project team will, where possible, provide logistical support (introductions, meetings etc.) allowing the consultants to conduct the evaluation as efficiently and independently as possible.

The Evaluation Consultant will be hired over a period of 8 months (March - October 2020) and should have: an advanced university degree in environmental sciences or other relevant sciences area; a minimum of 3 years of technical / evaluation experience, including of evaluating large, regional or global programmes and using a Theory of Change approach; a good understanding of Chemicals, Persistent Organic Pollutants (POPs) and the Stockholm Convention. English and French are the working languages of the United Nations Secretariat. For this consultancy, fluency in oral and written English is a requirement and knowledge in of Russian language desirable, along with excellent writing skills in English. Working knowledge of the UN system and specifically the work of UNEP is an added advantage. The work will be home-based with possible field visits.

The Evaluation Consultant will be responsible, in close consultation with the Evaluation Office of UNEP for overall management of the evaluation and timely provision of its outputs, data collection and analysis and report-writing, described above in Section 11 above. The Evaluation Consultant will ensure that all evaluation criteria and questions are adequately covered. More specifically:

Inception phase of the evaluation, including:

- preliminary desk review and introductory interviews with project staff;
- draft the reconstructed Theory of Change of the project;
- prepare the evaluation framework;
- develop the desk review and interview protocols;
- draft the survey protocols (if relevant);
- 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 project implementing and executing agencies, project partners and project stakeholders;
- interview project partners and stakeholders.
- ensure independence of the evaluation and confidentiality of evaluation interviews.
- regularly report back to the Evaluation Manager on progress and inform of any possible problems or issues encountered and;
- keep the Project/Task Manager informed of the evaluation progress.

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
- (where agreed with the Evaluation Manager) prepare an Evaluation Brief (2-page summary of the evaluand and 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.

b. Schedule of the evaluation

The table below presents the tentative schedule for the evaluation.

Table 3. Tentative schedule for the evaluation

Milestone	Tentative Dates
Evaluation Initiation Meeting	May 2020
Inception Report	May 2020
Data collection (telephone/online interviews, surveys etc.	June-July 2020
Draft report to Evaluation Manager (and Peer Reviewer)	July 2020
Draft Report shared with UNEP Project Manager and team	July-August 2020
Draft Report shared with wider group of stakeholders	August – September 2020
Final Report prepared based on comments received	September – October 2020
Final Report shared with all respondents	November 2020

c. Contractual Arrangements

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

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

Table 4: Schedule of Payment for the Evaluation Consultant:

Deliverable	Percentage Payment
Approved Inception Report (<i>as per annex document 8</i>)	30%
Approved Draft Main Evaluation Report (<i>as per annex document 15</i>)	30%
Approved Final Main Evaluation Report	40%

Fees only contracts:

The consultants may be provided with access to UNEP’s document folders and if such access is granted, the consultants agree not to disclose information from that system to third parties beyond information required for, and included in, the evaluation report.

In case the consultants are not able to provide the deliverables in accordance with these guidelines, and in line with the expected quality standards by the UNEP Evaluation Office, payment may be withheld

at the discretion of the Director of the Evaluation Office until the consultants have improved the deliverables to meet UNEP's quality standards.

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

Annex 2. Stakeholders interviewed and stakeholders who responded to the evaluation review

	Name	Function / Role in the project	Means of communication
1	Ludovic Bernaudat	UNEP Task Manager	Several conference calls for: -Introduction of the Project during the evaluation Inception Phase -Presentation the Preliminary findings of the evaluation -Email correspondence -Bilateral conference calls
2	Jorge Ocaña	UNITAR Manager, Chemicals and Waste Management Programme (former UNEP Task Manager)	-Evaluation interview -Email correspondence -Bilateral conference calls
3	Mr. Phet Pichhara	National Project Coordinator Cambodia, Assistant to Ministry of Environment National Focal Point for Basel and Stockholm Convention	-Evaluation interview -Email correspondence
4	Marcos Serrano	National Project Coordinator Chile, Head of Environmental Information Department, Environmental Information and Economics Division, Ministry of the Environment Government of Chile	-Evaluation interview (conducting in written form) -Email correspondence
5	Patricia Vinueza	National Project Coordinator Ecuador, Ministry of Environment Ecuador	-Evaluation interview (conducted in written form) -Email correspondence
6	Nurgazy Abdulmanov	National Project Coordinator PRTR Phase II (GEF ID 5648), Director of the Department of Digitalization and Informatization, "Information-Analytical Center of Environmental Protection" (RSE IAC), , Ministry of Energy of the Republic of Kazakhstan	-Evaluation interview -Email correspondence
7	Altyn Ibragimovna Balabaeva	Director of the Department of the State Environmental Information Fund	-Evaluation interview -Email correspondence
8	Marisa Quinones	National Project Coordinator Peru during the first 9 months of Project implementation	-Evaluation interview -Email correspondence
9	Daniel Nuñez	National Project Coordinator Peru, until the end of the Project	-Evaluation interview (conducted in written form) -Email correspondence
10	Mariano Castro	Project stakeholder Peru Vice minister (Dec 2011 – Jul 2016) Ministry of Environment of Peru	-Responded to survey
11	Rosa María del Castillo	Project stakeholder Peru Director (until Dec 2015), Directorate of Chemical Inputs and Audited Products, Ministry of Production Peru Currently the Director of the National Society of Industries	-Responded to survey
12	Eric Concepción Gamarra	Project stakeholder Peru Director (until 2018),	-Responded to survey

		National Service of Meteorology and Hydrology of Peru	
13	Jenny Maria Francisco Atencio	Project stakeholder Peru Peruvian Association of Consumers and Users – ASPEC (NGO)	-Responded to survey
14	Nadia Gamboa	Project stakeholder Peru Professor, Pontifical Catholic University of Peru	-Responded to survey
15	Denise Cajas	Project stakeholder Ecuador Business Unit Manager Gadere Veolia	-Responded to survey

Annex 3 Project documents reviewed and missing documents

Project documents reviewed

- ToR Terminal Evaluation of the UNEP/GEF project *POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)*, (GEF ID 3348);
- Project document *POPs monitoring, reporting and information dissemination using Pollutant Release and Transfer Registers (PRTRs)*
- Final Project report;
- All 57 output reports annexed to the Final Project report;
- All financial reports, co-finance reports,
- Completion Revision document signed on 15-04-2014;
- PIR reports of the Project;
- All UNEP Evaluation Office documents and templates guiding the Inception Phase.
- Strategic and policy documents:
 - UNEP PoW, MTS
 - UN Common Understanding on the Human Rights Based Approach (HRBA)
 - UN Declaration on the Rights of Indigenous People
 - UNEP's Policy and Strategy for Gender Equality and the Environment.

Missing documents

The following documents were not available for the evaluation:

- Signed PCA;
- Attachments to Quarterly progress reports including consultancy reports such as
 - Guidance on POPs reporting;
 - Guidance on legal adaptation requirements;
 - Development of online reporting system report;
- Quarterly Progress report Q3 – 2012;
- Quarterly Financial report Q2 – 2012;
- Quarterly Financial report Q3 – 2012;
- PIR 01-01-2009 / 30-06-2009;
- PIR 01-07-2011 / 30-06-2012;
- PIR 01-07-2012 / 30-09-2012;
- Country progress reports to UNITAR;
- Country MoUs;
- CCAD MoU;
- CCAD reporting to UNITAR;
- ToRs for activities and experts;
- Mission reports from experts;
- Consultancy reports from experts (See attachments to Q reports mentioned above);
- Budget revisions requests/ agreements;
- Project extension requests/ agreements;

- Independent Country Financial Audit reports on the spent Project finances.

Annex 4. Response to stakeholder comments received but not (fully) accepted by the evaluator

Section 5.2 Quality of Project design, paragraph 125 Efficiency - Probably we need to discuss the issue of efficiency more thoroughly, once the project extension was granted to 2012, was it efficient? To me this is the real question. The initial planned duration of the project should not be taken as the main parameter to measure efficiency.

Response *As this is a section about the quality of the Project design, I think that the efficiency of implementation does not need to be discussed here.*

Section 5.6 Efficiency, paragraph 203 – Should the question on efficiency refer to the overall duration or the two years initially planned? If a project is extended it is rated by default unsatisfactory? The duration of the project should be assessed at the planning section and here should be one of the many components to be evaluated.

Response: *I do not think that an extended project should be rated by default unsatisfactory. Extensions occur often. Frequent changes in UNITAR staff and long administrative procedures within UNEP and UNITAR, however, cannot be rated as efficient.*

Suggest to clarify, 13 project countries means X number of GEF funded countries and X number or countries covered by CCAD. The co-finance project countries were not fully integrated in the GEF project, how is the experience with similar co-finance provided in projects? Are they fully integrated? Is this evaluation for all countries including the co-finance? Should we also evaluate all activities referred in the co-finance letters? if so, there are many gaps in this report and the nature of the GEF project being evaluated is questionable.

Response: *As per ToR I have been tasked to evaluate the Project as one project including the CA component. I agree that there are many gaps in the information available. However, the gaps are there because of a lack of information from the side of CCAD. (The information was not provided with the final report, not available in the project dossier of UNEP, CCAD did not react to my emails and telephone calls) All the above cannot be rated as efficient.*

Section 5.7.2 Monitoring implementation - Suggest to make the evaluation in two tiers: UNEP as implementing agency and UNITAR as executing agency. Was the monitoring in both cases HU?

Response: *As it was not possible to interview UNITAR staff responsible for Project execution, it is difficult to reconstruct what organization did what in monitoring implementation.*

Section 5.7.2 Monitoring implementation, paragraph 209 - The documents were requested some 8 years after the project ended, as UNITAR has suffered many changes in servers, archiving, etc, this statement is not totally correct. If the documents were requested soon after the project ended, it would probably be a different situation.

Response: *I fully understand the circumstances, however the need to archive project documentation is next to evaluation accountability also relevant for the further development of organizational knowledge and learning systems and UN historiography.*

Section 5.7.3 Project reporting, paragraph 211 – I am not sure this has to play a role in reporting for the GEF project, as previously indicated the implementation of this project would not influence the functioning of the GEF project. Additionally, the only parameter taken in this reporting section is time? What about quality of reporting? Assessing progress through reporting? To my view this section should be further elaborated and revised.

Response: *I assume that CCAD had an obligation to report its activities to UNITAR. I agree that the rating was based on too little information. For the quality of the reporting see addition in the text.*

Annex 5. Brief resumé of the consultant

Wouter Pronk has 23 years of experience in managing environmental and capacity building projects in Eastern Europe, Russia, the Caucasus, Central Asia, India, Egypt, Eritrea, Cameroon, South Africa and Vietnam for the environmental NGOs Milieucontact International and Green Cross Switzerland. Early 2019, he started working as an independent consultant. Since 2004, Mr. Pronk has been involved in POPs and soil remediation projects financed by The Netherlands Ministry of Foreign Affairs, FAO, UNEP, GEF, Green Cross Switzerland and the World Bank and worked in international technical assistance projects with a focus on awareness raising, environmental and social impact assessment and planning, technical capacity building, project evaluation and stakeholder involvement.

Annex 6. Quality assessment of the Evaluation Report

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

	UNEP Evaluation Office Comments	Final Report Rating
Substantive Report Quality Criteria		
<p>Quality of the Executive Summary:</p> <p>The Summary should be able to stand alone as an accurate summary of the main evaluation product. It should include a concise overview of the evaluation object; clear summary of the evaluation objectives and scope; overall evaluation rating of the project and key features of performance (strengths and weaknesses) against exceptional criteria (plus reference to where the evaluation ratings table can be found within the report); summary of the main findings of the exercise, including a synthesis of main conclusions (which include a summary response to key strategic evaluation questions), lessons learned and recommendations.</p>	Adequate summary presenting the most pertinent findings of the evaluation in a clear and precise manner	5
<p>I. Introduction</p> <p>A brief introduction should be given identifying, where possible and relevant, the following: institutional context of the project (sub-programme, Division, regions/countries where implemented) and coverage of the evaluation; date of PRC approval and project document signature); results frameworks to which it contributes (e.g. Expected Accomplishment in POW); project duration and start/end dates; number of project phases (where appropriate); implementing partners; total secured budget and whether the project has been evaluated in the past (e.g. mid-term, part of a synthesis evaluation, evaluated by another agency etc.)</p> <p>Consider the extent to which the introduction includes a concise statement of the purpose of the evaluation and the key intended audience for the findings?</p>	The introduction covers all the aspects required in a concise manner.	6
<p>II. Evaluation Methods</p> <p>This section should include a description of how the <i>TOC at Evaluation</i>⁵³ was designed (who was involved etc.) and applied to the context of the project?</p> <p>A data collection section should include: a description of evaluation methods and information sources used, including the number and type of respondents; justification for methods used (e.g. qualitative/quantitative; electronic/face-to-face); any selection criteria used to identify respondents, case studies or sites/countries visited; strategies used to increase stakeholder engagement and consultation; details of</p>	<p>This section is very well written, provide a clear and concise description of the approaches and methods used to collect and analyse data.</p> <p>Limitations are well described, as are ethical considerations.</p>	6

⁵³ 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*.

<p>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>III. The Project</p> <p>This section should include:</p> <ul style="list-style-type: none"> • <i>Context:</i> Overview of the main issue that the project is trying to address, its root causes and consequences on the environment and human well-being (i.e. synopsis of the problem and situational analyses). • <i>Objectives and components:</i> Summary of the project's results hierarchy as stated in the ProDoc (or as officially revised) • <i>Stakeholders:</i> Description of groups of targeted stakeholders organised according to relevant common characteristics • <i>Project implementation structure and partners:</i> A description of the implementation structure with diagram and a list of key project partners • <i>Changes in design during implementation:</i> Any key events that affected the project's scope or parameters should be described in brief in chronological order • <i>Project financing:</i> Completed tables of: (a) budget at design and expenditure by components (b) planned and actual sources of funding/co-financing 	<p>All the required aspects have been adequately discussed. Results statements are as officially presented in the Prodoc. Stakeholders are described in detail, including vulnerable groups and gender considerations. Project implementation is clearly described, and the organigram provided. Changes in implementation have been discussed albeit supporting evidence was not made available to the consultant. Financing has been covered to the extent possible with data available.</p>	6
<p>IV. Theory of Change</p> <p>The <i>TOC at Evaluation</i> should be presented clearly in both diagrammatic and narrative forms. Clear articulation of each major causal pathway is expected, (starting from outputs to long term impact), including explanations of all drivers and assumptions as well as the expected roles of key actors.</p> <p>Where the project results as stated in the project design documents (or formal revisions of the project design) are not an accurate reflection of the project's intentions or do not follow UNEP's definitions of different results levels, project results may need to be re-phrased or reformulated. In such cases, a summary of the project's results hierarchy should be presented for: a) the results as stated in the approved/revised Prodoc logframe/TOC and b) as formulated in the <i>TOC at Evaluation</i>. <i>The two results hierarchies should be presented as a two-column</i></p>	<p>The TOC is presented in narrative and diagrammatic forms, both of which are sufficiently clear. This is supported by a table presenting the comparison between the results framework in the Prodoc vs those in the reconstructed TOC. Causal pathways from outputs through to impact are described, as well as their respective assumptions and drivers.</p>	5

<p><i>table to show clearly that, although wording and placement may have changed, the results 'goal posts' have not been 'moved'.</i></p>		
<p>V. Key Findings</p> <p>A. Strategic relevance: 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/mobilisation⁵⁴), 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"> vi. Alignment to the UNEP Medium Term Strategy (MTS) and Programme of Work (POW) vii. Alignment to UNEP/ Donor/GEF Strategic Priorities viii. Relevance to Regional, Sub-regional and National Environmental Priorities ix. Complementarity with Existing Interventions 	<p>All the required elements of Relevance have been discussed in detail. The rating is sufficiently justified.</p>	<p>6</p>
<p>B. Quality of Project Design To what extent are the strength and weaknesses of the project design effectively <u>summarized</u>?</p>	<p>The project's strengths and weaknesses are clearly described and the justification for some of the ratings in the sub-categories have also been summarised.</p>	<p>5</p>
<p>C. Nature of the External Context 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 upheaval⁵⁵), and how they affected performance, should be described.</p>	<p>This section is well covered, giving country-specific examples of external factors that affected project implementation</p>	<p>6</p>
<p>D. Effectiveness</p> <p>(i) Outputs and Project Outcomes: How well does the report present a well-reasoned, complete and evidence-based assessment of the a) availability of outputs, and b) achievement of project outcomes? How convincing is the discussion of attribution and contribution, as well as the constraints to attributing effects to the intervention.</p> <p>The effects of the intervention on differentiated groups, including those with specific needs due to gender, vulnerability or marginalisation, should be discussed explicitly.</p>	<p>The assessment of output delivery and achievement of outcomes is well presented, detailed, and supported with examples and other evidence. Given the difficulty with which the consultant has obtained verifiable data, the coverage of these two criteria is commendable.</p>	<p>6</p>

⁵⁴ 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.

⁵⁵ 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.

<p>(ii) Likelihood of Impact: How well does the report present an integrated analysis, guided by the causal pathways represented by the TOC, of all evidence relating to likelihood of impact?</p> <p>How well are change processes explained and the roles of key actors, as well as drivers and assumptions, explicitly discussed?</p> <p>Any unintended negative effects of the project should be discussed under Effectiveness, especially negative effects on disadvantaged groups.</p>	<p>The assessment is consistent with the TOC presented, arguments are clear and well-reasoned, intermediate states, drivers and assumptions are sufficiently discussed, supporting evidence is provided to the extent possible, and the overall rating is well justified.</p>	<p>6</p>
<p>E. Financial Management 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"> • <i>Adherence</i> to UNEP's financial policies and procedures • <i>completeness</i> of financial information, including the actual project costs (total and per activity) and actual co-financing used • <i>communication</i> between financial and project management staff 	<p>This section is sufficiently covered and relevant data presented in tables have been included. This criterion was difficult to rate due to the limited information available and difficulty in verifying the data</p>	<p>5</p>
<p>F. Efficiency 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"> • Implications of delays and no cost extensions • Time-saving measures put in place to maximise results within the secured budget and agreed project timeframe • Discussion of making use during project implementation of/building on pre-existing institutions, agreements and partnerships, data sources, synergies and complementarities with other initiatives, programmes and projects etc. • The extent to which the management of the project minimised UNEP's environmental footprint. 	<p>All the required aspects of efficiency have been discussed to varying levels of detail. Examples have been provided in some instances, as well as cross referencing to other relevant sections of the report.</p>	<p>5</p>
<p>G. Monitoring and Reporting How well does the report assess:</p> <ul style="list-style-type: none"> • Monitoring design and budgeting (<i>including SMART results with measurable indicators, resources for MTE/R etc.</i>) • Monitoring of project implementation (<i>including use of monitoring data for adaptive management</i>) • Project reporting (<i>e.g. PIMS and donor reports</i>) 	<p>The section covers all the sub-criteria as required in a satisfactory manner</p>	<p>5</p>
<p>H. Sustainability How well does the evaluation identify and assess the key conditions or factors that are likely to undermine or contribute to the persistence of achieved project outcomes including:</p> <ul style="list-style-type: none"> • Socio-political Sustainability • Financial Sustainability • Institutional Sustainability 	<p>All the required aspects of sustainability have been addressed. However, there was limited evidence on which the consultant could rely on as a basis for the analyses.</p>	<p>5</p>
<p>I. Factors Affecting Performance These factors are <u>not</u> discussed in stand-alone sections but are integrated in criteria A-H as appropriate. Note that these are described in the Evaluation Criteria</p>	<p>All these factors have been discussed as stand-alone</p>	<p>6</p>

<p>Ratings Matrix. To what extent, and how well, does the evaluation report cover the following cross-cutting themes:</p> <ul style="list-style-type: none"> • Preparation and readiness • Quality of project management and supervision⁵⁶ • Stakeholder participation and co-operation • Responsiveness to human rights and gender equity • Environmental and social safeguards • Country ownership and driven-ness • Communication and public awareness 	<p>sections. Cross referencing has been done where necessary.</p>	
<p>VI. Conclusions and Recommendations</p> <p>i. Quality of the conclusions: The key strategic questions should be clearly and succinctly addressed within the conclusions section. It is expected that the conclusions will highlight the main strengths and weaknesses of the project and connect them in a compelling story line. Human rights and gender dimensions of 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>The conclusions section is well written, covering the highlights of the evaluation findings in a fairly concise manner. The key strategic questions have been addressed satisfactorily. The ratings table is also included.</p>	<p>6</p>
<p>ii) Quality and utility of the lessons: Both positive and negative lessons are expected and duplication with recommendations should be avoided. Based on explicit evaluation findings, lessons should be rooted in real project experiences or derived from problems encountered and mistakes made that should be avoided in the future. Lessons must have the potential for wider application and use and should briefly describe the context from which they are derived and those contexts in which they may be useful.</p>	<p>The lessons learned are based on actual findings presented in the report and cross-referencing is adequately used.</p>	<p>5</p>
<p>iii) Quality and utility of the recommendations: To what extent are the recommendations proposals for specific action to be taken by identified people/position-holders to resolve concrete problems affecting the project or the sustainability of its results? They should be feasible to implement within the timeframe and resources available (including local capacities) and specific in terms of who would do what and when. At least one recommendation relating to strengthening the human rights and gender dimensions of UNEP interventions, should be given. Recommendations should represent a measurable performance target in order that the Evaluation Office can monitor and assess compliance with the recommendations.</p>	<p>Recommendations are fairly well written, they are based on actual findings presented in the report and cross-referencing is adequately used.</p>	<p>5</p>
<p>VII. Report Structure and Presentation Quality</p>		
<p>i) Structure and completeness of the report: To what extent does the report follow the Evaluation Office guidelines? Are all requested Annexes included and complete?</p>	<p>The report is complete and follows the EOU guidelines satisfactorily</p>	<p>6</p>

⁵⁶ 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.

<p>ii) Quality of writing and formatting: Consider whether the report is well written (clear English language and grammar) with language that is adequate in quality and tone for an official document? Do visual aids, such as maps and graphs convey key information? Does the report follow Evaluation Office formatting guidelines?</p>	<p>The language is clear and the tone is professional. Quality of writing and formatting is adequate in quality, although minor adjustments were made to automate the numbering system for report sections, tables and figures. Visual aids have been used appropriately.</p>	<p>6</p>
<p>OVERALL REPORT QUALITY RATING</p>		<p>5.55 (Highly Satisfactory)</p>

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.